UNIVERSITY OF MANITOBA COMMON RECORDS SCHEDULE

The Common Records Schedule of the University of Manitoba is designed to ensure that all departments classify and retain their common administrative records in a way to ensure operational effectiveness and consistency across the organization. All outlined retentions have been designed to meet business requirements for the records, as well as balance any retention requirements stipulated by legislation or external regulations. These retentions apply to records in any format, including paper, digital, audio visual or magnetic tape, and all other available formats.

Please note that these records authority schedules only apply to routine administrative records found in most offices across the University. For many specific functions, a key office is considered the Office of Record and they will be responsible for the full retention of the official record, even if copies exist elsewhere. For example, the Office of Legal Counsel will be responsible for the management and full retention for all legal advice and contracts. You may also create unique records in your area that do not fall under these guidelines. The Access and Privacy Office will work directly with all records creators to develop Records Authority Schedules to meet all records requirements for materials that fall outside the Common Records Schedule. Please contact the Access and Privacy Office at fippa@umanitoba.ca for further information.

HOLDS ON RECORDS DESTRUCTION

Occasionally there may be a requirement to temporarily hold the regular destruction of records. Reasons for holds include pending litigation, ongoing access to information requests, audits, or even unique or extended projects. You will receive notification from the relevant office should there be a need to hold certain records from your office. For further information, please contact the Access and Privacy Office at fippa@umanitoba.ca.

ISSUES CONCERNING ELECTRONIC RECORDS

While the following retentions and classification apply to all records, electronic records may have unique characteristics that impact storage and transfer. It may be beneficial to the creating office, as well as the Archives, to transfer these records shortly after their creation rather than waiting a few years in order to ensure ongoing preservation. For more information, please contact the Access and Privacy Office at fippa@umanitoba.ca.

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ACCESS TO INFORMATION REQUESTS, FIPPA AND PHIA

All University business records series that have been designated as likely to contain personal information, personal health information, information pertaining to third parties or any other information that is relevant to the specific exceptions under The Freedom of Information and Protection of Privacy Act (FIPPA), or The Personal Health Information Act (PHIA) may only be accessed under the Acts. This includes records that have been transferred to the Archives at the University of Manitoba. Please contact the Access and Privacy at fippa@umanitoba.ca for further information.

SUMMARY OF COMMON SCHEDULES

Click on the links below to view the detailed schedule description and retention period:

CAPITAL ASSETS
- ASSETS-010 (Management of Capital Assets)
- ASSETS-020 (Projects and Planning)

COMMUNITY LIFE
- COMM LIFE-010 (University or Faculty Events)

EXTERNAL RELATIONS AND SERVICES
- ER-010 (Marketing and Promotional Materials)
- ER-020 (Donor Files)
- ER-030 (Vendor Files)
- ER-040 (Publicity Files)
- ER-050 (Patient Files)

FINANCE
- FINANCE-010 (Supplies)
- FINANCE-020 (Grants and Awards)
- FINANCE-030 (Endowment Administration)
- FINANCE-040 (Accounting, General)

HUMAN RESOURCES
- HR-010 (Personnel Files)
- HR-020 (Recruitment, Promotion and Tenure)
- HR-030 (Staffing Management)
- HR-040 (Payroll Authorization)

LEGAL
- LEGAL-010 (Contracts and Agreements)
- LEGAL-020 (Legal Advice)
- LEGAL-030 (Standard Waiver)
- LEGAL-099 (University Forms)

STUDENT SERVICES
- STUDENT-010 (Faculty/Departmental/Program Files)
- STUDENT-020 (Criminal Records Check)

TEACHING AND LEARNING
- TEACHING-010 (Exam Administration)
- TEACHING-020 (Course and Curriculum Files)
- TEACHING-030 (Academic Planning)
- TEACHING-040 (Outreach and Training)

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CAPITAL ASSETS

Financial Services (Capital Asset Management) is the Office of Record for all authorization, transactional and destruction records pertaining to Capital Assets. Unique records pertaining to the strategic planning and implementation of large scale capital projects, such as systems, facilities and major renovations, will be found in multiple offices and should be retained by all stakeholders.

ASSETS-010 (MANAGEMENT OF CAPITAL ASSETS)

Series contains records related to the management of physical assets, including buildings, furniture, keys and permanent fixtures. Records can be divided into the following sub-sets:

**ASSETS-011**: Copies of legal documents related to the purchase, transfer and sale of assets; lease or rental agreements; policy and procedures; and plans and specifications.

Retention: Obsolete + 1 year: Destroy.

**ASSETS-012**: Maintenance records documenting service and repairs, minor office/room renovations, current and future plans and requirements and asset inventories (not including IT equipment).

Retention: Completion/Use/Warranty/Replacement + 3 Years: Destroy.

**ASSETS-013**: Routine records related to the day-to-day operation and management of assets, including key and room allocations, furniture deployment and permanent fixtures.

Retention: Academic Year + 2 Years: Destroy.

ASSETS-020 (PROJECTS AND PLANNING)

Series contains records related to the planning and development of new capital assets in terms of new buildings, new systems and infrastructure, whether the project was completed or not. Also includes planning for major (building wide) renovations for existing infrastructure, as well as project management documentation for the approved projects.

Retention: Completion or Termination of the Project + 10 years: Transfer to Archives for selection.

COMMUNITY LIFE

COMM LIFE-010 (UNIVERSITY OR FACULTY EVENTS)

Series consists of records documenting the community life and events of the University of Manitoba. Records can be divided into the following sub-sets:

**COMM LIFE-011**: Records in all media documenting and promoting University events, departments and research. Records include posters, final itineraries or agendas, advertising and promotional items for the event, biographies or CVs of external speakers, content planning for major events.
COMM LIFE-012: Logistical information behind event planning. Can include budgets, catering and travel information, room bookings and confirmations.

Retention: Current + 2 years: Destroy.

COMM LIFE-013: Yearbooks and other memorabilia from Faculties, Colleges and Schools:

Retention: Transfer 1 copy to Archives upon completion.

EXTERNAL RELATIONS AND SERVICES

ER-010 (MARKETING AND PROMOTIONAL MATERIALS)

Series consists of records relating to the design, creation and distribution of all information/promotional/marketing materials produced for or by the faculty/department/unit. Records may include annual reports, brochures, posters, advertisements, mail-outs, website/internet-related materials, correspondence, drafts, final copies, screen shots of web/internet-related materials and supporting documentation. Records can be divided into the following sub-sets:

ER-011: Marketing materials;

Retention: Transfer one copy of each final product to Archives.

ER-012: All other records;

Retention: Last Use + 3 Years: Destroy.

ER-020 (DONOR AND CONSTITUENT FILES)**

Series consists of correspondence with donors pertaining to their donations and direct relationships with the University/faculty/department. This applies any gift made via cash, credit, gifts of securities as well as gifts in kind including gifts of archival papers, books, specimen collections, equipment, etc. Please note that a copy of the final agreement and donor contact information should be shared with Donor Relations before finalization, and the original copy of any legal contract or deed of gift should be sent to the Office of Legal Counsel for retention. Records can be divided into the following sub-sets:

ER-021: Donor Files; Files pertaining to a relationship that has resulted in the formal transfer of gift of any sort to the University, including correspondence, appraisal and logistical information, copy of the deed of gift;

Retention: Permanent, Archival*

ER-022: Constituent files: Files pertaining to a potential donor, where the final agreement has not been reached.

Retention: If an agreement is reached, handle as ER-021. In the event that the relationship becomes inactive, retain for 3 years following last contact, then destroy.*
*May contain personal information or information pertaining to a third party, subject to FIPPA restrictions for access.

**This series is separate from the main donor files held by Donor Relations.

### ER-030 (VENDOR FILES)**

Series consists of current contact information, products description and delivery or maintenance schedule information from vendors used by the faculty/department/unit. This series does not include contracts or service agreements.

Retention: Termination of Relationships with the vendor + 1 year: Destroy.

**This series is separate from the main Vendor Files held by Financial Services.

### ER-040 (PUBLICITY FILES)

Series includes media releases, responses, published information from external sources (newspaper and magazine clippings, newscasts etc.) and interviews by University staff, students or affiliates pertaining to University issues.

Retention: Current Year + 4 Years: Transfer to Archives.

### ER-050 (PATIENT FILES)

Series includes medical, dental or psychological patient files, created both for staff, student and external clients of the University of Manitoba.

Retention: Termination of patient relationship + 10 years; in the event the patient is a minor, retain for 10 years after the patient reached the age of majority.

### FINANCE

Financial Services is the Office of Record for all transactional financial records. Student Affairs, Financial Aid and Awards are the office of record for all University of Manitoba awards and scholarships. The following classifications apply to all faculties/departments/offices.

### FINANCE-010 (SUPPLIES)

Series consists of records relating to the purchase and maintenance of general office supplies and equipment, including order forms, packing slips, catalogues, brochures, budget number lists, purchase orders and related correspondence.

Retention: Active Use + 6 Months: Destroy.
FINANCE-020 (ADMINISTRATION OF GRANTS AND AWARDS)

Series consists of records related to the financial management and/or supervision of scholarships, bursaries, fellowships, research grants and prizes awarded to faculty, students and research staff. Record may include applications (or copies of applications to external bodies), disbursement conditions, payment schedules, account information, supporting documents and related correspondence. Records can be divided into the following sub-sets:

**FINANCE-021**: Records related to successful applicants;
Retention: Completion of Grant/Award + 7 Years: Destroy.

**FINANCE-022**: Records related to unsuccessful applicants;
Retention: Date of application + 1 Year: Destroy.

FINANCE-030 (TRUST OR ENDOWMENT ADMINISTRATION)

Series consists of records relating to the establishment, monitoring and disbursement of faculty endowment funds. Records can be further divided into the following sub-sets:

**FINANCE-031**: General Administrative documents such as disbursements, account information, declined project proposals and FOAP Requests.
Retention: Fiscal Year + 7 Years: Destroy.

**FINANCE-032**: Records relating to the establishment of funds, correspondence with donors, * approved projects, fund charters and supporting documentation.
Retention: Life of Trust or Endowment + 7 years: Transfer to Archives. *If the Endowment is perpetual, these records may be transferred to the Archives when they become historical and no longer referred to frequently by the original office. Contact the Access and Privacy Office at fippa@umanitoba.ca for more information.*

*May contain personal information, subject to FIPPA restrictions for access.*

FINANCE-040 (ACCOUNTING, GENERAL)

Series consists of records related to the routine financial administration of the unit. Records may include sales transactions (including interdepartmental charges), bills, statements, Monthly Operating Reconciliations (MORs) and supporting materials, reconciliations and materials, credit card/debit statements and receipts, pre-Concur travel claim forms, purchase requisitions, copies of journal entries, copies of budget adjustments, systems contract forms and related correspondence.

Retention: Fiscal Year + 6 Years: Destroy.

*Please note, that should any sales transactions, bills or other documents be required to support warranties on equipment, it should be retained under either FINANCE-040 or ASSETS-012, using whichever retention results in the longer retention.*
GOVERNANCE AND ADMINISTRATION

The Office of the President, Legal Counsel, Board of Governors and the Senate are the Offices of Record for University level governance. The following classifications apply to faculty, departmental and office governance records.

GOV-010 (FACULTY/DEPARTMENT/OFFICE GOVERNANCE)

Series contains records related to the senior administration of the faculty/department/office. Records may include governance documents, strategic planning documents, departmental procedures and guidelines, annual reports and correspondence. Series does not include records related to general administration (human resources, financial management, equipment and supplies and other routine administrative records).

Retention: Current Year + 6 Years: Transfer to Archives for selection.

GOV-020 (ACCREDITATION)

Series consists of records relating to the accreditation of faculties, schools, departments and programs, including evaluation, review and assessment of faculties, schools, departments and programs. Series may include records related to faculty, school, department and program history, academic and research activities, faculty member staffing and activity, student projects, student evaluations, physical facilities, area goals, progress reports, recommendations reports, findings, supporting documentation and related correspondence. Records can be divided into the following sub-sets:

GOV-021: Final and progress reports, evaluations, findings, histories, datasets and summaries;
Retention: Academic Year + 5 years: Transfer to Archives.

GOV-022: Faculty and student projects, papers, published material, CVs and assignments;
Retention: Accreditation + 6 months: Return to faculty and students.

GOV-023: Drafts and supporting documentation;
Retention: Accreditation + 5 years: Destroy.

GOV-030 (COMMITTEE FILES)

Series contains the agenda, minutes and meeting files for all University committees. Records can be divided into the following sub-sets:

GOV-031: Official minutes, agendas and supporting reports and documentation;
Retention: Current Year + 6: Transfer to Archives.

GOV-032: Unofficial drafts and copies of minutes and agendas as well as student petitions, any material related to staffing (hiring or tenure decisions) that contains personally identifiable material, or copies any other documentation that contains personal information or personal health information that needs to be viewed by the committee or original of such materials should the committee have viewed anonymized information;
GOV-040 (DEPARTMENTAL PROCESS MANUALS)

Series consists of internal departmental process manuals for ensuring the ongoing administrative functioning of an office. Examples include procedures for system administration and data entry, procedures for opening, sorting, distributing mail and step-by-step processes for other routine functions.

Retention: Superseded + 1 year: Destroy.

HUMAN RESOURCES

Human Resources is the Office of Record for Human Resources records. In terms of personnel files, both the Human Resources file and the office of employment file are considered the official record, and records pertaining to placement and hiring may be found both centrally in HR and throughout all other University offices.

HR-010 (PERSONNEL FILES)*

Series contains records related to the ongoing management of individual faculty and staff and may include consolidated work histories and other information relating to grievances, disciplinary action, resignations, STEP increases, correspondence, services records, applications, resumes, staff issues, etc.

Retention: Cessation of Employment + 3 Years: Destroy.

*May contain personal information, subject to FIPPA restrictions for access.

HR-020 (RECRUITMENT, PROMOTION AND TENURE)*

Series contains records related to the promotion and tenure of academic staff, including applications, CVs, letters of offer, search summaries, correspondence and copies of professional profile material, letters of reference, research and publications. Records can be divided into the following sub-sets:

HR-021: Supporting documents and portfolio;
Retention: Return to applicant.

HR-022: Letters of Reference;
Retention: Last Action + 1 Year: Destroy.

HR-023: Letters of Offer/Applications;
Action: Transfer to Personnel File if accepted; treat as HR-032 if rejected.

HR-024: All Other Records;
Retention: Academic Year + 2 Years: Destroy.
**HR-030 (STAFFING MANAGEMENT)**

Series contains records related to the general administration of human resources, including records related to staff complements, job descriptions, VIP forms, salary guidelines, attendance records, human resources procedures, unsuccessful applications, resumes and communications related to staffing, etc. *** Series does not contain personnel records. Records can be divided into the following sub-sets:

- **HR-031**: General series, including staff complements, attendance;
  Retention: Current Year + 3 Years: Destroy.

- **HR-032**: Unsuccessful Applications;
  Retention: Closure of Posting + 1 year: Destroy.

- **HR-033**: Procedures, salary guidelines;
  Retention: Retain until obsolete: Destroy.

**HR-040 (PAYROLL AUTHORIZATION)**

Series consists of records related to department and unit payroll authorization, including the verification of employee employment and appropriate fund charges. The University of Manitoba has a central payroll function that relies on input from individual departments and units in order to determine employee remuneration. The primary signing authority of each Fund/Organization combination is responsible for verifying all employee remuneration amounts charged to that Fund/Organization.

Retention: Fiscal Year + 1 Year: Destroy.

**LEGAL**

The Office of Legal Counsel is the Office of Record for all legal contracts and advice. The following classifications apply to all other offices.

**LEGAL-010 (CONTRACTS AND AGREEMENTS)***

Series includes copies of all original legal agreements and contracts. Office of Primary Responsibility is the Office of Legal Counsel and they are responsible for maintaining the original contract or agreements. For all other offices:

Retention: Obsolete + 1 year: Destroy.

*May contain personal information or information pertaining to a third party, subject to FIPPA restrictions for access.
LEGAL-020 (LEGAL ADVICE)

Series consists of copies all correspondence to and from internal and external counsel. Records may include memos, emails, letters and samples. Office of Primary Responsibility for these records is the Office of Legal Counsel and they are responsible for ensuring full retention of these records. For all other offices:

Retention: Obsolete + 1 year: Destroy.

All Legal advice is privileged.

LEGAL-030 (STANDARD WAIVER)

Series consists of standard waiver forms for student trips, travel and study abroad, exchanges, participation in work-study co-ops, volunteering etc. Waivers should be maintained in the office of origin. It is recommended that you obtain standard legal forms for use from the website, rather than relying on previously saved versions. Standard forms may be found by visiting the webpages for the Office of Legal Counsel: http://umanitoba.ca/legal_counsel/agreements.html. Records can be divided into the following sub-sets:

LEGAL-031: Blank sample of waiver form;

Retention: Transfer 1 copy of any amended, revised or new waiver form to Archives for permanent retention.

LEGAL-032: Completed waiver forms;*

Retention: Retain the forms for 2 years after the completion or termination of the event: Destroy.

*May contain personal information, subject to FIPPA restrictions for access.

LEGAL-099 (UNIVERSITY FORMS)

Series consists of all university created forms for use by applications, students and staff. This includes but is not limited to: application, appeal, authorization, permission, request and recommendation forms. This classification applies only to a blank sample form; all completed forms should be filed in the client/subject’s appropriate file.

Retention: 1 blank copy of each form and any revision to the form should be transferred to Archives.

STUDENT SERVICES

The Registrar’s Office is the Office of Record for the final record of a student’s marks, history and official transcript. The following classifications apply to all other offices.

STUDENT-010 (FACULTY/DEPARTMENTAL/PROGRAM STUDENT FILE)*

Series consists of individual student files maintained by the faculty/department/program to facilitate student progress within the faculty/department. Records may include applications, admission records, progress reports, academic summaries, copies of transcripts, disciplinary action, degrees received, appeals, supporting information and related correspondence. Records can be divided into the following sub-sets:
**STUDENT-011**: Application and Admission (not registered/incomplete/no fees/rejected);
Retention: Session Start + 1 Year: Destroy.

**STUDENT-012**: Student withdraws from faculty/department/program;
Retention: Withdrawal date + 3 Years: Destroy.

**STUDENT-013**: Graduation from faculty/department/program or Completion of Program;
Retention: Retain for 3 Years after graduation or completion date: Destroy.

*May contain personal information, subject to FIPPA restrictions for access.*

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**STUDENT-020 (CRIMINAL RECORDS CHECK)**

Series consists of records related to the solicitation, receipt and evaluation of criminal records checks for entry and acceptance to University programs. Records include criminal records checks, any supporting documents and related correspondence.

Retention: End of Use + 6 months: Destroy.

*May contain personal information, subject to FIPPA restrictions for access.*

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**TEACHING AND LEARNING**

**TEACHING-010 (EXAM ADMINISTRATION)**

Series consists of records related to the administration of academic examinations, including planning and delivery of exams. Series may contain examination schedules, examination scripts (regardless of format), invigilator files, appeals, related correspondence and supporting documentation. Records can be divided into the following subsets:

*Please note: all exam deferral forms should be maintained in the Student File. See STUDENT-010.*

- **TEACHING-011**: General exam administration records;
  Retention: Academic Year + 1 Year: Destroy.

- **TEACHING-012**: Examination scripts;
  Retention: If there is no appeal on the exam retain for last posted date of Appeals Period + 90 days: Destroy. If an appeal is launched, retain as Teaching-013.

- **TEACHING-013**: Examination appeals;*
  Retention: End of Appeal + 2 Years: Destroy.

*May contain personal information, subject to FIPPA restrictions for access.*
TEACHING-020 (COURSE AND CURRICULUM FILES)

Series consists of records related to the development and delivery of course and curriculum content, including faculty/department calendars, course descriptions, course syllabi, reading lists, as well as related committee minutes and reports.

Retention: Academic Year + 6 Years: Transfer to Archives for selection.

TEACHING-030 (ACADEMIC PLANNING)

Series consists of records relating to short and long term enrolment planning and management, faculty complement planning, appointment planning, academic load, budgeting and analysis of resource requirements for academic programs. Records may include reports, models, databases, projections and correspondence.

Retention: Retain for 3 years after last action, Transfer to Archives for selection.

TEACHING-040 (OUTREACH AND TRAINING)

Series consists of records relating to educational or informative programs organized or provided by University staff either as part of a University training program for other staff members, or as part of an outreach program generating awareness of the University’s programs and services to internal or external audiences, or academic conferences, events and lectures supporting University programs, faculties and events. Records can be divided into the following sub-sets:

TEACHING-041: Final presentations, promotional handouts, event agendas, biographies and speeches.

Retention: Transfer to Archives when obsolete or completion of event.

TEACHING-042: Logistics, conference planning (such as catering choices, travel arrangements, scheduling), drafts of presentations, brochures or speeches, registration tracking.

Retention: Current + 2 years: Destroy.

TEACHING EVALUATIONS

All forms of teaching evaluations carried out should be carried out in accordance with the University of Manitoba’s Teaching Evaluation Policy (http://umanitoba.ca/admin/governance/governing_documents/academic/365.html), and the policies and procedures of the Faculty/Department or School. Retention of this material within the instructors Faculty level Personnel file (HR-010) should be in accordance with article 35 of the Collective Agreement between the University of Manitoba and The University of Manitoba Faculty Association.

SEEQS

The Student Evaluation of Educational Quality should be completed for all classes with more than 5 students, unless an exemption has been granted to the course by the Office of the Vice-President (Academic) and Provost. A copy of the summary results and any written comments should be provided to the instructor, prior to placement of a copy of the summary in their personnel file (HR-010).