



THOMPSON RIVERS UNIVERSITY

RECORDS RETENTION SCHEDULE – MASTER LISTING

Section 13 of the Records Retention Policy (ADM 02-3) states: “if the University has received a request for access to information contained in a Record, the Record must not be Destroyed without the written permission of the General Counsel of the University”.

Other Policies – Where there is a conflict about retention periods between this Policy and other official TRU Policies, the retention period in the other policy will apply.

Notes relating to interpretation of specific sections of this schedule (as documented under the Category of Records) are at the bottom of this table.

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
a.	academic assessments – examinations, course assignments or other course work for course taught by faculty members with continuous appointments	Faculty Member	√					
b.	academic assessments – examinations, course assignments or other course work for course taught by <u>sessional</u> instructors - (to be held by the Department Chair when sessional instructor leaves the University)	Academic Department	√					
c.	accident reports - UCIPP	Risk Management				√		
d.	access to information files (from date the file is closed)	Privacy & Access Office			√			

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
e.	accident reports – WorkSafeBC	Safety and Emergency Management				√		
f.	accounting records, including ledgers and journals	Finance				√		
g.	agendas – Board meetings	Board Secretariat						√
h.	agendas – Senate meetings	Senate Secretariat						√
i.	agendas – Planning Council for Open Learning meetings	Planning Council for Open Learning Secretariat						√
j.	agendas – President's Council meetings	Secretariat						√
k.	agendas – committee meetings (to be retained by the Chair/Secretary – see Note 1)	Various						√
l.	agreements and contracts (with a working copy to be retained by the department in which it was received or created – see Note 2)	General Counsel's Office				√		
m.	applications for admission documentation for candidates who did not matriculate from applicant to registrant; (e.g.: incomplete applications, unsuccessful applications, applicant chose not to attend, etc.)	Registrar's Office	√					
n.	Applications and Systems Access Request forms (ASARs) (from the date the employee email account is disabled)	IT Services		√				
o.	applications from unsuccessful candidates relating to employment	Human Resources	√					
p.	applications from unsuccessful candidates relating to scholarships, bursaries, student loans and other forms of student awards and financial support	Registrar's Office (Student Awards and Financial Support)	√					

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
q.	banking records	Finance				√		
r.	building permits	Facilities						√
s.	business continuity records (all Records as determined by Risk Management)	Risk Management						√
t.	bylaws – Board	Board						√
u.	bylaws – Senate	Senate						√
v.	bylaws – Faculty Council	Dean's Office						√
w.	collective agreements	Human Resources						√
x.	construction records for projects in excess of \$2,000,000	Capital Projects						√
y.	correspondence excluding Transitory Records (as defined in Policy ADM 02-3)	All departments		√				
z.	course outlines for credit courses (see Note 3)	Dean's Offices TRU-OL						√
aa.	course evaluations for credit and non-credit courses (see Note 3)	Registrar (Associate Registrar – Open Learning)				√		
bb.	destroyed records listings	All departments – Senior Administrator						√
cc.	donation receipts	Finance				√		
dd.	email account, email account contents and personal network drive of former employees (from date employee email account is disabled). email accounts, email account contents and contents of network drives of all students are considered Transitory Records - see Policy Adm 02-3, section II (11)	IT Services		√				
ee.	employees' daily time reports and sick leave/vacation reports	Finance				√		

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
ff.	employment postings	Human Resources		√				
gg.	enrollment reports (audited)	Registrar's Office						√
hh.	equipment inventory records	All departments – Senior Administrator				√		
ii.	expense reports	Finance				√		
jj.	facility use records - if bookable space is managed by the division	Department responsible for facility bookings – Senior Administrator				√		
kk.	financial reporting records required under legislation such as the <i>Income Tax Act</i> , <i>Excise Act</i> , <i>Employment Insurance Act</i> , <i>Canada Pension Plan Act</i>	Finance				√		
ll.	financial statements (audited)	Finance						√
mm.	financing documents	Finance				√		
nn.	government reports if division submits government reports on behalf of the University (including Institutional Accountability Plan and Report)	All departments – Senior Administrator						√
oo.	health clinic records	TRU Medical Clinic		√				
pp.	historic records with enduring value to the University (Archival Records)	Library						√
qq.	insurance documents and policies	Risk Management				√		
rr.	inventory records – Bookstore	Ancillary Services				√		
ss.	inventory records – Food Services	Ancillary Services				√		
tt.	IT Services information systems logs (including audit logs maintained for Payment Card Industry compliance, and email message tracking logs)	IT Services	√					
uu.	marketing and communications – the following records: press clippings, tear sheets, media releases	AVP Marketing & Communications						√

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
vv.	minutes – Board meetings	Board Secretariat						√
ww.	minutes – Senate meetings	Senate Secretariat						√
xx.	minutes - Planning Council for Open Learning meetings	Planning Council for Open Learning Secretariat						√
yy.	minutes – President’s Council meetings	Secretariat						√
zz.	minutes – committee meetings (to be retained by the Chair/Secretary)	each committee						√
aaa.	occupational health and safety records	Safety and Emergency Management				√		
bbb.	pension reports	Human Resources						√
ccc.	personnel files of former employees (from date employee ceases to be employed by the University)	Human Resources				√		
ddd.	procurement records, including: PCard statements, requisitions, invoices, purchase orders, bills of lading, and freight bills, RFPs, RFQs, and proposals and tenders received	Supply Management				√		
eee.	public network folders (from date last accessed)	IT Services	√					
fff.	real property instruments	General Counsel’s Office						√
ggg.	record used by or on behalf of the University to make a decision that directly affects an individual	All departments	√					
hhh.	research records (see Addendum A)	Faculty Members who are Principal Investigators under a research project			√			
iii.	sales records – Bookstore	Ancillary Services				√		
jjj.	sales records – Food Outlets	Ancillary Services				√		

	Category of Record	Unit Responsible	One Year	Two Years	Five Years	Seven Years	Ten Years	Permanent
kkk.	records relating to scholarships, bursaries, student loans, and other forms of student awards and financial support	Registrar (Student Awards and Financial Support)				√		
III.	student Records for former students, other than transcripts (from date student ceases to be a student at the University)	Registrar's Office				√		
mmm.	student Records for non-credit courses (see Note 3)	Registrar (Associate Registrar - Open Learning)		√				
nnn.	threat assessment records	Risk Management				√		
ooo.	transcripts	Registrar's Office						√
ppp.	university calendars	Registrar's Office						√

NOTES:

1. Faculty member portfolio materials that are part of the Senate Tenure and Promotion Committee agenda packages shall have a retention period of **five** years.
2. General Counsel's office is a central repository for agreements and contracts and does not manage the contract renewal process.
3. For the purposes of this Schedule a "credit course" is a course that is transcriptable. Non-credit courses (non-transcriptable), are identified with a course subject acronym that begins with an "X".

TRU RECORDS RETENTION SCHEDULE: ADDENDUM A

Research Data Collection and Retention

In accordance with TCPS2 (the second edition of the Tri-Council Policy Statement) the Principal Investigator (PI) is responsible for the collection, maintenance, privacy, and secure retention of research records in accord with these procedures and applicable privacy legislation. The PI should also ensure that all personnel involved with the research understand and adhere to established practices that are consistent with these procedures.

Research records must be recorded or preserved in accordance with the highest standard of scientific and academic practice and procedures. Research records must be retained in sufficient detail to enable the University and the involved researchers to respond to questions about research accuracy, authenticity, compliance with pertinent contractual obligations, and TRU and externally imposed requirements and regulations governing the conduct of the research.

Human research ethics applications require a statement outlining the procedures researchers will use to securely store research records, including the length of time the research records will be stored, the location of storage, the identity of the person responsible for storage of research records, and the procedures that will ensure secure storage. Research participants must be informed of the purpose, use and retention of the records as part of the information provided to them to make an informed decision about whether to consent to participate in the study. Research participants must also be informed about any potential for secondary use of research records. Research record retention periods will vary depending on the research discipline, research purpose and type of records involved.

Research records must be retained for Five (5) years from the latest of:

1. The end of a research project's records collection and recording period;
2. The submission of a final project report;
3. The date of publication of a report of the project research; or
4. The date a degree related to a particular research project is awarded to a student.

Notwithstanding the above, research records must be retained:

1. As long as necessary to protect intellectual property rights;
2. If such research records are subject to specific federal or provincial regulations requiring longer retention periods;
3. If required by the terms of a research sponsorship agreement; or,
4. If any allegations regarding the conduct of the research arise, such as allegations of a breach of the Responsible Conduct of Research Policy or conflicts of interest.

Research records may be retained for longer periods if retention is required for the continuity of scientific research or if the research records are potentially useful for future research by the PI. The Tri-Agencies place the following responsibilities on grant holders:

1. The Social Sciences and Humanities Research Council (SSHRC) Research Data Archiving Policy states that all research data collected with the use of SSHRC funds must be preserved and made available for use by others within a reasonable period of time.
2. Canadian Institutes of Health Research (CIHR) grantees must deposit bioinformatics, atomic and molecular coordinate data into the appropriate public database immediately upon publication of research results.
3. CIHR grantees must retain original data sets arising from CIHR-funded research for a minimum of five years after the end of the grant. This applies to all data, whether published or not.
4. Collections of animal, culture, plant or geological specimens, or archaeological artifacts (“collections”) collected by a grantee with Tri-Agency grant funds are the property of the University.