

AD4210 DEPARTMENTAL ACADEMIC PERSONNEL FILES

Records documenting the administration of faculty, adjunct, librarian and archivist personnel files at the faculty, departmental or other unit level at the University.

Includes the maintenance of an work history from the point of appointment to termination, separation from the university or retirement. Includes tracking of employment status, and performance evaluations, disciplinary actions, commendations, annual reporting, leave requests and approvals. Also includes records kept on a collaborative basis for faculty employed on an interdisciplinary basis where there may be more than one OPR.

Used for the "Official files" as described in the Collective Agreement, and also for files relating to clinical faculty not covered under the Collective Agreement.

Not used for the employment history files held by Human Resources department. See AD4200. Not used for academic renewals, tenure, promotion, and continuing track records. See AD4800.

Example documents: correspondence.

University Records exist in both physical and electronic formats, such as paper, email or data in a database. Paper records may or may not contain information that is duplicated in an electronic system. For technical reasons the retention assigned to the electronic records may be different from the retention of physical records. If there are differences, see instructions in this schedule for details.

OPR - Dean of Faculty, and/or Head of Department and/or other Unit

(Unless otherwise assigned, see below)

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
30	Faculty, Librarian, Archivist Personnel Files	ET + 1	4	DP/AR	PIB

Records documenting the employment status and employment history of a faculty member. Includes, but not limited to, letters of application, decision of the appointment committee, the member's curriculum vitae, annual reporting, references, salary and work history, results of teaching evaluations, disciplinary letters, assessments, commendatory letters, decisions and recommendations, correspondence, and material reflecting professional development and achievement.

ET Definition: Faculty member separates from the University and any legal issues arising from employment at the University are closed by legal counsel.

Disposition Plans: Transfer to Archives the official copy of the appointment letter, the awarding of tenure letter, the promotion letter, last annual report and final curriculum vitae; all other material to be destroyed five years after the end of the calendar year that individual leaves the University.

Where faculty have been employed in more than one unit and more than one personnel file exists, disposition will be carried out on a collaborative basis.

GLOSSARY

FY = Fiscal Year (May 1 to April 30)

AY = Academic Year (September 1 to August 31)

CY = Calendar Year (January 1 to December 31)

ET = Event Trigger

OPR = Office of Primary Responsibility

DP = Special Disposition Plan

AR = Transfer to Archives

D = Destroy / Delete

PIB = Personal Information Bank

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
-----	----------------	--------------	-------------	--------------	---------------

Records that are implicated in ongoing legal or disciplinary activity should be reclassified to EX4100.

31	Adjunct Faculty Personnel File	ET + 1	4	DP/AR	PIB
-----------	---------------------------------------	--------	---	-------	-----

Records documenting the employment status and employment history of an adjunct faculty member. Includes, but not limited to, letters of application, decision of the appointment committee, the member's curriculum vitae, references, salary and work history, results of teaching evaluations, disciplinary letters, assessments, commendatory letters, decisions and recommendations, correspondence, and material reflecting professional development and achievement.

ET Definition: Rights to reappointment ended and/or adjunct faculty member leaves the employment of the University.

Disposition Plans: Transfer to the archives the appointment letter and final curriculum vitae; all other material to be destroyed five years after the end of the calendar year that the individual leaves the University.

Records that are implicated in ongoing legal or disciplinary activity should be reclassified to EX4100.

GLOSSARY

FY = Fiscal Year (May 1 to April 30)

AY = Academic Year (September 1 to August 31)

CY = Calendar Year (January 1 to December 31)

ET = Event Trigger

OPR = Office of Primary Responsibility

DP = Special Disposition Plan

AR = Transfer to Archives

D = Destroy / Delete

PIB = Personal Information Bank