

EX4600 DISPUTE RESOLUTION

Records documenting the management of disputes, appeals and discipline at the university.

Includes advisory services, co-ordination of appeals and arbitration for students and non-unionized staff. Also includes safe disclosure reporting and investigation.

Used for dispute files with involvement of students, Queen's University Staff Association (QUSA), exempted group, and Non-Bargaining Unit School of Medicine. Also used for university Student Appeal Board (USAB).

Not used for Harassment/Discrimination Complaint Board. See OP3100 - Human Rights.
Not used for Unionized Staff. See AD5200.

Example documents: correspondence, notes, memos and reports.

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.

OPR - University Ombudsman

(Unless otherwise assigned, see below)

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
11	University Student Appeal Board (USAB) Files	ET + 5	0	DP/AR	PIB

Records consist of all USAB proceedings, including any written documents filed by the parties; transcripts of the hearing; any interim orders made by the Board and the decision of the Board and the reasons therefore.

ET Definition: Decision made.

Disposition Plans: As soon as the board renders a decision, destroy duplicated records (including the ones distributed to USAB members). All original records (including tape recording) are to be kept in the Office of the Ombuds. Tape recordings are to be destroyed after one year. The rest of the original records are to be kept for five years.

At the end of the five-year retention period, the records of precedent setting cases will be transferred to archives; all other records will be destroyed.

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

EX4600 was approved on 13/11/2014.

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
31	Dispute Advisory Files	ET + 3	0	D	PIB
<p><i>Records consist of the documentation of advisory services and facilitation services offered to students and non-unionized staff who are involved with dispute. Records include contact information, email correspondence, notes, consent forms, referral letters, draft appeal letters, staff advisor reports, annual reports and other supporting documents related to the cases.</i></p> <p><i>ET Definition: Cases closed by University Ombudsman.</i></p>					
32	Appeal and Arbitration Files	ET + 5	0	DP/AR	PIB
<p><i>Records consist of appeal board files and arbitration files.</i></p> <p><i>ET Definition: Case closed.</i></p> <p><i>Disposition Plans: After a case is closed, all original documents are to be kept in the Office of the Ombudsman for five years, and then to be transferred to the Archives. All other copies of the files pertaining to appeal board and arbitration are to be destroyed once a case is closed.</i></p>					
33	Safe Disclosure Reporting and Investigation	AY + 5	0	D	PIB
<p><i>Records consist of individual disclosure reports and annual reports.</i></p>					

GLOSSARY

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 AY = Academic Year (September 1 to August 31) AR = Transfer to Archives
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 ET = Event Trigger PIB = Personal Information Bank
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