EAG 40

LEGAL MATTERS

RECORDS CLASSIFICATION PLAN AND RETENTION SCHEDULE

URIMC Approved:
September 23, 2013

URIMC Revised:
December 11, 2015; May 27, 2019

RIM Edits (consistency, typographical, updates, etc.):
October 1, 2015; November 15, 2016; March 2, 2017

Contact the Records and Information Management Program (Archives and Special Collections, University Library) for more information: https://www.uregina.ca/library/rim/
EAG 40 User Information

Abbreviations & Definitions
- EAG – Executive Administration and Governance
- OPR – Office of Primary Responsibility. Contact your area’s Designated Records Officer for details on OPRs listed as “Various.”
- ORL – Official Record Location
- RIM – Records and Information Management
- SO – Superseded (updated or replaced by the appropriate position or body) or Obsolete (declared no longer relevant by the appropriate position or body). Definition of SO for each series is maintained by your area’s Designated Records Officer.
- U Governance – University Governance
- URIMC – University Records and Information Management Committee
- U Sec – University Secretariat

End of Year
- Unless otherwise noted, the default “year” is the fiscal year which commences on May 1 and ends on April 30. Retention timeframes will commence in the year following completion/date of last action that activates the retention period.
- All records are subject to archival appraisal once their stated retention period has been met.
- Contact your area’s Designated Records Officer before initiating disposition.

Managing Other Copies
- In instances in which more than one copy of a record exists, the Designated Records Officer for the responsible unit will identify one as the official record. All other copies of that record are to be destroyed as soon as the purpose for which the copy was created has been fulfilled. No other copy may be retained for a period exceeding the official record retention period. All copies (official and other copies) are subject to requests under The Local Authority Freedom of Information and Protection of Privacy Act and therefore put the University at risk if not managed appropriately.
EAG 40 LEGAL MATTERS

Consists of records relating to legal issues, legal proceedings, contracts and agreements and legislative compliance.

100  Legal Matters
EAG 40 LEGAL MATTERS

FUNCTION 100 – LEGAL MATTERS

Consists of records relating to contracts, agreements, memoranda of understanding, intellectual property and legal advice and proceedings.

<table>
<thead>
<tr>
<th>Series Code</th>
<th>Series Description</th>
<th>OPR &amp; Official Record Location</th>
<th>Specialized Electronic System</th>
<th>OPR Minimum Retention Period</th>
<th>Archival Instructions for OPR</th>
</tr>
</thead>
</table>
| EAG40-101 (Old #: EAG40-100-10) | Contracts, Agreements and Memoranda of Understanding (MOU’s) – Except Those Specified In the Following Series Commencing with EAG40-102  
The management of records identified in EAG40-101 are currently under review. The series will be amended when clarified. | OPR – U Sec  
ORL – Various |  | Permanent | Retained permanently in various locations under responsibility of University Secretariat. |
| EAG40-102 (Old #: EAG40-100-10-1) | Procurement Contracts  
All contracts created for the acquisition of goods and services including those within and outside the tendering process and including software and hardware as well as other goods and services. | Supply Management Services | SO + 6 years | Send list of records that have met retention requirements to Archives. The Archives will appraise the records. They will reply with an indication of which records are to be transferred to Archives and which records are to be destroyed, as well as the process to be followed in each case. |
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<tbody>
<tr>
<td>EAG40-103</td>
<td>Intellectual Property – Trademarks</td>
<td>U Sec</td>
<td>Permanent</td>
<td>Retained permanently by University Secretariat.</td>
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<tr>
<td>(Old #: EAG40-100-20)</td>
<td>Consists of records relating to establishing legal ownership of trademarks, official marks or industrial designs in the University's name. Records may include assignment of rights, licenses, administrative forms, certificates and correspondence.</td>
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<tr>
<td>EAG40-104</td>
<td>Legal Advice</td>
<td>U Governance</td>
<td>7 years</td>
<td>Send list of records that have met retention requirements to Archives. The Archives will work with the OPR to facilitate transfer to Archives.</td>
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</tr>
<tr>
<td>(Old #: EAG40-100-30)</td>
<td>Records relating to advice, opinions and background on matters of legal concern. Includes interpretations by counsel, related documentation and correspondence. Access to these records must be approved by the University Secretary and the records are to be retained in a secure environment. Reasonable security arrangements will be made for records containing personal information in order to protect these records from unauthorized access, collection, use, disclosure or disposal. Reasonable security arrangements must also be made for records subject to solicitor/client privilege.</td>
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<tr>
<td>EAG40-105</td>
<td>Legal Proceedings</td>
<td>U Governance</td>
<td></td>
<td>7 years</td>
<td>Send list of records that have met retention requirements to Archives. The Archives will work with the OPR to facilitate transfer to Archives.</td>
</tr>
</tbody>
</table>

Legal Proceedings

Records relating to legal proceedings and investigations dealt with or submitted to a court of law, tribunal or regulatory agency. Records relating to legal correspondence and pleadings, statements, demands, directions, subpoenas and notices to appear, orders, transcripts, settlements, discharges and rulings.

Legal proceedings that were not public cannot be accessed without the approval of the University Secretary and the records are to be retained in a secure environment.

Reasonable security arrangements will be made for records containing personal information in order to protect these records from unauthorized access, collection, use, disclosure or disposal.