STU 01

STUDENT CUMULATIVE RECORD (UNDERGRADUATE)

RECORDS CLASSIFICATION PLAN AND RETENTION SCHEDULE

URIMC Approved:
November 19, 2014

URIMC Revised:
May 12, 2016

RIM Edits (consistency, typographical, updates, etc.):
October 1, 2015, November 15, 2016 and 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/](https://www.uregina.ca/library/rim/)
**STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)**

**FUNCTIONAL GROUPING DESCRIPTION**

Each individual who has applied for undergraduate admission as well as ESL students taking credit courses will have a Student Master File. This file identifies the individual student record as a functional grouping and the functions associated with it are the functions that document the fulfillment of requirements, the achievement of accomplishments and activities associated with credit classes at the undergraduate level. Thus, STU 01 documents individual undergraduates.

Records may include general information about the student, records of the basis for admission, advanced standing/transfer credit granted, transcripts and course outlines from other institutions, faculty transfer confirmations, course withdrawal forms, petition decision letters, academic progress records, courses taken, results by course, study plans and advising worksheets or documents, official name change documentation, copies of immigration status, records of academic awards or honours, University of Regina transcripts, degree conferrals, etc.

**STU 01 FUNCTIONS LIST**

<table>
<thead>
<tr>
<th>100</th>
<th>Admission</th>
<th>700</th>
<th>Grades and Transcripts [Placeholder for future development]</th>
</tr>
</thead>
<tbody>
<tr>
<td>200</td>
<td>Registration</td>
<td>800</td>
<td>Graduation and Convocation</td>
</tr>
<tr>
<td>300</td>
<td>Appeals Re: Registration, Tuition, Fees and Grades</td>
<td>900</td>
<td>Personal Information</td>
</tr>
<tr>
<td>350</td>
<td>Non-Academic Conduct [Other Academic and Non-Academic Actions to be added in future]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>400</td>
<td>Honours, Awards and Financial Support</td>
<td></td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Advising and Counseling</td>
<td></td>
<td></td>
</tr>
<tr>
<td>600</td>
<td>Program and Class History [Placeholder for future development]</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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**OPR** – Office of Primary Responsibility. Contact your area’s Designated Records Officer for details on OPRs listed as “Various.”

**B** – Banner

**SAMS** – Student Awards Management System

**URD** – UR Docs

*End of the year is April 30 unless otherwise specified. 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.*
### STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)

#### FUNCTION 100 – ADMISSION

**FUNCTION DESCRIPTION**

These records relate to the admission process and include applications and supporting documentation such as transcripts, test results and correspondence.

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.

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Series Name</th>
<th>OPR</th>
<th>Official Record Location</th>
<th>Official Record Retention*</th>
<th>Other Copies Retention</th>
<th>Specialized Electronic System</th>
<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-100-10</td>
<td>Admissions – Admitted</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>Permanent</td>
<td>N/A</td>
<td>B</td>
<td>Enrolment Services transfers records to the Registrar’s Office as process dictates for admission type. By mutual agreement the OPR may transfer control of portions of the record to Archives.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Centre for Continuing Education</td>
<td>Centre for Continuing Education</td>
<td></td>
<td></td>
<td>URD</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>UR International</td>
<td>UR International</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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**URIMC Approved:** November 19, 2014

**URIMC Revised:** May 12, 2016
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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-100-20</td>
<td>Admissions – Not Admitted</td>
<td>Enrolment Services Centre for Continuing Education</td>
<td>Enrolment Services Centre for Continuing Education</td>
<td>3 years (9 terms from term applied for)</td>
<td>N/A</td>
<td>B</td>
<td>URD</td>
</tr>
</tbody>
</table>

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**STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)**

**FUNCTION 200 – REGISTRATION**

**FUNCTION DESCRIPTION**

These records document the registration process. Records may include course registration and transaction forms, change of program or course, documentation related to degree and program status (including records related to academic holds, “required to discontinue” status and related changes in status), documents related to auditing or cancelling courses, letters of petition, transfer credit evaluations, worker compensation forms, letter of permission for transfer credit, applications for exchanges, documentation related to special permissions or exceptions to registration or course requirements, and related records created as part of individual student-University transactions associated with the registration process.

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.

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<thead>
<tr>
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<th>Official Record Retention*</th>
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<th>Specialized Electronic System</th>
<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-200-10</td>
<td>Registration Process</td>
<td>Various</td>
<td>Various</td>
<td>Permanent</td>
<td>SO</td>
<td>B</td>
<td>URD</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>STU01-200-20 Registration Process – Short Term Supports</td>
<td>Various</td>
<td>Various</td>
<td>End of term of creation + 2 years</td>
<td>N/A</td>
<td>URD</td>
<td></td>
</tr>
</tbody>
</table>

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URIMC Approved: November 19, 2014

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**Records Classification Plan and Retention Schedule**

**University of Regina**

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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-200-30</td>
<td>Changes to Registration Status</td>
<td>Various</td>
<td>Various</td>
<td>Permanent</td>
<td>SO</td>
<td>B URD</td>
<td>By mutual agreement the OPR may transfer control of portions of the record to Archives.</td>
</tr>
</tbody>
</table>

Includes application form and decision letter.

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STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)

FUNCTION 300 – APPEALS RE: REGISTRATION, TUITION, FEES AND GRADES

FUNCTION DESCRIPTION

This function includes all records related to appeals regarding registration, tuition, fees and grades. While criteria relating to the initiation of these appeals may vary, once an appeal has been received they are all handled in a similar manner and retention requirements are consistent throughout.

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.

See EAG20-200-30 and EAG20-300-30 for appeals of other academic and non-academic actions.

<table>
<thead>
<tr>
<th>Series Number</th>
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<th>OPR</th>
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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-300-10</td>
<td>Appeals Case Files</td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>End of term in which decision letter was created + 3 years</td>
<td>End of term in which decision letter was created</td>
<td>B URD</td>
<td>Destroy.</td>
</tr>
</tbody>
</table>

Records that document the appeal process including the notice of appeal and supporting documentation.

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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-300-20</td>
<td><strong>Appeals – Application &amp; Decisions</strong></td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>Permanent</td>
<td>N/A</td>
<td>URD</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Application for Appeal and Decision Letter.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>NOTE:</strong> Student medical certificates do not form part of the official University record. They are verified and immediately returned to student.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)

FUNCTION 350 – NON-ACADEMIC CONDUCT

FUNCTION DESCRIPTION

This function includes all records related to student involvement with the University’s non-academic code of behavioural conduct. Records may include complaints, submissions, interview notes, hearing documents, security reports, decisions, agreements, appeals documentation, correspondence and related documentation.

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.

See EAG20-200-30 and EAG20-300-30 for decision documentation and appeals of academic and non-academic actions to Senate and Council.

<table>
<thead>
<tr>
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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-350-10</td>
<td>Non-Academic Conduct Case Files</td>
<td>AVP, Student Affairs</td>
<td>AVP, Student Affairs</td>
<td>10 years after last action</td>
<td>1 year after last action</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Includes working papers for individual cases addressed as non-academic conduct.

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**STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)**

**FUNCTION 400 – HONOURS, AWARDS AND FINANCIAL SUPPORT**

Records relating to financial support to students in which the University facilitates student applications for loans and assists or manages the awarding of scholarships and bursaries.

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.

See FIN20-450-40 for records relating to Band Funding, third party assistance (external adjudicators, sports teams and employer-funded education) and the Saudi Arabian Cultural Bureau.

<table>
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</tr>
</thead>
<tbody>
<tr>
<td>STU01-400-10</td>
<td>Canadian Federal/Provincial/Territorial Government Student Assistance Program Case Files</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>6 years</td>
<td>N/A</td>
<td>B</td>
<td>Per government policy and audit requirements. Part of record is in Banner.</td>
</tr>
</tbody>
</table>

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### Series Classification Plan and Retention Schedule

#### University of Regina

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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-400-20</td>
<td>U.S. Government Student Funding Case Files</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>6 years</td>
<td>N/A</td>
<td>B</td>
<td>Per government policy and audit requirements. Part of record is in Banner.</td>
</tr>
<tr>
<td></td>
<td>Records relating to individual students applications.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-400-30</td>
<td>Scholarships, Bursaries and Awards – Successful</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>7 years</td>
<td>N/A</td>
<td>B</td>
<td>SAMS, URDOCS</td>
</tr>
<tr>
<td></td>
<td>Applications, recipient notifications, correspondence, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-400-40</td>
<td>Scholarships, Bursaries and Awards – Unsuccessful</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>3 years</td>
<td>N/A</td>
<td>B</td>
<td>SAMS</td>
</tr>
<tr>
<td></td>
<td>Applications, non-recipient notifications, correspondence, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-400-50</td>
<td>Emergency Student Loans</td>
<td>Enrolment Services</td>
<td>Enrolment Services</td>
<td>6 years</td>
<td>N/A</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>University-funded short term loans, includes applications, supporting documentation and recommendations.</td>
<td></td>
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</tr>
</tbody>
</table>
**STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)**

**FUNCTION 500 – ADVISING AND COUNSELING**

Records documenting advice and counseling provided to individual students.

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.

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Series Name</th>
<th>OPR</th>
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<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-500-10</td>
<td>Academic Recovery Program</td>
<td>SSC</td>
<td>SSC</td>
<td>Completion of program + 2 years</td>
<td>1 year</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes contracts, meeting notes, student portfolios, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-500-20</td>
<td>Assessment &amp; Student Tracking</td>
<td>SSC</td>
<td>SSC</td>
<td>End of term + 4 years</td>
<td>End of term + 4 years</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes learning skills, meeting notes, assessments, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-500-30</td>
<td>UR Guarantee</td>
<td>SSC</td>
<td>SSC</td>
<td>Graduation + 3 years</td>
<td>N/A</td>
<td>Caspur UR Courses</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes contracts, meeting notes, student questionnaires and reflections.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
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**FUNCTION 800 – GRADUATION AND CONVOCATION**

Records documenting individual student graduations from application to verification and convocation.

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</thead>
<tbody>
<tr>
<td>STU01-800-10</td>
<td>Graduation Applications and Other Requests</td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>3 years</td>
<td>1 year</td>
<td>B</td>
<td>Copies maintained by faculties/colleges relate to “Other Copies” column.</td>
</tr>
<tr>
<td></td>
<td>Applications, early release of parchment, duplicate diplomas, etc. However, if the records are part of a batch they remain in STU 50.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STU01-800-20</td>
<td>Official Graduation Verification</td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>Permanent</td>
<td>N/A</td>
<td>B</td>
<td>Retain for 1 year and transfer to Archives.</td>
</tr>
<tr>
<td></td>
<td>Documents related to degree audit at the faculty level, etc. However, if the records are part of a batch they remain in STU 50.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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.

OPR – Office of Primary Responsibility. Contact your area’s Designated Records Officer for details on OPRs listed as “Various.”

B – Banner

SAMS – Student Awards Management System

URD – UR Docs

*End of the year is April 30 unless otherwise specified. 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.

URIMC Approved: November 19, 2014

URIMC Revised: May 12, 2016
**STU 01 STUDENT CUMULATIVE RECORD (UNDERGRADUATE)**

**FUNCTION 900 – PERSONAL INFORMATION**

Records documenting personal information such as address and contact information, legal name changes, birth and death information, title changes, gender changes, etc.

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.

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Series Name</th>
<th>OPR</th>
<th>Official Record Location</th>
<th>Official Record Retention*</th>
<th>Other Copies Retention</th>
<th>Specialized Electronic System</th>
<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>STU01-900-10</td>
<td><strong>Contact Information</strong></td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>Permanent</td>
<td>N/A</td>
<td>B</td>
<td><strong>URD</strong> Any records outside of Banner relating to contact information are handled as transitory records and destroyed immediately after Banner is updated.</td>
</tr>
<tr>
<td></td>
<td><strong>Identity Information</strong></td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>Permanent</td>
<td>N/A</td>
<td>B</td>
<td><strong>URD</strong> By mutual agreement the OPR may transfer control of portions of the record to Archives.</td>
</tr>
</tbody>
</table>

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<th>Other Copies Retention</th>
<th>Specialized Electronic System</th>
<th>Disposition Guidelines and Related Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>Third Party Authorizations</td>
<td>Registrar’s Office</td>
<td>Registrar’s Office</td>
<td>Permanent</td>
<td>N/A</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Records may include authorizations for access by parents, guardians, funding agencies, etc.

**Notes:**

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