TOOLS 10

RECORDS CLASSIFICATION PLAN AND RETENTION SCHEDULE

URIMC Approved:
July 11, 2012

URIMC Revised:
November 4, 2016; May 24, 2017; November 23, 2017; May 27, 2019

RIM Edits (consistency, typographical, updates, etc.):
September 10, 2012; October 19, 2012; October 1, 2015; 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/
Tools 10 User Information

Abbreviations & Definitions
- OPR – Office of Primary Responsibility. Contact your area’s Designated Records Officer for details on OPRs listed as “Various.”
- 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- SO – Superseded (updated or replaced by the appropriate position or body) or Obsolete (declared no longer relevant by the appropriate position or body). Specific conditions of SO for each series are maintained by your area’s Designated Records Officer.
- URIMC – University Records and Information Management Committee

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.
TOOLS 10

Records classified under “Tools” support the management of certain common functions within the University. The “Tools 10” classification is standard across all thematic groupings of function-based schedules at the University and can be applied at any level of a filing hierarchy. It includes policies, procedure and forms, reports and statistics, records relating to committees and working groups and comparative analysis and research.

100 Policies, Procedures and Forms

200 Miscellaneous/Incidental Information [FUNCTION DECOMMISSIONED NOVEMBER 23, 2017]

300 Reports and Statistics

400 Committees and Working Groups

500 Comparative Analysis and Research
## TOOLS 10

### FUNCTION 100 – POLICIES, PROCEDURES AND FORMS

The function of developing and maintaining policies, procedures, standards, guidelines and forms. Records created as part of this function support the development of actions and decisions and serve as a reference for future decision making and management. Records may include policy statements, policy proposals, operating procedures, administrative or technical procedures, standards and guidelines for performance and related benchmarks or criteria for activities.

<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>
| Tools10-101 (Old #: Tools10-100-10) | **Policies, Procedures and Forms**  
Consists of records informing the establishment of policies, procedures and forms. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision making. Records may include policy proposals, consultations, final policy documents, operating procedures and administrative practices. | Various | Various | SO + 6 years | **Send list of records that have met retention requirements to Archives.** The response will indicate 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. |
TOOLS 10

FUNCTION 200—MISCELLANEOUS/INCIDENTAL INFORMATION

[FUNCTION DECOMMISSIONED NOVEMBER 23, 2017]
## TOOLS 10

### FUNCTION 300 – REPORTS AND STATISTICS

The function of creating or contributing to reports and statistics. Records may document individual, team, unit or institution-wide activities for internal or external purposes.

<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>
<tbody>
<tr>
<td>Tools10-301</td>
<td>Reports and Statistics</td>
<td>Various</td>
<td>Various</td>
<td>6 years</td>
<td>Send list of records that have met retention requirements to Archives. The response will indicate 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.</td>
</tr>
<tr>
<td>(Old #: Tools10-300-10)</td>
<td>Reports associated with committees or working groups are filed in Tools10-401.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>See Tools10-500 for reports that are not generated internally and that are retained for reference purposes.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**TOOLS 10**

**FUNCTION 400 – COMMITTEES AND WORKING GROUPS**

The function of convening, administering and overseeing the work of committees and working groups, including standing, joint or ad hoc committees, task forces, advisory boards or other working groups. Records created to support the function may include committee membership information and terms of reference, minutes and agendas, working and background papers, reports and presentations and related correspondence and documentation.

<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>
<tbody>
<tr>
<td>Tools10-401 (Old #: Tools10-400-10)</td>
<td>Meeting Records</td>
<td>Various</td>
<td>Official Record with Committee Secretary or designate unless defined by bylaw or approved policy</td>
<td>6 years unless alternate retentions is prescribed elsewhere (i.e., legislation, policy, other record schedule, etc.)</td>
<td>Send list of records that have met retention requirements to Archives. The response will indicate 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.</td>
</tr>
<tr>
<td>Tools 10-402 (Old # Tools10-400-20)</td>
<td>Terms of Reference and Membership Lists</td>
<td>Various</td>
<td>Official Record with Committee Secretary or designate unless defined by bylaw or approved policy</td>
<td>SO + 6 years unless alternate retentions is prescribed elsewhere (i.e., legislation, policy, other record schedule, etc.)</td>
<td>Send list of records that have met retention requirements to Archives. The response will indicate 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.</td>
</tr>
</tbody>
</table>
# TOOLS 10

## FUNCTION 500 – COMPARATIVE ANALYSIS AND RESEARCH

Information gathered and maintained with the purpose of informing future initiatives. Records filed within this function may include published and unpublished comparatives from other organizations, related copies of University Records of which the primary purpose relates to other areas, research notes and analysis developed in relation to a specific project/activity. Includes materials collected at professional development events.

<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>
<tbody>
<tr>
<td>Tools10-501 (Old #: Tools10-500-10)</td>
<td><strong>Comparative Analysis and Research</strong></td>
<td>Various</td>
<td></td>
<td>SO</td>
<td>Send list of records that have met retention requirements to Archives. The response will authorize the destruction of the records and request a copy of the ‘Confirmation of Secure Destruction’.</td>
</tr>
</tbody>
</table>