TOOLS 10

RECORDS CLASSIFICATION PLAN AND RETENTION SCHEDULE

URIMC Approved:
July 11, 2012
URIMC Revised:
November 4, 2016; May 24, 2017; November 23, 2017
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

FUNCTIONAL GROUPING DESCRIPTION

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, procedures and forms, miscellaneous/incidental information, reports and statistics, records relating to committees and working groups and comparative analysis and research.

TOOLS 10 FUNCTIONS LIST

100 Policies, Procedures and Forms

200 Miscellaneous/Incidental Information 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

FUNCTION DESCRIPTION

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 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>Tools10-100-10</td>
<td>Policies, Procedures and Forms</td>
<td>Various</td>
<td>Various</td>
<td>SO + 6 years</td>
<td>SO</td>
<td>No</td>
<td>All records in this series are appraised by Archives.</td>
</tr>
</tbody>
</table>

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.

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.”

*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.
### TOOLS 10

**FUNCTION 200 – MISCELLANEOUS/INCIDENTAL INFORMATION**

**FUNCTION DESCRIPTION**

The function of addressing records received that do not relate to any specific activities.

Records filed in Tools 10-200 do not document decisions, actions or transactions or provide information about similar activities in other universities or for non-specific inquiries.

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Series Name</th>
<th>OPR</th>
<th>Location</th>
<th>Retention</th>
<th>Other Copies</th>
<th>Electronic System</th>
<th>Disposition Guidelines and Related Series</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tools10-200-10</td>
<td>Miscellaneous Communications and Information</td>
<td>Various</td>
<td>Various</td>
<td>2 years</td>
<td>No</td>
<td>No</td>
<td>Decommissioned by URIMC November 23, 2017</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

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TOOLS 10

FUNCTION 300 – REPORTS AND STATISTICS

FUNCTION DESCRIPTION

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 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>Tools10-300-10</td>
<td>Reports and Statistics</td>
<td>Various</td>
<td>Various</td>
<td>6 years</td>
<td>3 years</td>
<td>No</td>
<td>Reports associated with committees or working groups are filed in Tools10-400-10.</td>
</tr>
</tbody>
</table>

See Tools10-500 for reports that are not generated internally and that are retained for reference purposes.

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FUNCTION 400 – COMMITTEES AND WORKING GROUPS

FUNCTION DESCRIPTION

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 Number</th>
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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>Tools10-400-10</td>
<td>Meeting Records</td>
<td>Various</td>
<td>Committee Secretary or Designate unless defined by bylaw or approved policy</td>
<td>6 years unless alternate retention is prescribed elsewhere (i.e., legislation, policy, other record schedule, etc.)</td>
<td>3 years</td>
<td>No</td>
<td>Reports associated with committees or working groups are filed here and not Tools10-300-10.</td>
</tr>
</tbody>
</table>

Includes agendas and approved minutes, tabled documents, appendices, presentations received, etc.

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</tr>
</thead>
<tbody>
<tr>
<td>Tools10-400-20</td>
<td>Terms of Reference and Membership Lists</td>
<td>Various</td>
<td>Committee Secretary or Designate unless defined by bylaw or approved policy</td>
<td>6 years unless alternate retention is prescribed elsewhere (i.e., legislation, policy, other record schedule, etc.)</td>
<td>3 years</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

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*B – Banner

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FUNCTION 500 – COMPARATIVE ANALYSIS AND RESEARCH

FUNCTION DESCRIPTION

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.

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</tr>
</thead>
<tbody>
<tr>
<td>Tools10-500-10</td>
<td>Comparative Analysis and Research</td>
<td>Various</td>
<td>Various</td>
<td>SO</td>
<td>SO</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

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