

Administration (A)

General (001 – 009)

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- A02 Appreciation / Complaints / Invitations
- A06 Inquiries

Emergency Management (010 – 019)

- A10 Disaster Planning

Reserved (020 – 029)

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- A30 Contracts and Agreements
- A31 Intellectual Property (copyright, patent, trademark)
- A32 Legal Advice
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Reserved (040 – 049)

Planning and Organization (050 – 059)

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- A52 Operational Planning
- A53 Program Reviews
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A01**General**

Consists of records relating to administration of the University in general that do not fit elsewhere in this section.

Master Copy**Retention**

2 years after last action

Disposition

Destroy

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also**Retention Rationale****Filing Guidelines**

Review the "General" folder periodically to ensure that it does not contain documents that should have been filed under other records series.

A02

Appreciation / Complaints / Invitations

Consist of records relating to appreciation and complaints of a general nature. Also includes invitations, congratulatory notes, apologies, condolences and letters of acknowledgement.

Master Copy	Retention 2 years after last action, or complaints resolved
	Disposition Archives Review
Other Copies	Retention Until operational use ceases
	Disposition Destroy

See Also

Retention Rationale

Filing Guidelines

University Archives will retain resolutions of complaints that have significant impact on the policy and practice of the University.

A06**Inquiries**

Consist of records relating to general inquiries about the operation, projects, programs, or activities of the University. The inquiry is usually a short term, one-time interaction and does not demand complicated informational search. For inquiries from media, see Communications section.

Master Copy**Retention**

2 years after last action

Disposition

Destroy

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also**Retention Rationale****Filing Guidelines**

A10**Disaster Planning**

Consist of records relating to contingency planning and disaster recovery to ensure business continuity and technology recovery of the University. Records may include risk assessment, plans of actions, communication plans, training drill reports, network architecture review, restore log files, directories and other related documents needed to restore or recover a computer system.

Master Copy**Retention**

10 years after superseded or obsolete

Disposition

Archives Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also**Retention Rationale****Filing Guidelines**

A30

Contracts and Agreements (Non-Research)

Consists of records relating to the development, negotiation and administration of contracts or agreements between the University and other parties for goods and services. Records may include signed contracts, legal agreements, terms and conditions, amendments, addenda, contract variations, review documentation and related correspondence. For research contracts and agreements, see Research section.

Master Copy	Retention 15 years after contracts expire or terminated, and all conditions satisfied
	Disposition Archives Review
Other Copies	Retention Until operational use ceases
	Disposition Destroy

See Also

Retention Rationale

The recommended retention period meets the requirements of the legislated limitation periods set for contracts and torts, and certain other actions under Section 4 of the *Limitation Ordinance (Chapter 347)*.

- 6 years for contracts and torts – s.4(1)(a)
- 12 years for specialties – s.4(3)

Filing Guidelines

Suggestion: Contracts of substantial value (e.g., that are worth over certain amount of money or have a longer term, or that are university-wide) to be centralized in one office (e.g., Finance, or Strategic Planning and Provost's Office). The benefits are better management and security control, and ease of retrieval.

A31

Intellectual Property

Consists of records relating to acquisition and maintenance of the intellectual property rights for works and products developed or acquired by the University. Records may include proposals, reports, patent/trademark application forms, descriptions of inventions, marketability evaluations, material transfer agreements, assignment of rights, licenses, certificates, etc.

Master Copy

Retention

7 years after rights, licenses or authorizations expire, or applications rejected

Disposition

Archives Review

Other Copies

Retention

Until operational use ceases

Disposition

Destroy

See Also

Retention Rationale

Filing Guidelines

A32**Legal Advice**

Consists of records relating to legal advice and opinions received from within the University or outside on issues of legal concern, or matters which may have significant impact on the policy and procedures of the University. Also include legal advice relating to interpretation of legislation, regulations, contracts, etc. For legal proceedings, see A33.

Master Copy**Retention**

10 years after settlement of issue or as long as legal advice remains operational

Disposition

Archives Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also

A33 Legal Proceedings

Retention Rationale**Filing Guidelines**

A33**Legal Proceedings**

Consists of records relating to legal proceedings (including potential legal actions) involving the University. Records may include legal correspondence and pleadings, affidavits, statements of claims, subpoenas and notices to appear, court orders or judgments, terms of settlements, rulings and notices of discontinuance. For legal advice, see A32.

Master Copy**Retention**

10 years after case closed and rights of appeal have expired

Disposition

Archives Review

Other Copies**Retention**

Until case closed and rights of appeal have expired.

Disposition

Destroy

See Also

A32 Legal Advice

Retention Rationale**Filing Guidelines**

A50**University Organization and Structure**

Consists of records relating to the definition and evolution of the organizational structure of the University including identification of units, number of positions and reporting structure, development and review of the mandates, reorganization or restructuring of units and committees. Records may include organizational or structural analyses, organization charts, documents outlining positions and responsibilities, recommendation reports and related correspondence.

Master Copy**Retention**

Until superseded

Disposition

Archive Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also**Retention Rationale****Filing Guidelines**

A51**Strategic Planning**

Consists of records relating to the development and implementation of the University's strategic plan. Records may include vision statement, mission statement, business trend analyses, consultation documentation, action plans, and performance indicators. For departmental operating plans, see A52.

Master Copy**Retention**

7 years after last action

Disposition

Archives Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also

A52 Operational Planning

Retention Rationale**Filing Guidelines**

A52**Operational Planning (Faculty and Centre Development Plans)**

Consists of records relating to development and implementation of the annual operating plans of individual departments/centers/units. Records may include statement of objectives and goals, consultation documentation, action plans, project plans, performance indicators, etc. For strategic planning of the University, see A51.

Master Copy**Retention**

7 years after last action

Disposition

Archives Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also

A51 Strategic Planning

Retention Rationale**Filing Guidelines**

A53

Program Reviews

Consists of records relating to internal or external reviews of academic programs (including accreditation of professional programs), administrative units, university initiatives or services. Records may include background support materials, satisfaction surveys, comparisons with other institutions, response documentation, recommendation reports, and related correspondence.

Master Copy

Retention

10 years after last action

Disposition

Archives Review

Other Copies

Retention

Until operational use ceases

Disposition

Destroy

See Also

Retention Rationale

Filing Guidelines

A54**Quality Audits**

Consists of records relating to internal or external quality audits on the University's affairs including areas of governance, management, operational efficiency, compliance with legislations and regulations, teaching and learning quality assurance and enhancement, etc. Records may include "start" letter, notes on site visit, audit questionnaires, institutional submission, feedback and comments, recommendations, progress reports and audit reports. For financial audits, see Finance section.

Master Copy**Retention**

2 audit periods for cyclical audits

10 years after last action for ad hoc requests and investigations

Disposition

Archives Review

Other Copies**Retention**

Until operational use ceases

Disposition

Destroy

See Also**Retention Rationale****Filing Guidelines**