Sample File Plan

ADG Administration and Governance					
File Class	**File Title/Type**	**Description**	**Arrangement**	**Retention**	**Disposition**
ADG00 Policies, Procedures, Standards	Standard Operating Procedures (OPR)	Consists of records relating to the establishment of university or **[unit]** policies, procedures and standards	Alphabetically	7 years after superseded or obsolete	Destroy after Archives review
ADG01 General	Correspondence (OPR)	Consists of general correspondence relating to the management and administration of the **[unit**] that do not fit in any named file class	Alphabetically by academic year	2 years	Destroy
ADG02 Reports and Statistics	Office of Institutional Research and Analysis (OIRA)	Consists of records relating to the creation and use of reports and statistics documenting any aspect of the **[unit]** administration and governance	Alphabetically by academic year	Until operational use ceases (<10 years)	Destroy
ADG03 Committees	Senior Administrators Group Exchange (SAGE)	Documents the proceedings and actions of SAGE	By academic year	Until operational use ceases (<7 years)	Destroy
ADG10 Senate	Agenda Packages and Minutes	Consists of records relating to proceedings and actions of Senate	By academic year	Until operational use ceases (<7 years)	Destroy
ADG60 External Relations	Council of Ontario Universities (COU) (OPR)	Consists of records relating to the administration and interaction between the **[unit]** and the COU	Alphabetically by academic year	7 years	Destroy after Archives review
ADG65 Government Relations	Ministry of Training, Colleges & Universities (MTCU) (OPR)	Consists of records relating to the administration and interaction between the **[unit]** and MTCU	By calendar year	7 years	Destroy after Archives review
ADG70 University Relations – Internal	Alumni and Advancement Services (OPR)	Consists of records relating to administration and interaction between the **[unit]** and Alumni and Advancement Services	By academic year; file alphabetically by unit name	7 years	Destroy after Archives review
ADG71 Advice and Inquiries	Advice and Inquiries (OPR)	Consists of records relating to inquiries and requests for advice. The advice or inquiry is a short-term, typically one time interaction	By calendar year	1 year after interaction complete	Destroy

ADG Administration and Governance					
File Class	**File Title/Type**	**Description**	**Arrangement**	**Retention**	**Disposition**
ADG74 Office Operations	Staff Meetings (OPR)	Records relating to the preparation and conduct of staff meetings	By academic year	1 year after operational use ceases	Destroy
ADG75 Program Management	Briefing Notes (OPR)	Documents and status reports to senior executives informed about ongoing activities and issues in the **[unit]**	Alphabetically by academic year	7 years after last action	Destroy
ADG80 Program Planning	Work Plans (OPR)	Documents in detail all tasks and sub-tasks necessary to complete any and all proposed projects by the **[unit]**	By fiscal year	7 years	Destroy after Archives review
ADG85 Program Review or Audit	Program Review Files	Consists of records relating to internal or external review of an academic program, university program, service or operational unit	By academic year	Until operational uses ceases (<7 years)	Destroy
ADG90 Unit Relations – Internal	Office of the President (OPR)	Documents administration and interaction between the **[unit]** and the President's office	By academic year	7 years	Destroy after Archives review
ADG99 Reference and Information	Reference Files (OPR)	Consists of records received for information purposes regarding the administration and governance of the University		Until operational use ceases	Destroy

CAM Campus Services

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
CAM00 Policies, Procedures, Standards	Campus Services P&Ps	Consists of copies of campus services and business operations related policies, procedures and standards		Until superseded or obsolete (<7 years)	Destroy
CAM01 General	Correspondence (OPR)	Consists of general correspondence relating to campus services and resources that do not fit in any named file class	By academic year	2 years after last action	Destroy
CAM40 Ombuds Services	Reports	Consists of reports relating to the management and operation of ombuds services	By academic year	Until operational use ceases (<7 years)	Destroy
CAM50 Postal and Shipping Services	Journal Transfers (OPR)	Consists of records relating to mailing and shipping	By academic year	1 year after action complete	Destroy
CAM99 Reference and Information	Reference Files (OPR)	Consists of records received for information purposes and retained for reference value regarding campus services	Alphabetically by calendar year	Until operational use ceases	Destroy

CPR Communications and Public Relations

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
CPR02 Reports and Statistics	Performance Indicators	Consists of reports and statistics relating to communications, public relations, alumni and advancement	By academic year	Until operational use ceases (<10 years)	Destroy
CPR15 Special Events	The President's Staff Recognition Awards	Consists of records relating to the planning and conduct of this recognition	By academic year; file by type of event	Until operational use ceases (<3 years)	Destroy
CPR20 Communications and Public Relations	Photographs and Recordings (OPR)	Consists of records relating to the drafting and maintenance of photo and video release forms and statements at the University	By academic year	3 years after last action	Destroy after Archives review

EQP Equipment and Supplies

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
EQP11 Asset Surplus and Disposal	Computing Equipment	Consists of records relating to the management and disposal of university surplus movable assets	By academic year	Until operational use ceases (<7 years)	Destroy
EQP21 Office Equipment and Furniture	Maintenance Contracts and Service Agreements (OPR)	Consists of records relating to maintenance and repairs of all office equipment and furniture in the **[unit]**	By academic year	2 years after equipment disposed of	Destroy
EQP22 Other Equipment and Supplies	Other Equipment (OPR)	Consists of operational manuals and user guidelines for equipment and supplies other than computers and office equipment and furniture in the **[unit]**	By academic year	2 years after equipment disposed of	Destroy
EQP99 Reference and Information	Suppliers' Catalogues (OPR)	Consists of records received for information purposes regarding equipment and supplies. These records are only retained for their reference value	By academic year	Until operational use ceases	Destroy

FCL Facilities and Property

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
FCL02 Reports and Statistics	West Nile Annual Reports	Consists of records relating to the creation and use of reports and statistics documenting the control of West Nile at the University	By academic year	Until operational use ceases (<10 years)	Destroy
FCL12 Custodial Services	Carpet Cleaning	Consists of records relating to the planning and administration of carpet cleaning at the University. Records may include work orders and service reports	By academic year	Until operational use ceases (<2 years)	Destroy
FCL22 Construction and Renovations	Archives Building / Research Tower	Consists of records relating to the planning, design, construction of the new archives building and research tower		Until operational use ceases (<7 years)	Destroy

FIN Finance					
File Class	**File Title/Type**	**Description**	**Arrangement**	**Retention**	**Disposition**
FIN00 Policies, Procedures, Standards	Finance P&Ps	Consists of copies of financial policies and procedures		Until superseded or obsolete (<7 years)	Destroy
FIN10 Accounts Payable	PCard (OPR)	Consists of records relating to all PCard receipts and statements for purchases made by the **[unit]**	By fiscal year	7 years after last action	Destroy
FIN20-05 Audit – External Statements	Ernst & Young LLP Chartered Accountants	Consists of records relating to external audits of **[units']** financial system and records	By fiscal year	2 years after completion of audit	Destroy
FIN30 Budgets	University Secretariat	Consists of records relating to planning, control and follow-up of annual unit budget and components	By fiscal year	Until operational use ceases (<7 years)	Destroy
FIN40 Procurement	Information and Privacy Office (OPR)	Consists of records relating to acquisition of goods and services including bid and competitive selection process	By fiscal year	Until contract superseded (for renewal or extended contracts) or until 1 year after contract expired or action completed unless there is a longer warranty, in which case documentation retained for length of warranty	Destroy

INF Information Technology and Information Management					
File Class	**File Title/Type**	**Description**	**Arrangement**	**Retention**	**Disposition**
INF00 Policies, Procedures, Standards	Records & Information Management P&Ps (OPR)	Consists of records relating to the establishment of information management policies, procedures, standards.		7 years after superseded or obsolete	Destroy after Archives review
INF70 Access to Information Requests and Privacy Complaints	Access to Information Requests (OPR)	Consists of records relating to information requests made under the *Freedom of Information and Protection of Privacy Act* (FIPPA)	By case file number	5 years after last action	Destroy
	Privacy Breaches (OPR)	Consists of complaints regarding privacy breaches	By case file number	5 years after last action	Destroy
INF71 Access and Privacy Program	Project Files (OPR)	Consists of records relating to the development and implementation of the program tools to assist the University with FIPPA compliance.	Alphabetically	2 years after last action	Destroy
INF80 Records Retention and Disposition Program	Project Files (OPR)	Consists of records relating to the development and implementation of a university-wide Common Records Schedule.	Alphabetically	2 years after last action	Destroy
INF81 Records Transfer and Destruction	Records Transfer Lists (OPR)	Consists of records relating to the transfer of **[unit]** records to storage or to the University Archives	By calendar year	Permanent	
INF99 Reference and Information	Articles/News Clippings (OPR)	Consists of records relating to RIM/FIPPA issues received for information purposes and retained for reference value.		Until operational use ceases	Destroy

RES Research

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
RES00 Policies, Procedures, Standards	Research P&Ps	Consists of copies of research policies, procedures, standards		Until operational use ceases (<7 years)	Destroy
RES03 Committees	Research Services Coordination Steering Group	Consists of records relating to proceedings and actions of the Research Services Coordination Steering Group	By academic year	Until operational use ceases (<7 years)	Destroy

STU Students

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
STU00 Policies, Procedures, Standards	P&Ps	Consists of copies of student policies, procedures, standards	By policy number	Until operational use ceases (<7 years)	Destroy
STU99 Reference and Information	Reference Files (OPR)	Consists of records received for information purposes and retained for reference value regarding students and student services	Alphabetically	Until operational use ceases	Destroy

TCH Teaching and Learning

File Class	File Title/Type	Description	Arrangement	Retention	Disposition
TCH00 Policies, Procedures, Standards	P&Ps	Consists of copies of policies, procedures, standards relating to teaching and learning		Until operational use ceases (<7 years)	Destroy
TCH99 Reference and Information	Reference Files (OPR)	Consists of records received for information purposes and retained for reference value regarding teaching and learning.	Alphabetically	Until operational use ceases	Destroy