**AD40 – Planning & Review [DRAFT]**

Records of the development, monitoring and review of short- and long-term plans for the University, and for its administrative units and programs.

**Content & Scope**

Records of the unit’s role in developing, drafting, monitoring and reviewing short- or long-term plans, either University-wide or specific to the unit’s areas of responsibility. The records class includes records of internal or external reviews and evaluations of University programs, services or units which assess the implementation of plans and support future planning.

This records class excludes records of academic program planning and review, and other records classified with a more specific records class (e.g., business continuity plans, in HS12 – Emergency/Safety Plans & Programs).

The records include: final versions of plans; plan updates, revisions and amendments; vision statements, statements of goals and objectives; performance measures and targets; major drafts of plans which have been distributed for review and comment; working or discussion papers and reports used in developing and updating plans; final implementation plans and associated working papers (e.g. analyses, benchmarking exercises and performance monitoring); reports and measures; and, related correspondence.

**Related Records**

- For records of plan implementation and administration of associated projects, programs and services, see AD05 – Program Management.
- For records of academic program development, see AD37 – Faculty Councils & Committees, and the records of Senate and its committees/councils (GV55 – Senate, GV60 – Senate Committees and Councils).
- For records of academic program reviews, see TL10 – Accreditation, TL15 – Graduate Program Review, and TL18 – Undergraduate Program Review.

**Responsible Unit**

All units.

**Information Steward**

- Deputy Provost & Associate Vice-President, Integrated Planning & Budgeting, for records relating to University-wide planning and review.
- Information steward responsible for the area of University administration (consult the directory of information stewards for more information), for other planning & review records
Privacy Classification

Public:
- University-wide strategic plan, major drafts, discussion papers, implementation plans, progress reports, performance measures and targets intended for public release.
- Other unit-specific or program plans, implementation plans, progress reports, performance measures and targets, and planning document drafts which are intended for public release.

Confidential: all other records.

Retention

- Final version of plans, plan updates/amendments, and associated implementation plans, progress reports, performance measures and targets: Until the next planning, implementation and review cycle is complete.
- All other records: Minimum of 3 years and no more than 5 years after last action (units must document the specific retention period within this range that they are using for their records).
- Note: Anonymized data sets derived from records in other records classes may be retained until superseded or obsolete, as resources for planning and review activities.

Disposition

Archives Selection.

Archival Records

The University’s strategic plan, the plans of the offices of Executive Council members, and associated plan updates/amendments, implementation plans, progress reports, performance measures and targets are of long-term historical value to the University. Please contact the University Records Manager for further assistance with these records at the end of their retention period.

All other records should be destroyed at the end of their retention period. Confidential records should be securely destroyed.

Authority

- University of Waterloo Act, 1972

Retention Rationale

The retention period is based on operational use and requirements of the Broader Public Sector Business Documents Directive to make the University’s business plans and other records available to the public.

Some records are of long-term historical value.

Under Review Date

8 November 2018.