AD48 – Policies, Procedures, & Guidelines [DRAFT]

University policies, procedures and guidelines, operating procedures/guidelines, and records relating to their development.

Content & Scope

University policies are initiated, reviewed, amended, and approved as set out in Policy 1 – Initiation and Review of University Policies. These policies are supplemented and supported by University procedures and guidelines available through the Secretariat website. University policies, procedures and guidelines apply to all employees, students, and visitors.

Operating procedures, guidelines, and similar guidance documents are developed by administrative units under the authority of the senior administrator with overall responsibility for a given area of administration. In some cases, they may be referred to as “policies” even though they are not numbered University policies established according to Policy 1. These procedures, guidelines, and related guidance sometimes apply only to the unit which develops them, or they may apply to all University offices/units (e.g., Finance Department procedures and guides).

This records class excludes procedures and guidelines required by statute or regulations which are classified with other records required by the statute/regulations (e.g., procedures for obtaining access to or requesting corrections of personal health information records, classified under IM30 – Information Access & Privacy).

The records include the final, approved, versions of these policies, procedures, guidelines, and related guidance, and records relating to their development, review, amendment or revision.

Media

The official record of University policies established according to Policy 1 is on paper, bearing the seal of the University. An electronic copy is made available to the University community and the public on the University's web site.

 Responsible Unit

- Secretariat, for numbered University policies.
- Units issuing procedures and guidelines.

Information Steward

- University Secretary, for numbered University policies.
- Information steward responsible for the given area of University administration, for University or operating procedures and guidelines (consult the directory of information stewards for more information).
Privacy Classification

- **Public**: The final approved versions of University policies, procedures and guidelines, and other operating procedures/guidelines intended for public release.
- **Confidential**: all other records.

Retention

- **Permanent**: numbered University policies established under Policy 1.
- **3 years after superseded or withdrawn/cancelled**: final approved versions of University procedures and guidelines; operating procedures, guidelines issued by administrative units.
- **Minimum of 1 year and maximum of 3 years after last action or when no longer administratively required** (units must document the specific retention period within this range that they are using for their records): all other records concerning the development, review, amendment or revision of policies, procedures, and guidelines.

Disposition

Archives Selection.

Archival Records

- University-level procedures and guidelines 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.
- Superseded versions of numbered University policies established under Policy 1 may be transferred to the University archives, in the Library Special Collections & Archives department, to facilitate their preservation and access.
- 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.*

Under Review Date

28 March 2018