PROVINCIAL
ARCHIVES OF
SASKATCHEWAN

Information Management Unit

Records Retention and Classification Schedule Development Guide

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Please note: the ORS Development Guide is designed to be printed double-sided.
Printing single-sided may result in formatting errors.

1. Overview

Records classification and retention schedules (hereafter called records schedules) are basic information management tools that set the foundation for any records management program. In Saskatchewan, a records schedule is an official policy document that arranges records in logical groupings based on business processes or "functions." It lays out how long records must be retained to meet an organization's business, financial, and legal requirements.

The Archives and Public Records Management Act, Section 24(1) states that "every government institution shall prepare one or more records schedules respecting the management of all public records that are in their custody or under their control." All records schedules must be approved by the Public Records Committee (PRC) before they can be used for classifying and disposing of records.

In Saskatchewan, there are two types of government records created by government institutions: administrative and operational. These two types of records are managed accordingly by a common administrative records schedule (Administrative Records Management System 2014 or ARMS2014) and by an operational records schedule (ORS) unique to each government organization. While operational records are distinct from administrative, these two systems are designed to be compatible and to manage all records created and maintained by an agency.

Due to the unique nature of operational records, an ORS cannot be developed in a cross-government format. ARMS 2014 applies to "administrative records" typically maintained by all Executive Government Ministries, agencies, offices, boards, commissions, and can be applied to certain Crown Corporations. ORS, however, are developed on an agency-by-agency basis by government organizations in consultation with Information Management Archivists from the Provincial Archives of Saskatchewan who review and recommend schedules to the PRC.

While the basis of an operational schedule has not changed, the PRC, upon the recommendation of the Information Management Unit (IMU) of the Archives, has approved a new format for schedules to help government organizations create efficient records management tools. The new format is based on broad groupings of records related to comparable business processes and functions sharing similar retention requirements. This broader record series strategy, known as "big bucket," has been adopted for simplifying records retention schedules on an institution-wide basis rather than branch and/or unit basis. This format has been adopted, in part, due to the corporate-wide Lean review of records management that took place in 2011.

The new classification strategy is less granular than the hierarchical system previously used in ARMS 2006 and ORS. The broader classification approach significantly reduces the number of classification categories for records and makes the system flexible enough to accommodate a variety of records formats, including electronic records. In addition, the new system is based on functions and business processes which easily adapt to reorganizations and changes in the scale and scope of operations over time.

2. Key Records Management Concepts

Before embarking on an ORS development project, there are a number of key records management definitions and concepts you must be familiar with. It is important that everyone you consult with and work with in your organization has a baseline understanding of what records management is and why it's important. The rest of this document will assume that users have a basic understanding of these concepts.

As mentioned in the Overview, records management in the Saskatchewan provincial government is governed by *The Archives and Public Records Management Act*. The Act also introduces some key definitions. One of the most basic definitions you need to know is that of a "record."

RECORD: a record of information in any form and includes information that is written, photographed, recorded or stored in any manner, but does not include computer programs or other mechanisms that produce records.

You are probably aware that, as your agency does its work, records are created, sent to other branches, copied, printed, edited, etc. For the purposes of this document, we are primarily interested in the official record.

OFFICIAL RECORD: Refers to the official copy of a record that is retained within the institution for legal, fiscal, operational or historical purposes. It exists to fulfill long-term financial, legal and/or audit requirements. It can be the original and only copy of the record or a replacement copy that is designated as official.

Your official record of a memo that was created in a word processing program may be the electronic file in the format used by the computer program. Or, it could be the version that was printed and filed. It could be a word processing file that has been converted into a different electronic format, such as a PDF. It will be helpful if your agency creates standardized rules around which version of a record is official and what versions are transitory. This will help to ensure you aren't keeping multiple versions of a record in multiple formats. It's important to note that changing the format of a record can have legal and regulatory implications for your agency. For more information, please contact the Archives.

Your approved records schedule (ORS and/or ARMS 2014) must be applicable to your agency's official records, regardless of the format they reside in. While the new schedule format is designed to facilitate easier classification of electronic records, it must still be applicable to official records which are retained in paper format, or that were created in the past that your agency still has a use for.

The last definition to be aware of is that of a government record.

GOVERNMENT RECORD: Government records include all recorded information that relates to the transaction of government business, regardless of physical form, including documents, maps, electronic records, e-mail, drawings, photographs, letters, vouchers, etc. which are received, created, deposited or held by an office of a ministry, agency, board, crown corporation, commission, independent office of the Legislative Assembly or other institution of the Government of Saskatchewan.

Government records are managed by records schedules, of which ORS are one type. As you can infer from the above definitions, not all records are necessarily government records. However, the official records that your agency holds will almost always be government records and must therefore be classified and retained according to a records schedule. For more information about the types of records which don't need to be included in an ORS, please see Section 5.

2.1 Why is records management important?

Records are the "institutional memory" of an agency – they are necessary for policy development, legislative compliance, decision making, and almost every aspect of day-to-day government work. They are essential assets of every government agency. Your agency is accountable to the public for its records in the same way it is accountable for financial expenditures.

An effective records management program, consisting of approved and up-to-date ORS, comprehensive internal policies and procedures, and sufficient staff and resources benefits your agency and the general public in a number of ways. These include:

- Less time spent searching for the records you need
- Less money spent storing records in off-site storage or valuable office space
- Better knowledge of the records you have means better protection of personal and confidential information
- Preservation of historically-significant records by the Provincial Archives of Saskatchewan
- Legislative Compliance with *The Archives and Public Records Management Act, The Freedom of Information and Protection of Privacy Act*, and *The Health Information Protection Act*.
- Minimize your agency's exposure to risk caused by the mismanagement of records

The retention periods within your ORS are the minimum amount of time that your agency must keep its records before seeking approval from the Provincial Archivist to dispose of them. **Government records cannot be destroyed without written permission from the Provincial Archivist**. For more information on the Records Disposal Process, please visit www.saskarchives.com and click on "Services for Government."

3. Format of Schedules

3.1 Explanation of Format

The new format for the Government of Saskatchewan's records schedules is based on "big bucket" principles. The big bucket approach simplifies records schedule creation, implementation and application by consolidating similar record types and grouping them together based on business functions and similar retention needs. This consolidation results in a schedule format that is concise and easy-to-use.

This format for ORS includes a classification system based on broad groupings of records related to the functions, activities, and business transactions that the agency delivers as part of its mandate. Retention periods, based on business, legal, or administrative need, are assigned to each broad grouping of records and apply to all records that are contained within that grouping. Each grouping also contains a 'P.I.' column which is flagged when records classified within that bucket contain personal information or personal health information.

The new ORS format is based on the "record series" as the principal level of classification. A record series may be too broad to work as a suitable level of classification. **It is up to every agency to create its own divisions of classification below the record series level.** An example of this can be seen on the next page. Consistent naming conventions and version control procedures will help to standardize this process throughout an agency and are extremely important for future retrieval for information.

Below is an example of a records series from the Ministry of Parks, Culture and Sport Schedule Number 484 (this series has been condensed for space purposes). This schedule was developed as part of a pilot project looking into the feasibility of big bucket schedule development.

30700 Heritage Programs and Initiatives

Records documenting programs, initiatives, events, etc. relating to heritage activities such as Heritage Week, Historic Places Initiative (HPI), Main Street Saskatchewan, Youth Heritage Poster Contest, etc.

Includes: program implementation documents such as agreements, contracts, reporting, meetings, development of HPI tools (Canadian Register of Historic Places, Standards & Guidelines, Commercial Heritage Properties Incentive Fund); public lecture promotions and admin documents… briefing materials, general correspondence, reports.

Retention	P.I. Ministry use only
10 years	

Below is a screenshot of a potential file path based on the record series illustrated on the previous page. It shows how a record series can be broken down into smaller categories that allow for easy classification. This structure could be replicated to work with paper records as well. Please note, this example is for illustrative purposes only and is not meant to reflect the actual filing practices of any agency.


The "**F**" folder represents a main shared drive that would be shared by the agency.

The "**HCB**" abbreviation stands for Heritage Conservation Branch and would contain all records relating to the operational functions performed by the branch.

"**30700**" is the classification number assigned to the Projects and Initiatives record series shown on the last page. If staff members are uncomfortable using classification numbers, a short name such as "Projects & Initiatives" could be used as well.

If you look at the description of the record series contents on the previous page, you'll see that one of the items listed is "Heritage Week." That program has been reflected with the slightly abbreviated "**Heritage Wk**" folder. Sensible and easy to understand abbreviations conserve space in the file path and make it easier to use the filing system.

Beneath the Heritage WK folder there are four folders which sit at the same level. These are "**Contracts**," "**Meetings**," "**Promotions**," and "**Reports**." These folders represent specific activities which took place as part of the Heritage Week program. If we open up the Reports folder, we see the following documents:
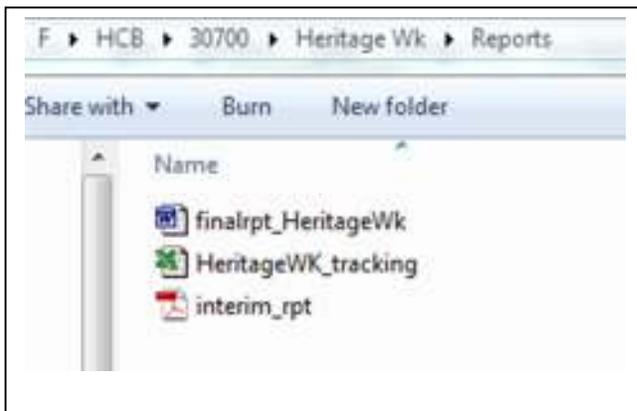
This level is the first place at which we find actual documents filed as opposed to just classification levels. Here we have three types of documents, a Microsoft Word document, an Excel spreadsheet and a PDF report. In this image, we can also see the file path that takes us to this folder.

All documents beneath the 30700 level share the same retention period of 10 years.

3.2 "New" versus "Old" format

The previous version of records schedule that was used in the Saskatchewan government was arranged into three basic levels of record description - Sections, Primaries and Secondaries. Each level was based on the function the information supported and each level was progressively more specific than the last with retention periods assigned at the secondary level. Records were classified at the secondary level.

This format was viewed by some to be too cumbersome to be implemented, had far too many categories for users to choose from and therefore took users too much time to classify records. The new system provides more flexibility to the end user when it comes to making classification decisions. **Although breaking down record series established in a big bucket ORS is up to the agency in question, it's important to remember that developing standard filing and naming conventions will better ensure consistency in all aspects of records management.**

In addition, the old format was sometimes too rigid to easily accommodate electronic records. As many government transactions are now documented electronically and at

larger volumes then in the past, the Archives has adopted the big bucket system which is more user-friendly and can more easily be applied to electronic records.

This means that records are now classified on a higher level which is known as a series level. This higher level could reflect an entire primary in the old system or a number of secondaries or primaries providing they relate to the same functions and share the same retention period. Secondaries are no longer pre-established, which means agencies will have the flexibility to come up with their own system of naming and classifying records beyond the series level. Retention periods are assigned at the records series level. This consolidation is a collaborative process that requires input and participation from records creators, key users within the agency, records managers and legal representation.

An example on the next page shows how primaries and secondaries from the old format can be incorporated into the new system and how this results in a decrease in the number of classification decisions that must be made. The previous ORS, Schedule #341, was in the old format while, Schedule #483, approved in December 2012, utilizes the new big bucket system. Please note that in the new format sub-series or sub-folders can be created by users of the system to accommodate different types of records classified within the record series.

Schedule #341 (old format)

8 primaries and 17 secondaries roll into one big bucket record series called **17005 Benefits Administration**.

Primary-Secondary	Retention
13035 Benefits – Administration (Primary)	
13035-02 Benefit Summaries (Secondary)	6Y
13035-03 Premium Rates	6Y
13035-04 Flexible Benefits	6Y
13035-05 Informational Mail Outs	2Y
13035-06 Benefits Issues	SO+6Y
13035-08 Plan Summaries	SO+6Y
13035-50 Benefit Plans	SO+6Y
13035-60 Adopting Resolutions	SO+6Y
13035-65 Employment Insurance Premium Reduction	SO+6Y
13155 Benefits – Dental	
13155-50 Individual Agencies/Employers	SO+6Y
13185 Benefits – Disability – Long Term	
13185-50 Individual Agencies/Employers	SO+6Y
13200 Benefits – Disability – Short Term	
13200-50 Individual Agencies/Employers	SO+6Y
13225 Benefits – Group Life – Basic	
13225-02 Excess Insurance	SO+6Y
13225-50 Individual Agencies/Employers	SO+6Y
13285 Benefits – Group Life – Optional	
13285-50 Individual Agencies/Employers	SO+6Y
13340 Benefits – Major Medical	
13340-50 Individual Agencies/Employers	SO+6Y
13400 Benefits – Vision Care	
13400-50 Individual Agencies/Employers	SO+6Y

All 17 retention periods have been combined into one

Schedule #483 (new format)

17005 Benefits Administration

Records documenting the management and administration of group plan benefits.

Includes: Dental, Disability, Group life and Vision Care Benefit, Plan Summaries, Rates, Flexible Benefits, Benefit Issues, Policy and Benefit Renewal, Individual Membership Forms, Accidental Death and Dismemberment Benefits Administration, etc.

Retention	P.I. CIC use only
6 years	**P.I.**

The above example is included for illustrative purposes only and may not be applicable to your agency.

4. Who Is Involved In ORS Development?

The process for creating or updating ORS is governed by *The Archives and Public Records Management Act* and involves the participation of the following groups:

1. The Government Institution

ORS development will now be approached on an institution-wide basis. Therefore, it will be necessary for the institution to appoint a 'Champion' for the project. This individual should be an employee at a senior management level who will be responsible for ensuring the participation and cooperation of all parts of the institution throughout the ORS development process.

Each institution will also need a Records Management (RM) Coordinator. The RM coordinator will be provided with instruction and training from the IMU and will then be responsible for the development of the ORS, including collecting information, drafting the schedule and suggesting retention periods for records. This person will liaise with an Information Management Archivist when needed and, once finished will provide the archivist with the completed schedule and all information used in its development for review.

If your agency chooses to hire a consultant or contractor to assist with the ORS development process it is still necessary to appoint a Champion and RM Coordinator. Your agency will need someone on staff who can monitor and coordinate the ongoing use of the ORS, as well as work as an internal liaison for the contractor/consultant. The decision to hire a contractor or to utilize agency resources is an internal one and both routes can result in a successful project provided sufficient resources are available.

Following review by the Archives and before approval by the PRC, the agency's solicitor and privacy officer must conduct a review of the ORS. Signed transmittal letters from these individuals must be submitted to the Archives with the finished package.

2. Provincial Archives of Saskatchewan – Information Management Unit (IMU)

An archivist from the IMU will work in consultation with the RM coordinator to provide assistance throughout the ORS development process. The archivist may, if requested, review the preliminary work of the coordinator and provide feedback. After the coordinator has finished the ORS, the archivist will review the document based on the background information provided to ensure that it meets the standards set out by the IMU and PRC. The archivist may request further information or explanation from the coordinator if anything is missing or unclear. Once the archivist is satisfied that the ORS is complete and the agency has provided the signed original transmittal letters from their solicitor and privacy officer, the archivist will recommend the ORS to the PRC for its review.

3. The Public Records Committee (PRC)

All ORS must be approved by the Public Records Committee. The PRC reviews ORS submissions to ensure that all fiscal and legal requirements are met and that the ORS are in a standard format.

The PRC, as established in *The Archives and Public Records Management Act* and *Regulations* consists of:
- The Provincial Archivist
- The Legislative Librarian
- The Deputy Minister of Finance (or designate)
- The Deputy Minister of Justice (or designate)
- The Cabinet Secretary (or designate)
- The President and Chief Executive Officer of the Crown Investments Corporation (or designate)

The PRC may request clarification of items within the ORS, recommend amendments, reject, or approve the schedule. A submission to the PRC must include letters from the agency head requesting the PRC review the ORS, letters from the agency's solicitor and privacy officer, as well as the final draft of the ORS in the required format.

5. What Needs to be Included when you Develop your ORS?

Your agency must develop an ORS to classify the **operational records** created as a result of carrying out its mandate.

While the look and scale of ORS has changed, the general purpose remains the same as in previous versions: to provide a retention schedule and classification system for the operational records of an agency. Operational records are defined as:

Records which relate to the operations and services provided by an office in carrying out the functions for which it is responsible according to statute, mandate or policy. In most cases, operational records are distinct from common administrative functions and are unique to each government institution.

An ORS breaks down business activities into a number of **record series** based on the **functions** an agency performs.

FUNCTION: A function is anything an agency does, or needs to do, in order to achieve its objectives or mandate. It can be a solitary business activity performed by one group, or a group of activities performed by many groups or branches. A function can be performed directly as a result of an agency's mandate, or it can be something that facilitates that process (these would typically be considered administrative or "housekeeping" functions).

RECORD SERIES: The record series is the lowest level of classification included in an ORS. It consists of a grouping of records which are functionally similar and which share a common retention period. Please note that although the record series is the lowest level of classification included in an ORS, your agency can and should create subseries which further differentiate your records and make searching and retrieval easier and more efficient.

It is important to know that not all records are included in an ORS. The following classes of records do not fall within the definition of an operational record:

ADMINISTRATIVE RECORDS: Records pertaining to administrative or "housekeeping" activities of the organization which are not central to the mandated function of the institution in question. For most government institutions and some crown corporations, administrative records include the management of facilities, property, material, finances, human resources and information systems.

Administrative records are classified using ARMS 2014.

TRANSITORY RECORDS: Records of temporary usefulness that are needed only for a limited period of time, to complete a routine task or to prepare an ongoing document. Also, exact copies of official records made for convenience of reference. They are not required to meet statutory obligations or to sustain administrative or operational functions. Once they have served their purpose, and, in the case of convenience copies, the official record has been identified and retained according to an approved records schedule, they should be destroyed in accordance with internal procedures.

Transitory Records can be disposed of when they have fulfilled their purpose without referring to an ORS or ARMS 2014 and without the approval of the Provincial Archivist. For more information on Transitory Records, please contact the Archives.

NON-GOVERNMENT RECORDS: Not all records created by government institutions are considered government records and are therefore not subject to the requirements of *The Archives and Public Records Management Act*. The following are considered to be non-government records and can be destroyed without reference to an ORS when no longer needed: **published records** and **non-work related records.**

Published Records: Published records are typically available from other sources such as libraries. Books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic, are not considered government records and can be destroyed or deleted. This includes publications received from external sources as well as extra copies of internal publications. The exception is Publication Development Files, as identified in ARMS 2014, Primary 1500.

Non-work Related Records: These are records belonging to government employees which concern their private lives. These records do not pertain to any aspect of government business.

Non-government records can be disposed of when they are no longer needed, with no need to classify or retain them according to an ORS or ARMS 2014.

6. ORS Development Process

The following steps will provide you with a general understanding of the ORS Development Process. Any part of these guidelines can be adapted or changed to accommodate your agency's specific situation. Although these instructions are meant for internal RM coordinators, they can also be followed by outside contractors or consultants.

6.1 Preparation

The first step in the development of an ORS is ensuring sufficient internal resources are in place. Your agency will need to have a Records Management Coordinator who has been trained by the Archives. Your agency also needs to have a Champion, who is someone at the senior management level that will help to ensure cross-agency cooperation and resource allocation. You should also contact the IMU and let them know you are beginning an ORS development project – an Information Management Archivist will be assigned to your project and will be your contact should you have questions or concerns.

The next key step in the preparation phase is to gather as much information related to your agency's functions and records as possible. How you gather material, and what you need, will depend on the size and scale of your organization. Good places to start include finding existing organization charts, mission statements, workflow maps, etc. The goal is to ensure you have a solid understanding of what "functions" your organization performs.

From there, you will need to dig deeper. Examining record inventories or electronic file directories will help you to understand how records have been arranged and described in the past. Although such documents will be helpful, you should refrain from basing classification decisions exclusively on past practices. If changes would improve work flow, business efficiency, and information retrieval, now is the time to make them.

It may also be necessary to interview key personnel from various business units. By finding out what functions different groups perform, you can begin to identify generic functions which occur throughout the agency and also unique functions which are performed at only one place. Sample interview forms are included the Appendices.

An additional resource that may be available to some agencies, or portions of agencies, are records schedules that were developed under the previous format. While the existing ORS may not have been developed in the new classification scheme, it will include valuable information on retention periods, logical groupings and where personal information resides.

6.2 Creating a Classification System

The Archives recommends gathering as much information as possible before beginning to draft your ORS. This will help to prevent redoing work as more information is found. It also ensures that you have a clear picture of who does what and when in your agency, a key part of creating an accurate records management system.

While the definition of a function will vary depending on an agency, generally speaking it is a business activity, or group of business activities that relate to the same purpose. Within the function will be a variety of records which show evidence of that business activity taking place. Examples of operational functions (which may not be applicable to your agency) include things like client services, maintaining student records, issuance of permits or licenses, approval of funding/grants for outside agencies, etc.

Now that you have identified and separated out the various functions your agency performs, you can begin to create your 'buckets' or record series. In many cases, it may be that each function directly translates to one record series. Other times, however, a function may be too complicated to be contained in just one record series. A key point to remember is that all of the records classified within one bucket will share the same retention period. For more information on retention periods, see 6.4 Retention Periods.

It may be beneficial to consider grouping your record series into "sections," especially if your ORS is large enough that end users might have trouble quickly finding the series they need. A section can be based on "like-functions" which share a common purpose or goal, or even the branch or business unit that typically performs that function. A section does not need to be considered a layer of classification; rather it is more an organizational tool which may benefit users of the system. If necessary, you can include a cover page with your ORS which lists the various sections and the buckets that fall beneath them. This will serve the same function as a table of contents does for a book or document.

6.3 Describing Functions

Once you have an understanding of what record series will be contained in your ORS, you need to describe them. Descriptions, (also referred to as scope notes) need to be sufficient to describe the functions contained within each bucket. Lengthy and overly detailed descriptions may clutter the system and limit application of the schedule.

As you can see from the example contained in section 3 of this document, there should first be a description of the function. The language used should be clear enough that all employees can understand what documents fit within the series if they are tasked to classify records. If possible avoid abbreviations and overly technical terms which may change over time.

You should also include a listing of what types of records or documents will be found within each record series. As seen in the example on page 5, this is usually listed in a second paragraph following the word "Includes: ………" Examples of typical document types include things like correspondence, meeting minutes, case files, completed forms or applications, etc.

Steps 6.2 and 6.3 do not necessarily need to be worked on separately. It may be easier, or more efficient to work on descriptions while you create the classification system. At the same time, you may want to begin discussing retention periods (Step 6.4).

6.4 Assigning Retention Periods and Identifying Personal Information

Retention periods represent the minimum amount of time that your agency will keep the records classified within each bucket. Setting appropriate retention periods can be difficult. You must consider business, legal, and administrative needs as well as any historical or reference use your agency may have for the records.
Some record series may contain personal information as defined in *The Freedom of Information and Protection of Privacy Act* or personal health information as defined in *The Health Information Protection Act*, and will be flagged as such (with the abbreviation 'PI' in the Personal Information column). Government agencies must not retain personal information longer than necessary, and the PI designation is an important point to consider as you decide on retention periods.

One point to remember is that if you are having trouble deciding on a retention period that seems appropriate for all of the record types contained within a bucket, is that your bucket may be too large. Retention periods represent the minimum amount of time that records must be retained, so it may not work to have a record series that contains documents needing to be retained for 2 years in the same category as documents needing to be retained for 15 years. For more information on setting retention periods, including some examples of typical options, please see Appendix B.

7. Schedule Review and Approval Process

7.1. Archives Review

The IMU reviews draft ORS to ensure that all retention periods are appropriate, to clarify any questions or inconsistencies within the schedule, and to ensure that the approved format is used throughout. The Archives will only review and recommend to the PRC draft ORS submitted by an agency's RM Coordinator. When an ORS draft has been finalized, the RM Coordinator should get in touch with their IMU contact regarding review of the schedule.

The draft should be accompanied by background information outlining the major functions performed by the work units covered in the schedule, organizational charts and any other information that provides details on the services and activities performed by the agency. It should also include a brief rationale and explanation for why specific retention periods have been chosen for each record series (e.g. any applicable legal and financial requirements, legislation, standards, specific business needs for the records retention, etc.). If a series contains personal information, please include specifics of what it is, and where it is typically found.

Following the Archive's review, the IM Archivist will contact the RM Coordinator to clarify questions or advise on the draft and suggest changes. Once all the questions are clarified and necessary adjustments are made and the Archives considers the draft satisfactory, the organization can forward the draft for review to its legal counsel and privacy officer.

7.2 Legal and Privacy Review

In order to ensure that the retention schedule is adequate from legal and privacy perspectives, a completed draft of the schedule must be sent for review to the agency's legal counsel and privacy officer. The RM Coordinator should also consult and clarify any specific legal or privacy issues with the respective experts during the development process and prior to their final review of the completed schedule.

After completing their review, the legal counsel and privacy officer sign transmittal letters which are submitted to the Archives and provided for reference to the PRC. If changes are recommended, they should be forwarded to the Archives for review. Templates of these letters can be found on the Archives' website (http://www.saskarchives.com) under Services for Government.

7.3 Public Records Committee (PRC) Approval

A schedule submission to the PRC must include:
- A letter from the agency head requesting review and approval of the schedule
- A letter from the legal counsel
- A letter from the privacy officer
- The final draft of the schedule.

The Archives serves as the secretariat to the PRC and will arrange for reviews. The PRC could ask for further clarification on any part of the schedule. The review process will be coordinated by the Information Management Archivists and any questions will be clarified in consultation with the RM Coordinator. Any amendments recommended by the PRC and agreed to by the agency will be made at that time.

If a schedule is not approved due to unresolved issues, insufficient information, or any other factors, it will be sent back to the government agency for revisions with recommendations. If a schedule is approved, the IM Archivist will produce the official version of the records schedule which will be filed and retained by the Archives. A copy will be provided to the agency. The approved schedule can now be implemented for disposal and classification of records.

Amendments to a schedule can be made if necessary. Amendments are subject to legal and privacy reviews and must be approved by the PRC. Please contact the Archives for more information.

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Appendix A

Implementation Tips

Once your ORS has been approved by the PRC, you are ready to start implementing the classification and retention systems. For the purposes of this document, this process has been broken into two parts: the first deals with Active Records. Active records are those that your agency creates, uses, and references as part of its normal, day-to-day operations. The second part looks at Inactive Records including legacy records. These are records that are no longer needed for an organization's activities on a frequent basis but have not yet met their retention period. Inactive records are often moved to less expensive offsite storage.

Like any project, schedule implementation has to be thoroughly planned and requires high level commitment from within the organization. As with ORS development, appointing a Champion, a senior management position responsible for implementation, is beneficial. Keeping the lines of communication open from the executive level down throughout the organization is crucial for the success of a records management implementation project.

Active Records

- An ORS is only the first step in the records management process. Your agency also needs to create institution-specific records management policy and procedures, naming conventions, etc. Ensuring these pieces are in place before beginning the implementation process is essential.

- It is essential that you have a contact person in each branch that can coordinate the process for that branch and assist you with unit-specific questions and problems.

- Consider creating an institutional working group/committee to assist in your records management project. By scheduling regular, ongoing meetings you can keep key people within your agency aware of key developments in the records management process.

- If your agency has an old ORS or filing system in place, you may want to create a Concordance Table to facilitate transition from that system to your new ORS. For an example of a records management concordance table, see ARMS 2014.

- Remember that your ORS applies to official records in all formats. This includes paper records, electronic records, microfilm, etc.

- How you plan and conduct implementation depends on the size of your organization and available resources. The process may be conducted on a branch-by branch basis. You may have to document and keep track of any necessary changes to the schedule in case an amendment is needed following implementation. Alternatively, you may start implementation with one or few selected branches/ business units to identify and amend any deficiencies in the ORS before you roll out the schedule to your entire agency.

- Smaller agencies, or those with considerable resources, may wish to roll-out their ORS agency-wide. This process relies on considerable planning ahead of time. Potential changes, amendments, etc. should be catalogued and made following implementation. This helps to make sure the process does not drag on as it might if amendments were made mid-implementation.

- Consider implementing your ORS on a go-forward basis. A good time to start is the beginning of your agency's fiscal year. Remember, you will need to go back and look at your inactive records to ensure they are managed properly.

- Be consistent! Records management is not an exact science, and there may be more than one classification decision which could be considered correct. It is important that all employees of an agency classify records in a consistent manner. A detailed file key will help.

- Expect a certain amount of confusion and resistance from other staff members. A change to business practices, whether it is a new system for filing paper records, a standardized electronic directory, or the implementation of an Electronic Document and Record Management System, will naturally result in questions and concerns. The best way to mitigate this response is with comprehensive records management policies and procedures, a well coordinated implementation program, strong executive support, and sufficient resources to address staff concerns.

Inactive/Legacy Records

- Try to classify legacy records as soon as possible following implementation for active records. If resources permit, you may even wish to deal with legacy records as part of the implementation process. As time passes, institutional knowledge is lost, electronic records become difficult to access, etc. These documents represent an important information asset for your agency and effective classification will save your agency time and money. If the records are required for an audit, a court case, or an FOI request, knowing what you have and where it will be of the utmost importance.

- When it comes time to classify legacy records, it probably won't be necessary to physically assess all records. The big bucket format should allow for the mass classification of records (provided the old record inventories are accurate and complete). It's important to remember that you do not need to physically convert legacy records to your new ORS (e.g. assigning new numbers/titles to file folders, rearranging records, etc.). Up-to-date inventories and cross-reference lists should be sufficient to manage these records until they become eligible for disposal under the new schedule.

- If your agency is holding discontinued legacy records belonging to a defunct institution or program that is not related to current mandated functions of government, these records can be disposed of using an Order-in-Council. Contact the Archives for more information.

Appendix B

Retention Tips

Attaching retention periods to a record series can be difficult. You have to ensure the time period is long enough to cover all business and financial needs as well as any legal implications and requirements. On the other hand you must also ensure that your agency is not retaining information longer than is necessary, and that your retention periods are not too long, which will contribute to rising storage and management costs and may be in contravention with privacy protection legislation.

The following suggestions are included for information purposes only. They show a number of typical retention periods, along with examples of what types of records generally feature that retention. Your agency may wish to use other numbers based on internal business practices, industry standards, etc. Please note, all retention periods, unless otherwise indicated, should be read as "year of file closure plus number of years listed."

> **This document is informational and should not be considered legal advice. Every ORS must be reviewed by your agency's solicitor prior to review by the PRC.**

Transitory – Transitory records do not need to be included in your ORS, and do not have a set retention period, however it will be helpful to remember that this class of record exists. You may want to create a listing of transitory records which are often created by your agency and ensure they are removed from the filing system and appropriately destroyed once they are no longer needed.

Less than 2 years – Retention periods are rarely shorter than 2 years due to provisions of *The Limitations Act*. Reports or statistics which are compiled on a daily or weekly basis may fall into this category.

2 years – 2 years will be a sufficient retention for some records. Examples include records which are not related to core functions of an agency (e.g. external cooperation), certain requests which are denied/not approved, etc. Routine reports and statistical information are also typically retained for 2 years. Denied requests, some non-approved contracts and routine inquiries are often retained for 2 years as well.

6 years – 6 years is probably the most common retention period used in ORS. It is often used for records relating to program development and implementation, strategic planning, etc. It is also the minimum amount of time that financial records (accounts payable/receivable, budgeting, taxation, etc.) should typically be retained.

15 years – Section 7 (1) of *The Limitations Act* sets 15 years as the 'ultimate limitation period' in respect to any potential claims on which a limitation period applies. This retention period is typically used for records relating to the administration of land, buildings or other property, legal matters, or where there is a higher risk of legal actions being commenced etc.

More than 15 years – Retention periods longer than 15 years are sometimes required for legal or business reasons. Under certain circumstances the ultimate limitation period from *The Limitations Act* does not apply. In other cases, industry specific regulations or legislation may require that records be retained longer than 15 years. When including a retention period longer than 15 years, please include justification for why that specific number has been chosen.

Conditional – A conditional retention period is often used where a record series has an ongoing use – a condition is used as a 'trigger' (see below for examples). After the condition has been met there is typically a definite period that the record then retained for. This definite period varies based on the type of record (and many of the qualifications listed above may apply).
Below are a few examples of conditional retentions:

Resolution or closure of the complaint + 6 years
This retention period was used for a record series dealing with complaints and criticisms. The condition is "Resolution or closure of the complaint" and the records will be retained indefinitely until that condition is met. The 6 years is a definite period and does not start until after the condition has been met. This retention ensures records relevant to an ongoing complaint are kept until the issue is settled, plus an additional 6 years.

As long as records are in storage + 2 years
This retention period is used for inventories and transfer sheets of records held in storage. The condition is "As long as records are in storage" and the definite period is 2 years. This condition offers flexibility: some inventories or transfer sheets may be needed decades into the future, while others may only be needed for 6 years (or less).

Upon Expiration or Termination of Contract/Agreement + 6 years
The above condition ensures that records relating to a contract or agreement are retained for the duration of the contract/agreement, however long that may be. Once the contract/agreement has reached its conclusion, or been terminated by one of the parties, it will be retained for the definite period of 6 years for audit, legal or other business purposes. Please note, certain types of contract/agreements might require a definite retention period of 15 years.

Until land is no longer owned or controlled by the Ministry + 15 years
Due to the long term need for records related to the use of land, this condition has been defined as "until land is no longer owned or controlled by the Ministry." The portion of the sentence referring to "control" covers land that is leased or rented. As mentioned above, records relating to the administration of land are typically retained for at least 15 years following active use.

Permanent – Permanent retention periods are rare and only used when an agency has a legislated responsibility to retain a record series 'forever.' By tagging a record series with a permanent retention, your branch acknowledges that it will keep the records in a manner and format that is readable and accessible perpetually. Please note: justification for a permanent retention period <u>must</u> be included in your ORS submission package and must also indicate the specific section of the applicable legislation or regulations requiring a permanent retention. An email or letter from your agency's solicitor, confirming the need for a permanent retention, is helpful as well.

What about SO (Superseded or Obsolete)?

If you are familiar with the format that was used in ARMS 2006 or in ORS approved before the transition to the 'big bucket' system, you may be familiar with the 'SO' designation which meant 'superseded or obsolete.' SO was used to designate secondaries that had an ongoing usefulness. Those record series would be retained until the records were superseded by something else, or made obsolete. SO was typically followed by a definite retention period, similar to the examples shown above under 'Conditional.'

With the move to a new system it was decided to eliminate SO. Wherever possible, conditional retention periods will be used to ensure that agencies have clear guidelines as to when records become eligible for disposal. If a conditional retention is not appropriate or not possible, then a definite retention period will be used. All definite retention periods are based on the "year of file closure." How and when files are closed depends on a number of factors, including the type of record, how long the records typically remain active, as well as any internal file closure practices. In many cases, file closure will be aligned with a specific event, such as the end of the calendar or fiscal year. In other cases, file closure may happen upon review following a period of inactivity. Using "year of file closure" as a basis for assigning definite retention periods is in line with current records management practices and allows for appropriate retention and disposal of the variety of records that can be found in each record series.

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Appendix C

Naming Conventions (to be used with an approved ORS)

The purpose of this document is to assist government agencies in the establishment of standard naming conventions for electronic files and folders. In order to properly apply an approved records schedule and efficiently manage the storage and retrieval of records, an agency must develop and implement naming conventions and filing procedures. While the following document refers specifically to electronic records, similar procedures and conventions should be adopted for the classification of paper records as well to ensure consistency in identifying records in all formats.

The creation and maintenance of a well organized electronic directory is extremely important as this will be the key to filing and retrieving records. Because many offices use shared drives and users share the information within these drives, it is important that the creator of a record names documents (as well as the folder structure) in a standardized fashion. Naming records in a clear, consistent and logical way will allow users to browse and retrieve files more effectively and efficiently. The following recommendations are split into Folder Naming Conventions and Document Naming Conventions; however, some of the material may apply in both circumstances.

Please note: there are a wide variety of ways to name electronic records – what works for one agency may not work for another. Consult this document, perform online research, talk with other staff members and come up with consistent, easy-to-follow rules that work for your agency. Ensure your institution's guidelines are communicated to all staff members and are applied consistently. It may be necessary to appoint someone to oversee and monitor the process and ensure compliance with internal procedures.
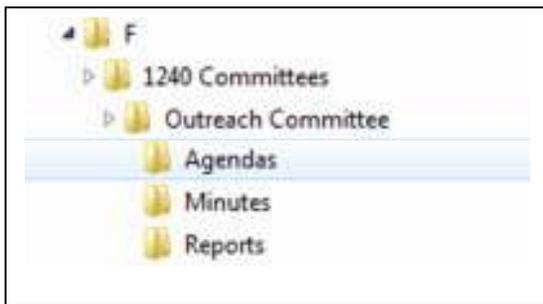

Folder Naming Conventions

• Folders must be "tagged" with the classification number and title from the approved records schedule (see the example on the next page). This ensures that, in the future, a retention period can easily be attached to the contents of the folder. Folders and documents which do not have classification numbers attached will need to be retroactively classified – a time consuming project for employees.

• A file path in Windows can consist of, at most, 255 characters. This includes main shared drives, unit or branch level folders, subfolders, document names, etc. Instruct users to keep folder and file names short!

• Try to restrict the number of subfolders that users create. Different operating systems have different capabilities in terms of the number of subfolders you can create and search effectively but in general, try not to go deeper than seven levels "down" into the filing structure. A deep folder structure can be difficult for users to search and utilize efficiently.

• Avoid repeating elements which are contained in folder names or higher levels of classification. Take a look at the example below:
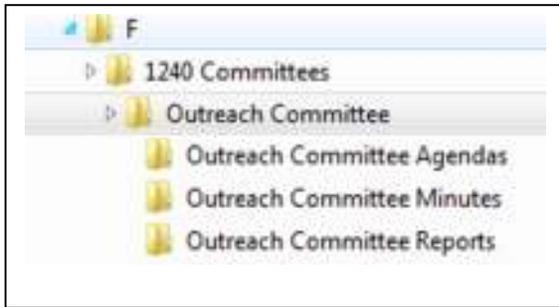
The words "Outreach Committee" are repeated even though the subfolder that they reside in is called "Outreach Committee." This repetition takes up extra space in the file path and needlessly lengthens the folder names.

In the example to the left, the extra words have been removed, streamlining the filing structure. The word "Committee" could also be removed from behind "Outreach" as it is already reflected in the folder above.

Document Naming Conventions

• Document (and folder) names should be short but meaningful. The file name should accurately describe the record and should be clear enough that it makes sense to others if the record creator is unavailable. Consider using commonly understood acronyms or abbreviations but keep in mind that what's easily understood today may not be relevant in several years.

• Don't use common words in document name unless they help with retrieval (e.g. "the," "and," etc.).

• Create a list of internally-approved "file extensions" which can be used to denote the status of a record or the type of document it is. Examples include "dft" in place of "draft," "fin" instead of "final," "ltr" and not "letter," etc.

• Keep track of drafts or versions using an abbreviation. For example, "v01" (for version 1 of a document) or "dft03" (for draft 3).

• Use underscores, dashes, or capital letters to separate words. Avoid using spaces or punctuation as it may affect search functions. Spaces are also problematic if material is posted to the Internet – every space may be replaced with a placeholder such as "%20" or "+" which makes addresses hard to read and remember.

• Order the components of a file name in the order that the document will most likely be retrieved. If a document is likely to be searched for by the date it was created, put that element first. If users need to find the document based on a description of the record, put that component first.

• If dates are used in your file names, the commonly accepted international standard is to use the YYYY_MM_DD format. For example, a record created on July 1, 2013 would use 2013_07_01 in its filename. This format keeps records in chronological order when users sort documents by file name.

• Individual names and/or initials are not typically needed in document titles. Employees come and go and it may be difficult to match a set of initials with a former co-worker, especially in large organizations. In certain cases, it may be necessary to include the position or job title of the record creator. This is preferable to using a specific name as position titles typically change less often than employees.

• If a number is an essential part of the document name, use a "leading zero" – e.g. use "011" and not "11," "02" and not "2," etc. The zero helps to ensure numbers sort properly and in numerical order.

• Some offices use internal tracking or file numbers to catalogue a specific work function. If system has been in place for a number of years and has worked well, keep it in place. The best naming conventions are ones that staff are comfortable with and have experience using!

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Appendix D

Format Template and Example

The template below shows the correct font, sizing and style to use for your ORS. Please ensure your ORS corresponds to these requirements. If you have any questions about formatting, please contact the Archives.

Record Series Format Template

<u>XXXXX RECORDS SERIES TITLE (Arial – 10 Bold Underlined)</u>

Records documenting … (Arial, 10) (provide brief descriptions of functions, activities, business processes, etc.)

Includes: (provide examples of records, all examples start out with capital letters and should be in alphabetical order. Ex; Agendas, Briefings, Meetings, etc.)

For records relating to …. <u>SEE</u> XXXXX (Arial 10, Bold) <u>Title Name (Arial 10, Bold, underlined).</u>

NOTE: (Arial 10, ALL CAPS) Note statement (Arial 10, Bold).

Retention (Arial 10, Bold)	P.I. Ministry use only
X years **(**Arial 10**)** *or* **Condition (Arial 10 Bold) +** X years (Arial 10)	**(Arial 10,Bold)** **P.I.**

Included below is an excerpt from Schedule #484 approved for the Ministry of Parks, Culture and Sport in January 2013. Included at the bottom of the page is the footer which includes information on how to apply retention periods, as well as the schedule number and the date of PRC approval.

30600 Non-Designated Heritage Properties

Records documenting general reference materials, such as non-designated heritage properties (correspondence, research, briefing materials), National Historic Sites, Provincial Historic Sites, Parks Canada and FHBRO programs, historic marker program, other jurisdictions' programs and legislation, defunct programs, thematic research, general research, legal opinions.

Includes: Parks Canada, FHBRO, & NHS reports; Thematic Studies; Municipal Heritage Inventories, Programs, & General Community Information; Research, Briefing Materials, General Correspondence; Thematic Studies & Reports, etc.

Retention	P.I. Ministry use only
15 years	

30700 Heritage Programs and Initiatives

Records documenting programs, initiatives, events, etc. relating to heritage activities such as Heritage Week, Historic Places Initiative (HPI), Main Street Saskatchewan, Youth Heritage Poster Contest, etc.

Includes: Program Implementation Documents such as Agreements, Contracts, Reporting, Meetings, Development of HPI tools (Canadian Register of Historic Places, Standards & Guidelines, Commercial Heritage Properties Incentive Fund); Public Lecture Promotions and Documents; Poster Contest Files, Judging, Award Ceremonies; Main Street Program Development, Applications, Advisory Committee, Reporting, Contribution Agreements, Program Evaluation, Policy Development, Main Street Communities, Capital Projects; Research, Briefing Materials, General Correspondence, Reports.

Retention	P.I. Ministry use only
10 years	

Effective Date: January 16, 2013   Schedule No. 484

Unless otherwise stated in the retention column, retention periods are
year of file closure plus number of years listed

Appendix E

Information Summary Questionnaire

This questionnaire will assist in developing an ORS and in compiling all information required by the Information Management Unit for review purposes. If necessary, the organization may add additional questions to the ones provided in order to capture all pertinent information.

For a version of this document in Microsoft Word that can be expanded and edited, please check the Archives' website at www.saskarchives.com under "Services for Government."

Step 1 - Organization Background Information (Ministry, Agency, Board, Commission, etc.)

Collect the following background information to begin developing a record scheduling plan for your organization.

Name of Organization:

What is the mandate and mission of the Organization?

Provide a brief history of the Organization and other relevant information (current org chart, etc.). If possible, include information regarding the outcome of recent reorganizations (e.g. if a large branch was split into several smaller ones or vice-versa). This information may be valuable in determining how functions and activities relate to each other.

Identify and describe each program area for which the Organization is responsible as part of its mandate.

Step 2 – Branch/Section/Unit Background Information

The purpose of the following questions is to gather information necessary to get a clear understanding of business processes, the types of functions/activities carried out and the relationships between these functions. Individuals reviewing/approving the schedule may require this information to better understand the classification system in the schedule.

Collect specific information about the program areas identified in **Step 1** by consulting with and interviewing members of each branch/section/unit. Key staff members to contact in this step may be executive directors, program managers, etc.

Contact Information
Name (contact person info):

Branch/Section/Unit:

Area Information
Mandate/Mission of the Branch/Section/Unit

Provide a brief description of the purpose of this program or service area. Attach current branch/section/unit org chart, position descriptions, etc.

What are the functional responsibilities and activities of the branch/section/unit that relate to the overall Organization mandate? List them here and provide more information for each function/activity in the Record Series Descriptions in **Step 3**.

Who are the key stakeholders/groups, internal and external, that the branch/unit works with? Include any relationships with federal, municipal or other provincial governments. This information may be used to help understand where and how the records flow in and out of the organizations branches/units.

Identify any other office relationships that have not been covered but may require mentioning. For example: Whose customer are you? Whose services/support do you use?

Does the program area have an approved ORS? If so, please list the ORS number and the name of the branch/unit at the time of approval.

Does the program classify its administrative records in accordance with ARMS 2014?

NOTE: Functions identified in this step provide the basis for establishing your records series. For more information about functions please refer to Sections 5 and 6 of the ORS Development guide

Step 3 – Record Series Background Information

The purpose of this step is to gather information necessary to establish a record series in accordance with functions/activities identified in **Step 2**.

The following information will be helpful in analysing the record/records series: filing lists (if up-to-date), current records inventories, file indexes, electronic directories (e.g. shared drives, databases), approved ORS, etc. Interviewing staff is crucial in gaining understanding of types of records created in relation to the functions/activities.

For each function identified in **Step 2**, gather the following information concerning records and consider these questions when interviewing staff:

What records/record series are created in relation to the functions? Identify any subject files, case files within the record series.

What is the purpose of these records and how are they used?

Determine the work flow - how the records are referenced, by whom and for what purposes, etc. Do they cross into other branches? If yes, please explain. Who creates

the records? Who uses the information?

Who is the owner of the records series? Identify the branch, positions, etc.

How the official records are maintained within the records series (e.g. electronic, paper, paper and electronic, etc.)

What classification numbers and/or naming conventions (if any) are the records filed under currently?

Developing a Records Series (SEE 6.2 and 6.3 of ORS development guide)

Based on the records series background information identified above, arrange records related to same functions/activities into record series.

Take each records series and begin describing it (point form is fine). List as much information/description as you can. From there, edit and condense the description into a scope note. The scope note is a general statement that describes the purpose of the records.

Now that the records have been grouped into records series and a description has been provided, assign a short title that best describes this function and grouping of records. Titles should be able to stand alone and be descriptive enough for a user to easily classify a record here.

Next, provide examples of records you create, receive or use that would be filed in each records series. Identify groups/categories of information and provide samples of documents that could be found in the series.

Please refer to **Appendix D** for an example of scope notes, record series titles, and the types of records to list in your ORS.

Step 4 – Retention and Personal Information

In order to determine retention periods for each records series, clarify the following questions:

How long do the records need to be kept to satisfy business needs? Include financial requirements, risk management, etc.

Is there an event/action/condition that triggers a retention date (e.g. upon completion of contract terms)?

Are there any industry standards that apply to the retention of the records?

Is there any legislation/regulation that would affect the retention and disposal of the documents in this record series? If yes, please list legislation and specific sections in the legislation/regulations.

Have any of the records in the records series been required for litigation purposes? (May require consultation with Legal Counsel)

Do any legal requirements affect disposal of the documents in this record series? (May require consultation with Legal Counsel)

Do the records contain personal information/personal health information? If yes, identify the type of personal information and in what record series it is filed.

NOTE: Personal information and personal health information are defined in *The Freedom of Information and Protection of Privacy Act* and *The Health Information Protection Act*.

Step 5 - Additional Information

The following questions may be helpful in making decisions on establishment and arrangement of records series in the schedule and may also provide better understanding of current records management practices.

What best practices are followed when creating or using information (e.g. version controls, naming conventions, etc.)?

What information systems are used to manage the records (e.g. databases, special software, etc.)?

Is there a records classification/file system used other than an approved ORS (in the old format)? If yes, please describe how the information is arranged.

Appendix F

Note: This form is for information gathering only. For the approved schedule format see Appendix B and the example below. This form can be expanded/amended as needed to fit the needs of the institution.

<u>Schedule Development Information Form</u>

Organization Name:

Mandate/Mission Statement:

Name of Branch/Unit/Program Area:

Brief description of branch/unit/program:

Function:					
Service/Activity	**Records Title (subject and case files)**	**Brief Description**	**Retention Period Proposals**	**PI**	**Additional Notes**

Example

Schedule Development Information Form

Organization Name: Provincial Archives of Saskatchewan

Mandate/Mission Statement: To acquire and preserve public and private records of significance to Saskatchewan and to facilitate access to those records; to be the permanent repository of public records; to ensure that public records are managed, kept and preserved in a usable format; to promote and facilitate good records management respecting public records in order to support accountability, transparency and effective operations; to encourage and support archival activities and the archival community.

Name of Branch/Unit/Program Area: Reference and Outreach

Brief description of branch/unit/program: Archival reference and outreach services to the public.

Function: Reference Services					
Service/Activity	**Records Title Subject and Case Files**	**Brief Description**	**Retention Period Proposals**	**PI**	**Additional Notes**
Reference Inquiries - telephone enquiries tracking	Telephone logs	Log of reference inquiries	6 years	PI	
Researcher tracking	Researcher sign-in sheets	Sheets with dates, names and researcher signatures	6 years	PI	
Researcher tracking	Researcher Registration	Registration of researchers including names, contact information, etc.	6 years	PI	
Tours	Tour Development	Log of visits, presentations, etc. for the public	6 years	PI	
Reproduction	Reproduction Services requests	Requests to reproduce textual, photographs, oversized items, requests to scan forms, etc. from researchers	6 years	PI	

Reference Requests Monitoring	Enquiry Management System Database	Information and data collected to monitor reference requests, inquiries and status of requests, etc. Includes researchers names, address, email addresses, phone numbers, etc.	6 years	PI	
Government requests for archival records	Control and Request forms	Ministry name, address, contact information, records requested and archival reference information	Condition + 2 years	PI	Condition: upon revision of reproduction to client or return of records to PAS. Check if retention following the condition can be reduced.
Government requests for archival records	Authorizations from government institutions	Name of institution, name(s) of personnel authorized to request records, signatures of DM, CEO, Presidents, etc.	Condition + 2 years		Condition: upon expiration of authorization

*The following example based on **Schedule #500, Provincial Archives of Saskatchewan**, it shows how information from the form can be transformed into a records schedule.*

15000 REFERENCE SERVICES

Records documenting the functions and activities associated with the reference services provided to researchers by the Provincial Archives of Saskatchewan .

Includes documentation of tour development and management, researcher registration, telephone logs, duplication tally sheets, researcher sign-in sheets, retrieval slips, reference aids (e.g. ready-reference tools created to assist staff with specific types of research requests), reproduction requests (e.g. requests to reproduce textual, photographs, oversize items, request to scan forms), copyright management, reference inquiries, and Enquiry Management System data, etc.

Retention	P.I. Agency use only
6 years	**P.I.**

15100 REFERENCE SERVICES – GOVERNMENT REQUEST

Records documenting the loan of records from the Permanent Collection of the Provincial
Archives of Saskatchewan to government institutions through the Control and Request process.

Includes documentation of borrowers' request forms (e.g. government Control and Request form),
authorizations from Deputy Ministers, CEOs, Presidents, etc.

Retention	P.I. Agency use only
A- Upon provision of reproduction to client or return of original records to PAS + 1 year	**P.I.**
B – Authorizations – Upon expiration + 2 years	