



***Policy Statement on Management of Records***  
*Version 1.0 – Accepted Executive 13 March 2012*

## **1. PURPOSE AND POLICY STATEMENT**

The purpose of this policy is to ensure the reasonable and good faith retention of all records created by or under the control of the APUO, whether paper or electronic, that are necessary or advisable to retain for: business operations; historical value; accounting, audit, tax and financial purposes; compliance with applicable law; possible future use in litigation involving the APUO; and possible future use in an official proceeding, audit or other matter. Other records, which are not necessary to retain for these reasons, shall be destroyed in accordance with the guidelines set forth in this policy. All other information that is not a record should be discarded after it has fulfilled its purpose to avoid the unnecessary expense and effort that would be required to preserve it. A legal hold notice shall be issued when it becomes necessary to preserve a record or other information otherwise scheduled or due for ordinary and appropriate destruction in accordance with this policy.

Records of the APUO, which may be in electronic or paper form, shall be retained in accordance with these guidelines. Records that do not need to be retained shall be destroyed after the requisite retention period, if any, has passed. A log or other documentation of records destruction may be created to track compliance and assist in evaluating the effectiveness of this policy. Pending or potential grievances, litigation and other circumstances may require a “hold” or suspension of regularly scheduled destruction of records or other information. Employees will be promptly notified of any such hold by the Administrative Director.

## **2. DESIGNATED RECORDS CUSTODIAN**

The Administrative Director shall be the designated Records Custodian and shall be responsible for supervising all of the APUO's retention practices and procedures and ensuring that appropriate internal controls are implemented.

## **3. APPLICATION**

The Policy applies to all persons who, on behalf of APUO, deal with APUO members, members of the public or other third parties. This includes our employees and officers. The Policy also applies to all persons responsible for the development, implementation or oversight of APUO policies, practices and procedures.

## **4. DEFINITIONS**

- a) **A record:** International Standard Organization's 15489-1:2001 defines a record as "information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". The International Council on Archives defines a

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record as "recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity."

Records include original and copies of contracts and other legal documents, memos, reports, forms, checks, accounting journals and ledgers, work orders, drawings, maps, images, photographs, and may be found in various electronic or machine-readable formats, including without limitation, CD-ROMs, DVDs, tape recordings, voice mail messages, e-mails, microfiche, web pages, computer and other electronic files.

- b) **Data:** Electronic representations of information suitable for communication, interpretation and processing, generally by a computer system.
- c) **Distributed Data/Records:** Mostly active data that is living on portable media or "non-local" devices (i.e. PDAs, BlackBerrys, application service provider, ISPs).
- d) **Document:** Information or data fixed in some medium, which may or may not be considered in whole or in part an official record. The definition of a document is often confused with that of a record.
- e) **ESI:** "Electronically Stored Information" – any file, document, data, image, database, etc. that is stored on a computing device or electronic media, including but not limited to servers, computer desktops and laptops, cell phones, hard drives, flash drives, PDAs or BlackBerrys, CDs or DVDs, floppy disks, and magnetic tapes.
- f) **Information:** Data or knowledge that is communicated.
- g) **Legacy Data:** Information which has retained some importance or usefulness to the APUO for a period of time but has been created or stored by the use of software and/or hardware that has subsequently become obsolete or been replaced ("legacy systems").
- h) **Other Information/Data:** "Other information" or "data" is any other material that is of a transitory nature, that after serving its limited purpose or being transferred to a more permanent form, or being incorporated with other record material, APUO has no need to retain such information except in the event of a legal hold. Some examples are: notes, drafts, routine correspondence, informational or courtesy copies, extra copies of filed or preserved records, and emails containing non-record information (such as scheduling or logistics information, thank you notes, etc.).
- i) **Record retention and disposition schedule:** a records retention schedule identifies the records of an organisation; specifies the periods that records should be retained; provides authorisation for the retention and disposition of each type of record; designates the disposition of a record; results from an appraisal of the value of a record, such as: administrative, fiscal, legal and historic value.
- j) **Transitory material:** transitory material is non-record documentation, data or information and takes many forms:
  - Duplicates
  - Documents or other information produced by other organizations (newsletters, brochures etc.)
  - Draft versions with editorial, non-substantive changes

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- Reference material (e.g. samples of other organizations collective agreements)
- k) **“We”, “Our” and “Staff”**- means APUO and its employees and officers.

### **5. RETENTION AND MAINTENANCE OF RECORDS**

The APUO requires that its records be indexed and retained in a consistent and logical manner that ensures their easy accessibility. The **Master Index** is appended to this policy. The Master Index has to be used for storing of all type of records. The records shall be managed so that the APUO:

- a) Meets legal standards for protection, storage and retrieval;
- b) Protects the privacy of faculty, staff and students as required by law;
- c) Optimizes the use of space;
- d) Minimizes the cost of record retention; and
- e) Destroys outdated records in an appropriate manner.

Records shall be maintained for as long as the period stated in the **Records Retention Schedule** appended to this policy, which is based on the minimum periods required by applicable provincial or federal law and on the ongoing business needs of the APUO. The retention schedule will be reviewed periodically and amended as needed to reflect changing legal requirements, business needs or evolving practices. Paper and electronic records and other information shall be maintained in the formats and/or media and at the locations provided in the master index. The media selected shall ensure a life expectancy that, at a minimum, preserves the records for as long as specified in the schedule. All records that require transfer to storage media that is different from the media in which the document was originally created or in which it is being maintained requires documentation of the transfer and verification for accuracy.

### **6. ARCHIVING**

Unless a legal hold is in effect, archiving of record shall occur twice per year. All records, including documents with original signatures, will be electronically scanned and archived as an Adobe Acrobat file (.pdf) on at least two different media types (portable hard-drive and DVD for example) and stored in a fire and water-proof safe. Following this procedure, all records, with the exception of documents with original signatures, will be disposed of and destroyed. All legal letters, collective agreements and letters of understanding with original signature will be archived in original paper format in a fire and water-proof safe.

### **7. DISPOSAL AND DESTRUCTION OF RECORDS**

Unless a legal hold is in effect, destruction of records shall occur within three (3) months after the time period stated in the schedule has been met. Other information should be discarded as soon as practicable after it has served its purpose unless subject to a legal hold.

Destruction may occur by the following acceptable methods:

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(Paper)

- Recycling or trash if not sensitive, personally identifiable or confidential information is included.
- Shredding, burning, or pulverizing if sensitive, personally identifiable or confidential information is included.

(Electronic)

- Deletion of records and data on shared network files, computer desktop and laptop hard drives, including personal copies.
- Deletion of distributed data/records on peripheral devices and portable storage media (i.e. PDAs, memory sticks, CDs, floppy disks, etc.).
- Erasing or recycling of magnetic tapes.

### **8. COMPLIANCE AND QUESTIONS**

Every employee and officer of the APUO is required to comply with this policy. To ensure that everyone subject to the policy is familiar with its provisions and understands the specific responsibilities and tasks associated with carrying out the policy; all employees will be required to take part in a mandatory training session and periodic updates as required.

Questions about this policy should be directed to the APUO Administrative Director at 613-562-5800 x. 4364.



## Appendix A – Master Index & Records Retention Schedule

CODE	TITLE	RECORD/documents/files	RETENTION	DISPOSITION
<b>GOVERNANCE</b>				
EX1000	Institutional/corporate foundation records	Constitution and By-laws	Superseded + 15 years	AR (archives)
<b>POLICIES</b>				
EX1500	Association Policies	Policies, procedures, guidelines etc.	Superseded + 5 years	AR (archives)
EX1525	Privacy Policy	Minutes and supporting documentation	7 years	AR (archives)
EX1550	Donation Policy	Minutes and supporting documentation	7 years	AR (archives)
EX1575	Accessibility Policy	Minutes and supporting documentation	7 years	AR (archives)
EX1600	Management of Records Policy	Minutes and supporting documentation	7 years	AR (archives)
<b>INSURANCE</b>				
EX7000	Insurance	D&O and E&O insurance documentation	Policy term ends + 10 years	D (destroy)
EX7100	Insurance claims	Organized by claim date	10 years	AR (archives)
<b>DECIDING COMMITTEES</b>				
EX2000	Executive Committee	Minutes and supporting documentation	10 years	AR (archives)
EX2100	Board of Directors	Minutes and supporting documentation	10 years	AR (archives)
EX2200	List of APUO executive committee members	Lists	10 years	AR (archives)
EX2250	List of all other committee members	Lists	5 years after term completed	AR (archives)
<b>PERMANENT COMMITTEES</b>				
EX2500	All permanent committees	Mandates and Terms of References	Superseded + 5 years	AR (archives)
EX2525	Collective Bargaining Committee	Minutes and supporting documentation	10 years	AR (archives)
EX2550	Grievances Committee	Minutes and supporting documentation	10 years	AR (archives)

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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
EX2575	Student Awards Committee	Minutes and documentation on awards given out	10 years	D (destroy)
EX2600	Nominations and Elections Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2625	Status of Women Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2650	Retired Members Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2675	Financial Analysis Committee	Minutes and supporting documentation	10 years	AR (archives)
<b>AD HOC COMMITTEES</b>				
EX2800	All ad hoc committees	Mandates and Terms of References	Superseded + 5 years	AR (archives)
EX2825	Political Action Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2850	Communications Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2875	Restructuring Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2900	Atef Fahim's Award Committee	Minutes and supporting documentation	10 years	D (destroy)
EX2925	Accessibility Committee	Minutes and supporting documentation	10 years	D (destroy)
<b>GOVERNANCE NOTES</b>				
EX3000	President's Records	Correspondence, memos, files usually organized by subject matter, not linked to any other record but relating to activity at the Executive level	10 years	AR (archives)
EX3100	VP and other Fac. Assoc. Officers' Records	Correspondence, memos, files usually organized by subject matter, not linked to any other record but relating to activity at the Executive level	10 years	AR (archives)
EX3100	General executive record	Correspondence, memos, files usually organized by subject matter, not linked to any other record but relating to activity at the Executive level	10 years	AR (archives)
<b>APUO – EMPLOYER COMMITTEES</b>				
EX5000	All APUO-Employer committees	Mandates and Terms of References	Superseded + 5 years	AR (archives)
EX5025	Anomalies Committee	Copies of minutes and supporting documentation	10 year or until no longer needed	AR (archives)
EX5050	Employment Equity Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)

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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
EX5075	Formal Grievance Committee	Copies of minutes and supporting documentation	Linked to the appropriate record in OP2100	AR (archives)
EX5100	Patents Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)
EX5125	Joint Consultative and Communication Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	AR (archives)
EX5150	Employer-Employees Advisory Benefits Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)
EX5175	Benchmark and Workload Task Force Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	AR (archives)
EX5200	Research Award Committee	Minutes and documentation on awards given out	4 year or until no longer needed	D (destroy)
EX5225	Teaching Award Committee	Copies of minutes and supporting documentation	4 year or until no longer needed	D (destroy)
EX5250	Joint Occupational Health & Safety Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	D (destroy)
EX5275	Office Safety Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	D (destroy)
EX5300	Laboratory Safety Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	D (destroy)
EX5325	Protection and Physical Resources Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	D (destroy)
EX5350	Pension Plan Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	AR (archives)
EX5375	Pension Fund Investment Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	AR (archives)
EX5400	Supplemental Retirement Pension Plan Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	AR (archives)
EX5425	Pension Review Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	AR (archives)
EX5450	Sexual Harassment Committee	Copies of minutes and supporting documentation	5 year or until no longer needed	D (destroy)
EX5475	Food Services Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)

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CODE	TITLE	RECORD/documents/files	RETENTION	DISPOSITION
EX5500	Bookstore Management Committee	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)
EX5525	Parking Committee	Copies of minutes and supporting documentation	10 year or until no longer needed	D (destroy)
EX5550	Committee Educational Equity	Copies of minutes and supporting documentation	1 year or until no longer needed	D (destroy)
<b>FACULTY ASSOCIATION OPERATIONS</b>				
<b>MEMBERSHIP OPERATIONS</b>				
OP1000	General & Special Meetings	Agendas, minutes, vote counts, supporting documentation	10 years	AR (archives)
OP1100	Membership statistics	Lists, databases	Superseded OR 10 years	AR (archives)
OP1200	Elections	Ballots etc.	Superseded + 5 years	D (destroy)
OP1300	Surveys	Questionnaires, results	Superseded + 5 years	AR (archives)
OP1400	Membership Dues	Maintenance of dues, tracking payments (not financial records –SEE AD2400 Accounting)	7 years	AR (archives)
OP1500	Miscellaneous	Deceased members, etc.	5 years	D (destroy)
<b>COMPLAINTS AND GRIEVANCES</b>				
OP2000	Inquiries	Documentation of inquiry	Inquiry responded + 2 years	D (destroy)
OP2100	Grievance files	Documentation relating to client grievance and defense etc.	Grievance closed + 2 to 15 years (on advice of legal counsel)	Precedent setting files to AR (archives) and closed for 50 years; OR D (destroy)
OP2200	Precedents	Copies of precedent setting files with personal identifying information severed	15 years	AR (archives)
<b>COLLECTIVE AGREEMENT NEGOTIATIONS</b>				
OP3000	Negotiations files	Draft clauses, notes etc.	Agreement reached + 15 years	AR (archives)
OP3100	Agreement administration	Joint committee minutes, correspondence, Memoranda etc.	Agreement reached + 15 years	AR (archives)



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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
OP3200	General labour relations files (Yellow files)	Subject files relating to issues etc.	10 years	AR (archives)
<b>AWARDS</b>				
OP4000	Student awards	All documentation	3 years	D (destroy)
OP4100	Teaching awards	All documentation	3 years	D (destroy)
OP4200	Research awards	All documentation	3 years	D (destroy)
<b>RELATIONS WITH OTHER ASSOCIATIONS</b>				
OP5000	Participation in CAUT activities	Including CAUT board meeting minutes	Activity concluded + 5 years	D (destroy)
OP5100	CAUT Info.	Non-record material –FYI only.	No longer useful (confirm with Administrative Director)	D (destroy)
OP5200	Participation in OCUFA activities		Activity concluded + 5 years	D (destroy)
OP5300	OCUFA Info.	Non-record material – FYI only.	No longer useful (confirm with Administrative Director)	D (destroy)
OP5400	Joint Activity with other Associations		Activity concluded + 5 years	D (destroy)
OP5500	Other Association Info.	Non-record material –FYI only.	No longer useful (confirm with Administrative Director)	D (destroy)
<b>MISCELLANEOUS</b>				
OP8000	Human Right issues	Non-record material –FYI only.	No longer useful (confirm with Administrative Director)	D (destroy)
<b>ADMINISTRATIVE FUNCTIONS</b>				
<b>HUMAN RESOURCES</b>				

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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
AD1000	Human Resources Management	Staff/Executive Relations Correspondence	10 years	AR (archives)
AD1100	Employee Files	Documentation of employment history from hiring to termination (organized by staff name)	Termination + 5 years	D (destroy)
AD1200	Contract Staff	Documentation of employment history from hiring to termination (organized by staff name)	Termination + 2 years	D (destroy)
AD1300	Health and Safety	Staff Incident records (copy in employee file)	Termination + 1 year	D (destroy)
AD1400	Salary Records	Staff salary records	Fiscal year + 7 years	D (destroy)
AD1500	Pension and benefit records		Termination + 100 years	D (destroy)
AD1600	Hiring	Recruitment, selection files (organized by posting)	Position filled + 1 year	D (destroy)
AD1700	Release time administration	Correspondence etc. (with copy in employee file)	Term ended + 1 year	D (destroy)
AD1800	Employee relations files	Documentation of negotiations, agreements etc.	Term of agreements + 15 years	D (destroy)
<b>FINANCIAL MANAGEMENT</b>				
AD2000	Financial Management	Financial planning committee minutes, plans internal reviews	10 years	AR (archives)
AD2100	Auditing	Preparation for audit and audit report	7 years	AR (archives)
AD2200	Annual Financial Statements		7 years	AR (archives)
AD2300	Budgeting	Preparation of annual budget, and reporting	7 years	D (destroy)
AD2400	Accounting	General ledgers and journals	7 years	D (destroy)
AD2410	Accounts records (Payable and receivable)	Invoices, cheque stubs, petty cash records, depreciation schedule, etc.	7 years	D (destroy)
AD2420	Travel expense accounts	Documentation of allowances, advances, expenses etc.	7 years	D (destroy)
AD2500	Banking	Bank statements, deposit slips etc.	7 years	D (destroy)

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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
AD2600	Tax records	Preparations documents, reports etc.	7 years	D (destroy)
AD2700	Dues payment		7 years	D (destroy)
AD2800	Payroll register	Individual time reports, earning reports	7 years	D (destroy)
<b>FACILITIES &amp; MATERIEL</b>				
AD3000	Lease or rent or mortgage		Term of lease + 7 years	AR (archives)
AD3100	Building maintenance and repairs	Drawings, specifications etc.	Superseded + 2 years	D (destroy)
AD32000	Access to Building/Security		Superseded + 1 year	D (destroy)
AD4000	Office Equipment Maintenance		Term of warranty + 2 years	D (destroy)
AD5000	Insurance	Policy and supporting documentation	Policy term ends + 15 years	D (destroy)
AD5100	Contracts		Superseded + 2 years	D (destroy)
AD6000	Procurement	Tenders, copies of orders, delivery slips	Goods or services received + 7 years	D (destroy)
<b>INFORMATION MANAGEMENT</b>				
AD6000	General Records/Information Management	Policies, schedules, file lists, indexes	Superseded + 2 years	D (destroy)
AD6100	Information management	Indexing tools, software etc.	Superseded + 2 years	D (destroy)
<b>COMMUNICATIONS</b>				
AD7000	Communications management/Media relations	Media releases, bulletins, briefs, speeches, presentations, communiqués, website snapshots, etc.	Superseded + 5 years	AR (archives)
AD7100	Public relations	Correspondence with members of public	Superseded + 2 years	D (destroy)
AD7200	Publication management	Publications, negotiation updates, pamphlets, etc.	Superseded + 5 years	AR (archives)
<b>OTHER</b>				

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<b>CODE</b>	<b>TITLE</b>	<b>RECORD/documents/files</b>	<b>RETENTION</b>	<b>DISPOSITION</b>
OT1000	Consultant reports		3 years	D (destroy)
OT1100	Photographs		10 years	AR (archives)
OT1200	Websites	Regular snapshots	10 years	AR (archives)
OT1300	Ottawa University financial documents	Budgets, year-end financials, etc.	10 years	D (destroy)