



MANAGEMENT OF RECORDS POLICY

PURPOSE

The purpose of this Policy is to provide guidance and direction on the management of records created by, or under the control of, the Association of Professors of the University of Ottawa (APUO). The objective is to retain, maintain and dispose of records in accordance with the operational requirements of the APUO. The APUO is committed to ensuring the integrity of its records for their entire life cycles.

DEFINITIONS

For the purposes of this policy

Archiving refers to the process of digitizing and filing records that are no longer in active use but are still of long-term value and need to be retained to a secure digital location. Archiving involves organizing, storing, preserving and retrieving records in a way that ensures long-term accessibility, security and authenticity.

Digitization is defined as the process of converting physical records, such as paper documents and photographs, into digital format. This process involves scanning or capturing images of records and converting them into a digital file format that can be stored, managed and accessed electronically.

Disposition refers to the last step in the life cycle of a record. This may include transferring them to a digital archive for long-term retention or disposing of them through destruction or deletion.

Record means any record of information however recorded, created or received by the APUO in the course of conducting business.

Records Hold refers to a directive issued by the Records Custodian to suspend the disposition of designated records.

Record retention schedule (RRS) identifies the records of an organisation, specifies the period of time each record must be retained, authorizes the retention and disposition of each record and designates the disposition of a record. The RRS is determined by appraising the administrative, fiscal, legal and/or historical value of a record.

Transitory records are records that have temporary value and are not required to be retained for business or legal purposes beyond its immediate use. They may include, but are not limited to:

- a. Routine correspondence, in any format, not required to document an action or decision.
- b. Duplicates of existing records for the purposes of reference or convenience.
- c. Preliminary or incomplete drafts that do not include substantial changes.
- d. Records of information from external sources that have been used for short-term reference, such as promotional material, copies of publications, etc.

SCOPE AND AUTHORITY

This Policy applies to individuals representing the APUO, including APUO staff, Executive Committee members, and members of the Board of Directors; hereinafter referred to as “APUO representatives”. This Policy applies to all types of records, regardless of format, that are produced, received or result from the execution of duties by APUO representatives.

It is advisable to keep records that have historical significance, pertain to business operations, accounting, auditing, taxes, and finances, and are required to comply with applicable laws. Additionally, records that may be useful in any future legal proceedings or official proceedings must also be retained. Records that are not deemed necessary will be disposed of in accordance with the guidelines outlined in this policy.

It is recommended that transitory records be discarded once they have served their intended purpose, to avoid incurring unnecessary expenses and efforts associated with retention.

The APUO’s Administrative Director will be the designated Records Custodian and will be responsible for the administration and implementation of this policy.

POLICY

Records will 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.
- e) Destroys outdated records in an appropriate manner.

Member Consent

Member consent to the collection and storage of information as set out in the Policy is implied.

Records Retention

Records retention refers to keeping records on-site in a manner that allows for easy access, either in person or electronically. Records will be retained for the duration specified in the **Records Retention**

Schedule (RRS), which will be reviewed periodically and adjusted as necessary to reflect changing legal requirements, business needs or evolving practices.

Retention Terms

- Short Term Retention: Up to four years on site and then either destroyed or archived.
- Medium Term Retention: Seven years on site and then either destroyed or archived
- Long Term Retention: Up to 15 years on site and then either destroyed or archived
- Permanent Retention: Fifteen years on site and then archived permanently for historical and research purposes.

Records Hold

A Records Hold may be necessary in cases of pending or potential grievances, litigation or other circumstances. The Records Custodian will be promptly notify APUO representatives of any such hold. Upon notification, the disposition of the relevant records will be suspended immediately and will remain in effect until rescinded. Records involved in legal matters must not be destroyed until Legal Counsel notifies the Records Custodian that the matter has been resolved.

The Records Custodian may issue a Records Hold should some records, eligible for disposition or nearing the end of their retention period, be required operationally.

Records Protection and Storage

Records must be protected and stored away from risks such as flooding, fire, unauthorized access and loss. The level of protection required will depend on the sensitivity of the records, the cost to reconstruct and the risk to the APUO of not having access to the records.

Records Disposition

Records become eligible for disposition at the end of their retention period. Disposition may include digitizing and archiving, destruction, deletion, or secure destruction or deletion of records. Records at the end of their retention period must be archived or disposed of promptly, unless Records Hold is in place.

To ensure the security of records, the methods of disposition must consider the level of sensitivity of the records. Records are deemed sensitive if they contain personal and confidential information. For paper records, recycling may be appropriate unless they contain sensitive information, in which case they must be securely destroyed through shredding, pulverizing or incinerating.

Electronic records stored on shared network files, computer desktops and laptop hard drives must be deleted at the end of their retention period. Similarly, records on portable storage media such as PDAs, memory sticks, CDs, floppy disks, must also be securely deleted.

Transitory records containing sensitive information must be destroyed securely.

RECORDS RETENTION SCHEDULE

Section Topic:

- A. Accounting, Financial and Insurance Records
- B. Association Governance Records
- C. Correspondence
- D. Grievances & Consultations
- E. Bargaining Unit and Collective Agreement Records
- F. Personnel Records

A. Accounting, Financial and Insurance Records

Purpose of retention: Compliance with Canada Revenue rules and current best practices.

Long Term Retention: APUO's accounting and insurance records will be retained for seven (7) years. A complete set of accounting and insurances records for the current fiscal year and the six (6) years prior will be retained on site. These records will be retained for seven (7) years in total, after which the files for the seventh year will be prepared for shredding following completion of the current year's audit.

The following accounting and financial records will be retained for a period of six (6) years: records of dues; ledgers and schedules of accounts payable and receivable; bank statements and check records; credit card statements; expense claims and receipt; invoices; staff salary and other payment forms; any other documentation normally retained in the APUO's accounting files; and records of investments.

Permanent Retention: Annual audit reports will be archived and retained permanently.

B. Association Governance Records

Purpose of retention: For accountability, transparency and historical reference.

Permanent Retention: Regular governance records will be retained on site for fifteen (15) years and then archived. Such records include:

- Agendas, approved minutes and associated documents for the regular and special meetings of the General Assembly, Board of Directors and Executive Committee
- Constitutional documents and policies
- APUO annual reports

- Official APUO correspondence with the University of Ottawa
- Membership of the Executive Committee, Board of Directors, and APUO committees

Medium Term Retention: Agendas, minutes and work-related materials for APUO permanent committees, ad hoc committees, and joint APUO and Employer committees will be retained for seven (7) years and then archived.

Short Term Retention: Records created or received related to APUO events and records from APUO award committees will be retained for four (4) years and then destroyed.

Records produced by the Communications team will be retained for four (4) years and then archived. Such records include, but are not limited to: bulletins, press releases, social media content, speeches, brochures and pamphlets, graphic design files and website content.

Ballots for any election will be retained for one (1) year and then destroyed.

Ballots for any other type of vote conducted by the APUO will be retained for one (1) year and then destroyed.

C. Correspondence (Member, Employer, and Third Party)

Purpose of Retention: To ensure continuity of representation and to facilitate the identification and tracking of relevant provisions of the Collective Agreement, and for historical reference purposes.

Medium Term Retention: Records with the potential for significant or lasting consequences will be retained for seven (7) years before being archived.

Short Term Retention: Records pertaining to routine matters and having no significant or lasting consequences should be destroyed within three (3) years.

D. Grievances & Consultations

Purpose of retention: To facilitate ongoing compliance with financial, administrative or legal obligations, for the APUO, its member or the University of Ottawa.

Long Term Retention: All records, with the exception of written decisions from arbitrators, will be destroyed after a retention period of 15 years. For records involving members who have left the University of Ottawa, the retention period will be shortened to two (2) years after their departure date.

E. Bargaining Unit and Collective Agreement Records

Purpose of Retention: For historical reference.

Permanent Retention: After 15 years, all records will be archived. These records include those pertaining to union certification, bargaining unit amalgamations, or alterations/clarifications of scope; collective agreements, executed memoranda (MOU, LOU, MOS) between the parties regarding contract provisions; complete sets of bargaining notes, including proposals exchanged during each round of bargaining; member data acquired through surveys or provided by the employer for the purposes of bargaining; complete sets of member communications for each bargaining round, and ratification vote results for each contract.

Medium Term Retention: Member data provided to the APUO in accordance with provisions from Collective Agreement, will be retained for seven (7) years and then archived.

F. Personnel Records

Purpose of retention: Staff records are retained in compliance with the *Employment Standards Act, 2000* (ESA) and volunteer records are retained for historical reference purposes.

Permanent Retention: Records pertaining to volunteer participation with the APUO will be retained permanently.

Long Term Retention: In accordance with the ESA, the APUO will retain the following records related to current staff for 10 years before destruction: payroll information, records of leaves taken with supporting medical evidence (if relevant), job descriptions, vacation time records (including any payment in lieu of time), and records of bonuses paid.

Each current staff member will have an employee file containing basic personal information for payroll and insurance purposes, the letter of engagement, annual review materials, annual salary letters, discipline or coaching materials, records of promotion or demotion, and correspondence between the APUO and the staff person on HR-related matters.

Short Term Retention: Records for former employees will be retained for three (3) years from the date of termination of services and then destroyed, except for a record of the employee's name, start and end dates and any legal settlements related to their termination, which will be archived.

REFERENCES

Employment Standards Act, 2000

ENQUIRIES

Michel Desjardins
Administrative Director
(613) 230-3659

ADMINISTRATIVE HISTORY

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