



POLICY 4.03

COUNCIL GOVERNANCE

Records Management

POLICY INTENT

To ensure that AUSU maintains vital records and confidential information in such as way as to ensure both accessibility and the security of private documents. Also, to provide a guideline by which old records can be safely destroyed to free up needed office space. In all cases, regulations of the Alberta Personal Information Protection Act (PIPA) shall supercede this policy where conflict occurs. Records required for an investigation or an official information request may need to be retained for longer than the specified periods.

POLICY RESPONSIBILITY

Council

POLICY

Definitions

Record – a record of information in any form and includes notes, images, audiovisual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers, and any other information that is written, photographed, recorded, or stored in any manner, but does not include software or any mechanism that produces records (FOIP Act definition).

Policy

- 4.03.01 All records created and received by AUSU councillors in the course of their duties on behalf of AUSU, are the property of AUSU.
- 4.03.02 AUSU councillors leaving or changing position within Council are to leave all records for their successors.
- 4.03.03 Records schedules prescribe the minimum period that AUSU records must be retained.
- 4.03.04 The final disposition of records will be carried out according to approved disposition schedules.
- 4.03.05 Appropriate security measures must be observed for maintaining records containing personal or other confidential information.

Financial Records

- 4.03.06 Financial records shall include all records related to AUSU's financial operations, including but not limited to invoices, receipts, purchase orders, balance sheets, and the official financial record books of AUSU.
- 4.03.07 Financial records shall be retained, in a secure location, for a period of at least seven years.
- 4.03.08 Financial records from years prior to the current fiscal year shall be filed in boxes or other containers, labeled clearly to indicate that they are official financial records and also noting the year to which they pertain.

Personnel Records

- 4.03.09 AUSU shall maintain a personnel file for each AUSU employee and councillor.
- 4.04.10 Personnel records shall be maintained in a locked cabinet, and are not subject to information requests by members as are other documents of the union.
- 4.04.11 A personnel file shall include the last known address and contact information of the employee or councillor, as well as, if applicable, a resume, job specification, any performance appraisals, notices or reprimand or commendation, and information pertaining to any legal proceedings with the individual.

Member Records

- 4.03.12 Because the AUSU membership changes frequently, AUSU does not need to maintain ongoing records of its members. However, in some cases certain member information must be retained. The nature of these records, and the time for which they should be maintained, is detailed below:

Awards Applications Applications for awards shall be destroyed three months after the applicable award has been awarded, but the names and student ID numbers of all winners shall be retained in a spreadsheet or database for the life of the organization. This ensures that AUSU can create awards that may only be won once by each member.

Member Status Under certain circumstances, a member may be removed from the union or designated a member not in good standing. Record of all members who are not full members in good standing must be retained for the life of the organization, along with all documentation pertaining to the member's change of status. A list of all members not in good standing must be readily available to be referenced anytime a member seeks an AUSU service not available to members not in good standing.

Do Not Mail List AUSU must maintain a do not mail list with the names of all members who wish to be removed from the AUSU mailing list. The contact information of these members will remain on file with the university, but will be manually removed from the

AUSU mailing list each time a list is required for a mailing. Such lists shall be maintained for at least five years.

Member Debt Records of debts owed to AUSU by members, including ex councillors, shall be retained for the life of the organization. Outstanding debt requires a change of membership status as defined in the AUSU bylaws.

Misconduct Charges Misconduct charges successfully brought against members or councillors, whether the charge is placed within AUSU or AU policy, shall be maintained for the life of the organization.

Institutional Records and Information Packages

4. 03.13 Institutional Records shall include all documents originating from external organizations, such as Athabasca University and government agencies, that are not strictly addressed to or pertaining to AUSU business. Examples include AU meeting agendas and packages, meeting minutes, public reports and other informational documents

4.03.14 Such records shall be retained for at least two years.

Letters and Reports for AUSU

4. 03.15 These include all documents originating from external organizations, such as Athabasca University and government agencies, pertaining to AUSU business.

4.03.16 Such records shall be retained for at least five years.

Agreements and Contracts

4. 03.17 These include all signed and dated agreements between AUSU and any other agency. Examples are equipment warranty agreements, information sharing agreements, purchase contracts and leases, friendly agreements, etc.

4.03.18 Such records shall be retained for at least two years after the date that the contract or agreement is no longer valid or until all financial records pertaining to said agreement are no longer within AUSU financial records, whichever date is later.

Council Meeting Records

4. 03.19 Council Meeting Records include all documents related to the proceedings of official business at AUSU Council Meetings or General Meetings. Such documents shall include, but are not limited to:

- a) Council meeting packages and minutes
- b) Meeting agendas
- c) Annual Reports
- d) Audited financial reports

4.03.20 Such records shall be retained for the life of the organization.

Destruction of Records

- 4. 03.21 All records shall be destroyed according to this policy, whether the record is of a type explicitly detailed in this policy.
- 4.03.22 All records containing private information about AUSU, AUSU Members, or other organization, shall be shredded before disposal to ensure that no private information can be retrieved by any person subsequent to disposal.
- 4. 03.23 AUSU may retain the services of any document disposal service, or shred documents within the AUSU office. A cross cut shredder is the preferred method of destruction.
- 4.04.24 All data on computer media, such as hard drives or disks, shall be destroyed before being sold or disposed of. Hard disks should be wiped clean and formatted with a low level full format (not a quick format). CD's shall be destroyed by grinding in a disc disposal system. Floppy disks shall be dismantled so that the plastic portions can be recycled and the disk portion cut into pieces before discarding.
- 4.04.25 If in doubt, all records should be assumed to contain personal information
- 4.04.26 Records not containing private information may be discarded intact.
- 4.04.27 AUSU shall make every effort to ensure that discarded documents are recycled and that best environmental practices are observed when computer equipment is discarded.

Policy History

- Original Approval Date: May 18, 2006
- Updated Date: September 22, 2008
- Mandatory Review by Date: September 22, 2010