



## **POLICY 4.03**

### **ADMINISTRATION**

#### *Records Management*

#### **POLICY INTENT**

To ensure that AUSU maintains vital records and confidential information in such a 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

#### **POLICY RESPONSIBILITY**

Council

#### **POLICY**

##### **Definitions**

Record – means a record of information in any form or in any medium, whether in written, printed, photographic or electronic form or any other form, but does not include a computer program or other mechanism that can produce a record (PIPA 2004 definition).

##### **Policy**

- 4.03.01 Regulations of the Alberta Personal Information Protection Act (PIPA) shall supersede this policy where conflict occurs.
- 4.03.02 All records created and received by AUSU councillors in the course of their duties on behalf of AUSU, are the property of AUSU.
- 4.03.03 AUSU councillors leaving or changing position within Council are to return all records, paper and digital to AUSU for use by their successors and securely destroy any copies in their possession.
- 4.03.04 Records schedules in this policy prescribe the minimum period that AUSU records must be retained.
- 4.03.05 Records required for an investigation or an official information request may need to be retained for longer than the specified minimum periods.
- 4.03.06 The final disposition of records will be carried out according to the approved disposition schedules within this policy.

## **Security**

- 4.03.07 Appropriate security measures must be observed for maintaining records containing personal or other confidential information.
- 4.03.08 AUSU councillors and staff are responsible to ensure up to date security software and password protection are in place on any computer or device that they use for AUSU activities.
- 4.03.09 AUSU councillors and staff are responsible to ensure that all records in their possession, both paper and electronic, belonging to AUSU are destroyed immediately upon ceasing to be it an AUSU councillor or staff.

## **Financial Records**

- 4.03.10 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 records of AUSU.
- 4.03.11 Financial records shall be retained, in a secure location, for a period of at least seven years.
- 4.03.12 Financial records from years prior to the current fiscal year shall be stored appropriately and labeled clearly to indicate that they are official financial records, and also noting the year to which they pertain.

## **Personnel Records**

- 4.03.13 AUSU shall maintain a personnel file for each AUSU employee and councillor.
- 4.03.14 Personnel records shall be maintained in a locked cabinet, and are not subject to information requests by members.
- 4.03.15 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 of reprimand or commendation, and information pertaining to any legal proceedings with the individual.

## **Member Records**

- 4.03.16 AUSU membership changes frequently, therefore 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 retained for a minimum of 5 years after the applicable award has been awarded. The names and student ID numbers of all winners shall be retained for the life of the organization.
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 former 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, including motions of reprimand or dismissal, which are successfully brought against members or councillors, within AUSU shall be maintained for the life of the organization.

### **Institutional Records and Information Packages**

- 4.03.17 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.
- 4.03.18 Such records shall be retained for a minimum of two years unless they are deemed confidential and unless they are maintained and available from their original source.

### **Letters and Reports for AUSU**

- 4.03.19 These include all documents originating from external organizations, such as Athabasca University and government agencies, pertaining to AUSU business.
- 4.03.20 Such records shall be retained for a minimum of five years.

### **Agreement and Contracts**

- 4.03.21 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.
- 4.03.22 Such records shall be retained for a minimum of 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**

- 4.03.23 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
- 4.03.24 Such records shall be retained for the life of the organization.

## **Destruction of Records**

- 4.03.25 All paper records shall be shredded before disposal to ensure that no private information can be retrieved by any person subsequent to disposal.
- 4.03.26 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.
- 4.03.27 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). Optical computer media shall be destroyed in a secure disc disposal system.
- 4.03.28 AUSU shall make every effort to ensure that discarded documents are recycled and that best environmental practices are observed when computer equipment is discarded.

## **RELATED REFERENCES, POLICIES, PROCEDURES AND FORMS**

### **This Policy References:**

None

### **This Policy is Referenced by:**

None

### **Forms:**

None

## **POLICY HISTORY**

- Original Approval Date: May 18, 2006
- Last Review Date: February 16, 2017 (formal)
- Review by Date: February 2019