

Documents Management Policy

1. This policy operates alongside, and is to be read in conjunction with, the Association's policies on confidentiality and the protection of personal information.
2. The Association's Administrative Officer is responsible for the administration of this policy. In particular, the Administrative Officer shall draw it to the attention of all Agents.
3. In this policy,
 - "Agent" includes any employee, director, officer, committee member or other person performing services for the Association; and
 - "document" includes electronic records such as files or e-mail messages.

Document Management

4. Agents shall ensure that they properly handle any document they create or receive in the course of their service to the Association. This includes complying with the policies on confidentiality and the protection of personal information.
5. If an Agent creates or receives a document in the course of service to the Association and a member of the staff of the Association might reasonably need to be aware of that document, the Agent shall, in a timely manner, provide the Administrative Officer with a copy of the document.
6. Agents shall, at the end of any particular matter or project, transfer to the Association, and retain no copies of, any documents created or received in the course of service to the Association on that matter or project which are not available to the general public. Copies of any such documents may only be retained by Agents with the express permission of the Administrative Officer.
7. Agents shall, on ceasing to be an Agent, transfer to the Association, and retain no copies of, any documents created or received in the course of service to the Association which are not available to the general public. Copies of any such documents may only be retained by former Agents with the express permission of the Administrative Officer.

Retention, Destruction and Archival

8. Documents shall be retained by the Association for the periods of time specified in the Appendix.
9. Documents shall be destroyed by the Association as indicated in the Appendix.
10. To the extent allowed by law and the Association's policies on confidentiality and the protection of personal information, documents shall, on the approval of the Executive Committee, be transferred to the Archives and Research Collections Centre at the University of Western Ontario as indicated in the Appendix.
11. The Appendix may be amended by the Administrative Officer. It shall be reviewed annually by the Association's lawyers to ensure its ongoing compliance with any applicable law.

Approved:
Board of Directors – February 3, 2017

Documents Management Policy - Appendix

Document Category	Document	Retention	Disposition
Canadian Association of University Teachers (CAUT)	Correspondence	Academic Year + 1 Year	Destroy
	Participation in CAUT activities	Activity concluded + 5 Years	Destroy
	Defence Fund Correspondence	Fiscal Year + 1 Year	Destroy
	Defence Fund annual remittance	Fiscal Year + 5 Years	Destroy
Ontario Confederation of University Faculty Associations (OCUFA)	Correspondence	Academic Year + 1 Year	Destroy
	Participation in OCUFA activities	Activity concluded + 5 Years	Destroy
Collective Agreement Negotiations (Faculty, Librarians and Archivists, Association Staff)	Negotiating Team ratification vote ballots	Vote completed + 6 months	Destroy
	Negotiations preparation information	Academic Year + 8 Years	Archive
	UWOFA approved goals and proposed contract language	Completion + 12 Academic Years	Archive
	Proposed Employer contract language	Academic Year + 8 Years	Destroy
	Bargaining session notes	Completion + 8 Academic Years	Archive
	Conciliation notice and correspondence	Completion + 8 Academic Years	Archive
	Ratification information	Completion + 8 Academic Years	Archive
	Ratification vote ballots	Vote completed + 6 months	Destroy
	Strike information	Completion + 8 Academic Years	Archive
	Signed off articles	Academic Year + 8 Years	Archive
	Summary of tentative Collective Agreement	Completion + 8 Academic Years	Destroy
Collective Agreements	Completed Agreement	Superseded + 8 Years	Archive
	Data provided by employer required in Collective Agreements	Academic Year + 12 Years	Archive
	Release Time requests	Academic Year + 7 Years	Archive
	Waiver documentation	Academic Year + 7 Years	Archive
	Letters of Understanding - subsequent to ratification of a Collective Agreement	Superseded + 8 Years or until it becomes part of a Collective Agreement	Archive
	Memoranda of Agreement - subsequent to ratification of a Collective Agreement	Superseded + 8 Years or until it becomes part of a Collective Agreement	Archive
Committees	UWOFA Internal (not including Executive Committee)		
	Grievance Committee		
	Agenda and Minutes	Academic Year + 10 Years	Destroy
	Agenda and Minutes	Academic Year + 10 Years	Destroy
	Notes from the meeting	Academic Year + 10 Years	Destroy

Document Category	Document	Retention	Disposition
Mandated under UWOFA Collective Agreements	Final Reports	Academic Year + 5 Years	Archive
	Notes from the meeting	Academic Year + 5 Years	Destroy
Joint Committee	Minutes, correspondence, memoranda	Academic Year + 15 Years	Archive
	Notes from the meeting	1 Academic Year	Destroy
Western Committees with UWOFA Representatives	Agenda and Minutes	Academic Year + 5 Years	Destroy
Governance			
Board of Directors	Meeting agenda, approved minutes, members list and supporting documents	Academic Year + 10 Years	Archive
	Notes and recording from the meeting	1 Academic Year	Destroy
	Members list	Superseded + 5 Academic Years	Destroy
Executive Committee	Meeting agenda, approved minutes, members list and supporting documents	Academic Year + 10 Years	Archive
	Notes and recording from the meeting	1 Academic Year	Destroy
By-Laws	By-Laws	Superseded + 7 Academic Years	Archive
Delegation of Authority	Signing authority for investments and banking	Delegation + 7 Academic Years	Destroy
Elections	Electronic file of voters list and vote results	Vote completed + 6 months	Destroy
Policies	Policies, procedures and guidelines	Superseded + 5 Years	Archive
General Meeting	Meeting agenda, approved minutes, members list and supporting documents	Academic Year + 10 Years	Archive
	Notes and recording from the meeting	2 Academic Years	Destroy
Operations			
Surveys	Draft copy, final copy and results	Superseded Or 10 Years	Destroy
Dues list	List of members who pay dues	Fiscal + 10 Years	Archive
Dues list of members paying for Out of country travel insurance	List of members who pay dues	Fiscal + 10 Years	Destroy
Scholarship	Student recipient list	Academic Year + 5 Years	Archive
Votes	Voters list, completed ballots, results	Vote completed + 6 months	Destroy
Organization of meetings	Scheduling emails and room reservation forms	End of event	Destroy
General/Miscellaneous	Drafts, preliminary versions, working papers	Until final copy is completed	Destroy
Financial			
Invoices, cancelled cheques Audit	Invoices, cancelled cheques	Fiscal + 10 Years	Archive
	Reports, preparation working papers	Fiscal + 10 Years	Archive
	Final statements with signatures, tax records	Fiscal + 10 Years	Archive
Banking	Bank reconciliations, statements, desposit slips	Fiscal + 10 Years	Archive
	Signing Authorities information	Fiscal + 10 Years	Destroy
Banking Investments	Statements, purchases notice	Fiscal + 10 Years	Archive
Financial Statements	IS, BS, TB, GL	Fiscal + 10 Years	Archive
Budget	Final and working papers	Fiscal + 10 Years	Archive

Document Category	Document	Retention	Disposition
Revenue Canada	T4 and T4A	Calendar Year + 10 Years	Destroy
	Remittance for payment of service	Calendar Year + 10 Years	Destroy
	Members union dues verification letters	Calendar Year + 5 Years	Destroy
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Facilities	Rental agreement	7 Years	Archive
	Access to building	Superseded + 1 Year	Destroy
	Insurance, D&O and Property	Policy Term ends + 15 Years	Destroy
	Contracts	Superseded + 3 Years	Archive
	Building maintenance & repairs	Completion + 15 Years	Destroy
	Office Equipment files including leases (not including invoices)	10 Years	Destroy
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Complaintes and Grievances	Documentation of Inquiry	Resolution + 8 Years	Destroy
Member Inquiries	Documentation of Complaint	Resolution + 8 Years	Destroy
Complaint File	Documentation of Grievance	Settlement + 8 Years	Archive
Grievance File	Documentation of Arbitration	Settlement + 8 Years	Archive
Arbitration File			
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Publications	Bargaining Bulletins	Academic Year + 8 Years	Archive
	<i>Faculty Times</i>	Academic Year + 10 Years	Archive
	<i>UWOFA Bulletin</i>	Academic Year + 8 Years	Archive
	<i>Your Collective Agreement</i>	Academic Year + 8 Years	Archive
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Communications	Western University Senior Administration	Academic Year + 5 Years	Destroy
	Review Letters		
	Reports to Western University Senate	Academic Year + 5 Years	Destroy
	Website documents	Superseded + 2 Years	Destroy
	Press Releases	Academic Year + 5 Years	Archive
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Human Resources	Documentation of employment history from hiring to termination	Termination + 6 Years	Destroy
Employee Files (including Contract employees)	Staff Incident Records	Termination + 2 Years	Destroy
Health and Safety	Pension and Benefit Records	Termination + 20 Years	Destroy
Hiring	Recruitment, selection files (unsuccessful)	Position Filled + 1 Year	Destroy
	Recruitment, selection files (successful)	Termination + 3 Years	Destroy

Document Category

Document

Retention

Disposition

Awards

Allan Heinicke and Tom Murphy Memorial Service Awards

Memorandum of Understanding	Until superseded	Archive
Criteria	Until superseded	Archive
Financial Statements	Academic Year + 10 Years	Archive
Nomination documents	Academic Year + 8 Years	Destroy

NOTE: Archived documents shall undergo a screening process to ensure that confidential information, as described in the Association's policies on confidentiality and the protection of personal information, is redacted.