



Records and Archive Policy

Oversight body: Executive Committee

Date Passed by Council: November, 2018

Date of Next Review: October, 2021

Related policies, bylaws, legislation:

Definitions

Archives – Those documents permanently stored in the Dalhousie Student Union (DSU); the composition of which is considered the official memory of the organization.

Record – A document in any form, created or received by an individual in the DSU retained as evidence of such activity either permanently or for a distinct period of time.

Purpose:

The nature of DSU operations is inherently transitional due to the Membership changing year to year and the internal organizational turnover. This policy ensures proper record keeping for legal, historical, and contextual documentation which helps to support informed decision making and accountability within the DSU.

Scope:

All DSU operations.

Statement:

1. General Principles

1.1 Preserving records of unique value

1.2 Preserving records of enduring value

1.3 Accountability

1.4 Security

2. Record Types

2.1 The following categories of records will be retained in the organization according to section 4 of this policy:

2.1.1 Human Resources

- 2.1.1.1 Employment Contracts
- 2.1.1.2 Interview notes and ratings
- 2.1.1.3 Requests for accommodation
- 2.1.1.4 Performance appraisals

2.1.2 Financial

- 2.1.2.1 General operating budget
- 2.1.2.2 Business, Service, Office, Departmental budgets
- 2.1.2.3 Audited Statements
- 2.1.2.4 Invoices generated by the DSU
- 2.1.2.5 Invoices to the DSU
- 2.1.2.6 Payroll files
- 2.1.2.7 Tax forms
- 2.1.2.8 Bank reconciliations, deposits and statements

2.1.3 Media and Communications

- 2.1.3.1 Official press releases
- 2.1.3.2 Graphic assets
- 2.1.3.3 Handbook

2.1.4 Governance

- 2.1.4.1 Council minutes
- 2.1.4.2 Standing Committee minutes
- 2.1.4.3 Goal Plans/Strategic Plans
- 2.1.4.4 End of Year Reports
- 2.1.4.5 Guides
- 2.1.4.6 Society ratifications
- 2.1.4.7 Transition documents

- 2.1.4.8 Organizational Charts
- 2.1.4.9 Policies and Bylaws
- 2.1.4.10 Dalhousie Board of Governors and Senate minutes
- 2.1.4.11 Meeting minutes and official correspondence with Municipal, Provincial, and Federal representatives and departments
- 2.1.4.12 Important correspondence contributing to the context around legal and historical agreements, understandings, and/or relationships.

2.1.5 Business

- 2.1.5.1 Service, product or space agreements and contracts

2.1.6 University

- 2.1.6.1 Memorandums of Understanding and Agreements with Dalhousie
- 2.1.6.2 Correspondence contributing to an understanding or formalized agreement with Dalhousie

3. Information Governance

3.1 The General Manager and Policy and Governance Coordinator will oversee the maintenance and access to DSU archives.

3.2 Records archived will have a file name ending in the date the record was created or officially adopted.

- 3.2.1 The date will be numerical in the form of “day.month.year”. For example, a record created on January 20th, 2018 will have a file name ending in 20.01.2018.

3.3 Requests for access to the archive must be made in writing and provide a timeline for required access.

3.4 Due to the privacy and sensitivity of some information, the Policy and Governance Coordinator will create and maintain a list of categorical access privileges according to authority and legal requirements.

- 3.4.1 Access will only be granted to elected Councilors/Executive Officers and Full-time Staff.
- 3.4.2 General Members, Part-time Staff, Honoraria positions, and 3rd parties requiring access will have the appropriately authorized position make arrangements and take responsibility for those records.

3.5 Those accessing archived records will be made to sign a register detailing name, position, record category accessed, date and signature.

- 3.6 Draft copies will not be retained in the archive unless clearly labelled as such and uniquely contributing to the context of that topic's discussion and/or finalized version.
- 3.7 Unless legally required, archived records will only be retained electronically in a centralized storage program.
- 3.8 Any records of student data provided to the DSU by Dalhousie University will be used, stored, and disposed of in accordance with the Dalhousie University and DSU Information Sharing Agreement.

4. Record Repositories by Category

4.1 Records in regular use and those which do not require archiving will be held by their appropriately designated Department or Position.

- 4.1.1 Human Resources – General Manager
- 4.1.2 Financial – Finance Department
- 4.1.3 Media and Communications – Communications and Outreach Coordinator
- 4.1.4 Governance – Policy and Governance Coordinator
- 4.1.5 Business – relevant business Director or Manager
- 4.1.6 University – General Manager

5. Schedule

5.1 Collection

- 5.1.1 It is the responsibility of each Executive Officer and Full-time Staff member to ensure appropriate record retention in their respective work portfolios.
- 5.1.2 The Policy and Governance Coordinator will provide a record checklist to each Executive Officer and Full-time Staff member, in accordance with their work portfolio, each semester.
- 5.1.3 Each Executive Officer will arrange a meeting with the Policy and Governance Coordinator once a semester to review record requirements.

5.2 Retention and Disposal

- 5.2.1 The following record categories reflect the minimum length of time they must be retained in the DSU before disposal can be considered.
 - 5.2.1.1 Human Resources – 36 months
 - 5.2.1.2 Financial – six years plus the current working year

- 5.2.1.3 Media and Communications - permanent
- 5.2.1.4 Governance - permanent
- 5.2.1.5 Business – six years after contract/agreement expiry
- 5.2.1.6 University – permanent

5.2.2 The disposal of any records in the following categories is automatically considered confidential in nature and, therefore, disposal must be by a secure destruction method:

- 5.2.2.1 Human Resources
- 5.2.2.2 Financial
- 5.2.2.3 Business