



ASFA Archives and Records Policy

Oversight Body: Executive committee

Date Passed by Council: March 21 2022

Date of Next Review: March 22, 2023

Related policies, bylaws, legislation:

- ASFA Document Naming Guidelines [\(link\)](#)
- ASFA Email and Shared Drive Organization Guidelines [\(link\)](#)
- ASFA Meeting Minute-Taking Best Practices Guide [\(link\)](#)
- Concordia Policy on Records Management & Archives
- ASFA Policy Development Process and Style Guide [\(link\)](#)

Definitions:

Records - Recorded information, Documents, irrespective of form or medium, that are created, received and maintained by an enterprise, or individual in the normal course of business for all functions sufficient to satisfy its legal, fiscal, administrative, and any other applicable recordkeeping requirements.

Archives - Documents of all kinds, irrespective of their date or nature, whether analog or digital, which are produced or received by an organization in the normal course of business and activities for all functions sufficient to satisfy its legal, fiscal, administrative, and other recordkeeping requirements or to preserve them for their general informational and contextual value.

Active Document - A document that is in current use for administrative or legal purposes.

Semi-active Document - A document that is occasionally used for administrative or legal purposes.

Inactive Document - A document that is no longer used for administrative or

legal purposes.

Retention Schedule - A group of retention rules that determine the periods of use and medium of retention of Active and Semi-active Documents and indicates which Inactive Documents are to be preserved permanently as Historical Archives, and which are to be disposed of.

Archives & Records Coordinator - A staff position within ASFA. If the position is vacant or discontinued, its responsibilities revert to the ASFA Internal Coordinator unless otherwise specified.

Purpose:

The nature of ASFA's 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 purposes, which helps to support informed decision making and accountability within ASFA.

Scope:

All ASFA operations.

Policy Statement:

1. General Principles
 - 1.1. Preserving records of unique value
 - 1.2. Preserving records of enduring value
 - 1.3. Ensuring all legal, fiscal, administrative, and other recordkeeping requirements are met or exceeded.
 - 1.4. Accountability

- 1.5. Security and Privacy
- 1.6. Transparency
- 1.7. Supporting Safe and Efficient Access

2. Record Types

2.1. The following categories of records will be retained in the organization:

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(s);
- 2.1.1.4. Performance appraisals;

2.1.2. Financial

- 2.1.2.1. General Operating Budget;
- 2.1.2.2. Member Association budgets;
- 2.1.2.3. Audited Statements;
- 2.1.2.4. Invoices generated by ASFA;
- 2.1.2.5. Invoices to ASFA;
- 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 and statements;
- 2.1.3.2. Graphic assets.

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. Member Association Registration Forms;
- 2.1.4.7. Transition documents;
- 2.1.4.8. Organizational Charts;
- 2.1.4.9. Policies and Bylaws;
- 2.1.4.10. Concordia Arts & Science Faculty Council 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 Concordia;
- 2.1.6.2. Correspondence contributing to an understanding or formalized agreement with Concordia.

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

- 2.2.1. Human Resources – General Manager;
- 2.2.2. Financial – Finance Coordinator;
- 2.2.3. Media and Communications – Communications Coordinator;
- 2.2.4. Governance – Executive Coordinator;
- 2.2.5. University – General Manager.

3. Information Governance

- 3.1. The General Manager and Archives & Records Coordinator will oversee the maintenance of, and access to, the ASFA Archive.
- 3.2. Requests for access to the archive must be made in writing, provide the reason/purpose for/of the request, and provide a timeline for required access.

- 3.3. Due to the privacy and sensitivity of some information, the Archives & Records Coordinator will create and maintain a list of categorical access privileges according to authority and legal requirements.
 - 3.3.1. Access will only be granted to elected Councilors/Executive Officers and Staff;
 - 3.3.2. Members-At-Large, Honoraria positions, and 3rd parties requiring access will have the appropriately authorized position make arrangements and take responsibility for those records.
 - 3.4. Those accessing archived records will be made to sign a register detailing name, position, record category accessed, date and signature.
 - 3.5. Draft copies will not be retained in the archive unless they are both clearly labeled as such and uniquely contribute to the context of that topic's discussion and/or finalized version.
 - 3.6. Unless legally required, archived records will only be retained electronically in a centralized storage program.
 - 3.7. Any records of student data provided to ASFA by Concordia University will be used, stored, and disposed of in accordance with applicable legislation, regulation(s), and agreements.
4. Document Naming Guidelines
- 4.1. Records archived will have a file name ending in the date the record was created or officially adopted.
 - 4.1.1. The date will be numerical in the form of "year-month-day". For example, a record created on January 20th, 2021 will have a file name ending in 2021-01-20.
 - 4.2. The Archives & Records Coordinator will maintain a "Document Naming Guidelines", an "Email and Shared Drive Organization Guidelines", and a "MA Minute Keeping Guide" document outlining best practices to use when naming ASFA documents and keeping ASFA records.

- 4.3. ASFA Executives, Staff, and Councilors, and Member Associations shall follow these guidelines to ensure the quality, consistency, and continuity of information retention within the organization.
- 4.4. The Archives & Records Coordinator is responsible for distributing their guides to all ASFA executives, committee chairs, staff, and Member Association Executives when they begin their mandates, and will organize training to Executives, Staff, and Member Association Executives on it within a timely fashion.

5. Schedule

5.1. Collection

- 5.1.1. It is the responsibility of each Executive Officer and Staff member to ensure appropriate record retention in their respective work portfolios.
- 5.1.2. The Archives & Records Coordinator will provide a record(s) checklist to each Executive Officer and Staff member, in accordance with their work portfolio, each semester.
- 5.1.3. The Archives & Records Coordinator shall arrange a meeting with each Executive Officer and staff member at the beginning of each semester to review record requirements. The Archives and Records Coordinator shall additionally meet with each Executive Officer in the final month of their mandate as part of their offboarding process to assist them with organizing their records in preparation for the incoming Executive member(s).
- 5.1.4. Records are to, as much as is possible, be captured without unduly disrupting the way end users work.
- 5.1.5. Records and Archive Management and the Records and Archive Policy is to be reviewed and audited annually.
 - 5.1.5.1. This review and audit is to examine how well this policy is working and if there are opportunities for improvement to this policy and

its related processes.

5.2. Retention and Disposal

5.2.1. The following record categories reflect the minimum length of time they must be retained in ASFA before disposal can be considered.

- 5.2.1.1. Human Resources – 36 months
- 5.2.1.2. Financial – seven 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. Legal - permanent
- 5.2.1.7. University – permanent

5.2.2. Records that fall under any of the following categories are automatically considered confidential in nature and, therefore, their disposal must be by a secure destruction method:

- 5.2.2.1. Human Resources
- 5.2.2.2. Financial
- 5.2.2.3. Business
- 5.2.2.4. Legal