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McMASTER UNIVERSITY FACULTY ASSOCIATION (MUFA) RECORDS MANAGEMENT POLICY

McMaster University Faculty Association (the “Association”) is the professional organization of the faculty and senior academic librarians of McMaster University. The Association’s purpose is to:

- promote the principle of academic freedom and the interests and welfare of faculty and senior academic librarians, both as a community of scholars and as individual members of the academic professions;
- promote excellence in teaching and research in the best tradition of free universities;
- represent faculty and senior academic librarians in all discussions and negotiations in the University on all matters concerning remuneration and working conditions; and
- represent faculty and senior academic librarians on the Joint Administration/Faculty Association Committee to Consider University Financial Matters and to Discuss and Negotiate Matters Related to Terms and Conditions of Employment of Faculty, and on such other joint committees, or other bodies, that involved faculty and senior academic librarians in their capacity as employees of the University.

1. Purpose

1.1 The Association is committed to creating, keeping, and managing records that document its activities in accordance with its commitment to the protection of personal information, as established in its *Confidentiality Policy*.

1.2 This *Records Management Policy* should be read in conjunction with MUFA’s *Confidentiality Policy*.

1.3 The Association is not subject to the *Personal Information Protection and Electronic Documents Act (PIPEDA)*. Nevertheless, the Association recognizes the principles articulated in *PIPEDA* as best practices in the collection, use and destruction of information. Accordingly, the Association has adopted this policy to give effect to its commitment to safeguarding its records

and information relating to its members, staff, officers and activities, in accordance with the principles articulated in *PIPEDA* and other applicable legislation.

2. Scope of Policy

2.1 This policy applies to all records created, received, used, and maintained by the Executive Committee and staff of the Association in the course of carrying out their functions.

2.2 “Record” means any recorded information in any format (including paper, electronic, and audio-visual materials) that has been created or received by the Association.

2.3 Records document the administration and operations of the Association and are retained as evidence of all transaction and activities.

2.4 The Association will establish schedules for the retention and disposal of records, which must be approved by the Executive Committee and applied to all records.

2.5 A portion of records which have longer-term evidential and historical value will be preserved permanently by the Association as enduring evidence of the conduct of the business of the Association.

3. Responsibilities

3.1 All staff and members of the Executive Committee of the Association are responsible for record keeping and for ensuring the security of Association records.

3.2 The Executive Committee of the Association (“the Executive”) has overall responsibility for establishing and enforcing records management practices. These practices shall comply with the principles set out in this *Records Management Policy* and with those established in the *Confidentiality Policy*. If it so chooses, the Executive may satisfy this responsibility through the appointment of an Association Records Custodian.

3.3 The Executive shall establish appropriate retention and disposal schedules for the maintenance and disposition of records.

3.4 The Executive shall provide appropriate technical, financial, organizational, and human resource support to enable the implementation of this policy and its concomitant retention and disposal schedules.

4. Maintenance and Storage of Records

4.1. Personal and confidential information shall be protected by security safeguards appropriate to the sensitivity of the information.

4.2 The security safeguards shall protect personal information against loss or theft, as well as unauthorized access, disclosure, copying, use, or modification. In accordance with the *Confidentiality Policy*, MUFA shall protect personal information regardless of the format in which it is held.

4.3 Methods of protecting records shall include:

(i) paper and other hard-copy records being stored in secure locations, for example, locked filing cabinets and offices with restricted access;

(ii) electronic records being stored on a password protected network/shared drive system that is backed up regularly; and

(iii) access to records being limited to staff and members of the Executive Committee only and on a “need-to-know” basis (consistent with the *Confidentiality Policy*).

4.4 Records will be retained and disposed of only according to the retention schedule approved by the Executive Committee.

4.5 Care shall be used in the disposal or destruction of personal information to prevent unauthorized parties from gaining access to the information.

5. Requests for Information

5.1 The Association is not subject to the *Freedom of Information and Protection of Privacy Act*. Accordingly, any Freedom of Information requests made to the Association will be rejected.

5.2 Upon request to the Executive Committee, or Association Records Custodian (if one is appointed), individuals may access, review and, where appropriate, correct any of their personal information held by the Association in accordance with the principles in *PIPEDA*.

5.3 Consistent with the *Confidentiality Policy* “personal information” means information concerning an identifiable individual, such as their home address, home email address, home telephone number, social insurance number, family status, national or ethnic origin, membership in an equity group, or medical information. It does not include aggregate information about members that does not reveal information that may be attributed to a specific identifiable person.

APPENDIX "A"

Records Retention Schedule

A. Original Association Documents

Records should generally be retained in both paper and electronic form (where applicable), permanently

B. Individual Member Records

Records should generally be retained in both paper and electronic form (where applicable), for the duration of membership and at least (XX) years from the date of termination of membership, save for a summary of information to be retained permanently

C. Financial and Business Documents

Records should generally be retained in both paper and electronic form (where applicable), in accordance with the Association's Constitution, By-Laws and legal obligations

D. Meeting Minutes, Policies and Procedures

Records should generally be maintained electronically, permanently

*Approved by the MUFA Executive
June 26, 2023*