

# WLUFA POLICIES

## #15 Policy on Record Retention and Destruction

**Approving Authority:** Executive Committee  
**Original Approval Date:** April 2025  
**Date of Most Recent Review/Revision:** April 2025

### 1.00 PURPOSE

**1.01** The purpose of this policy is to provide clarity and guidance with regard to WLUFA's record retention and destruction.

**2.00 POLICY** This policy sets out rules and guidelines to enable WLUFA staff and services to:

1. Keep paper and electronic records for appropriate periods of time as mandated by statute, convention, or best practice.
2. Move records of a historically significant nature to Laurier Archives at regular intervals with due consideration for confidentiality.
3. Destroy records responsibly and at regular intervals so as to limit liability for breaches of privacy and to enable good records management.

### Member Consent

Member consent to the collection and storage of information as set out in the policy is implied.

### Administration

The WLUFA and CUPE 1281 Staff Relations Committee (SRC) is in charge of the administration of this policy and the implementation of processes and procedures to ensure that the record retention schedule is followed.

SRC is authorized to:

1. Monitor local, provincial, and federal laws affecting record retention.
2. Make modifications to the record retention schedule from time to time to ensure that it is in compliance with local, provincial and federal laws and includes the appropriate document and record categories for WLUFA.
3. Monitor compliance with this policy by WLUFA staff. Housekeeping and compliance changes do not require renewed approval of the policy by the WLUFA executive, but all such changes will be brought to the attention of the executive as needed.

The Executive Director or their delegate shall serve as the Privacy Officer for the purposes of providing access to any confidential information stored on or off-site. Access will be approved only on an as-needed basis.

### **Suspension of Record Disposal in the Event of Litigation or Claims**

In the event WLUFA is served with any subpoena or legal request for documents or any employee becomes aware of a governmental investigation or audit concerning WLUFA or the commencement of any litigation against or concerning WLUFA, such employee shall inform the Executive Director. The Executive Director will issue a written notice to all staff to suspend the disposal of relevant documents until such time as the SRC, with the advice of counsel, determines otherwise. Employees must retain all relevant records, and no documents may be deleted or destroyed until the SRC and legal counsel provide formal written clearance. The Executive Director shall take such steps as necessary to promptly inform all staff of any suspension of the disposal of documents.

## Retention Terms

**Short-Term Retention:** 3-5 years then destroyed.

**Long-Term Retention:** 7 years and then transferred to permanent confidential storage, destroyed, or transferred to permanent storage for historical and research purposes.

**Permanent Retention:** Retained on site for the life of the C.A. and then transferred to permanent confidential storage or transferred to permanent storage for historical and research purposes.

**Short-Term Retention** (3-5 years) is used for documents required for routine operations but not essential for long-term compliance or reference. Long-Term Retention (7 years) aligns with statutory requirements and industry best practices for financial, governance, and legal records.

**Permanent Retention** applies to records that are legally required to be kept indefinitely, essential for governance continuity, or of historical and institutional significance. These records document key decisions, legal agreements, financial audits, and union governance, ensuring compliance, institutional memory, and future reference for research or precedent-setting.

## Destruction of Records

Records destroyed as part of daily operations will either be disposed of through recycling or shredded if they are confidential or private. Larger quantities of sensitive documents shall be periodically shredded by a reputable third party, who performs the document destruction on site and guarantees secure disposal.

Electronic records shall be deleted following the same schedule as physical records. Care shall be taken to delete files, clear deleted file caches, and wipe devices and drives thoroughly before re-use or disposal.

## Record Retention Schedule

### Section Topic

- A. Accounting and Financial Records.
- B. Association Governance Records.
- C. Correspondence.
- D. Insurance Records.
- E. Grievance and Legal Records.

- F. Bargaining Unit and Collective Agreement (C.A.) Records.
- G. Personnel Records.

#### A. Accounting and Financial Records

Purpose of retention: Compliance with Canada Revenue Agency rules.

**Long-Term Retention:** WLUFA's accounting records shall be kept for 7 years. For clarity, there will always be a full set of accounting records for the 7 years prior to the current fiscal year on the premises. Upon the completion of the current year's audit, the files for the fiscal year 8 years in the past will be prepared for shredding.

The following types of accounting and financial records will be retained for 7 years:

- Accounts payable and receivable ledgers and schedules.
- Bank statements and cheque records.
- Credit card statements.
- Expense claims and receipts.
- Laurier invoices.
- Staff salary and other payment forms.
- Any other documentation normally retained with our accounting files.
- Records of investments.

The following types of accounting and financial records will be retained permanently:

- Annual budget and financial reports to members.
- Annual audit reports.

#### B. Association Governance Records

Purpose of retention: For reference or historical purposes.

**Long-Term Retention I:** Regular governance records shall be retained on site for 7 years and then either moved to private storage or donated to the Laurier Archives for permanent storage.

Such documents include:

- Agendas and approved minutes of:
  - Normal general member meetings.
  - Normal council meetings.
  - Normal executive meetings.
- Official WLUFA correspondence with Laurier.
- The annual reports summarizing workplace accommodations, grievances, and other grievance-related topics.

**Long-Term Retention II:** The following records relating to WLUFA committee work and events shall be kept for 7 years and then destroyed:

- Agendas and minutes for standing committees except for JLC(see Section F).
- Agendas and minutes for ad hoc committees.
- Any research materials relating to the work of these committees.
- Agendas, notes, or other materials prepared for WLUFA events such as special lectures, workshops, or caucuses.

**Permanent Retention:** A single copy of all constitutional documents, policy manuals and handbooks shall be retained permanently. Excess copies can be shared with Laurier Archives following the schedule for normal governance documents above or destroyed.

The following public communications will be posted on the website for 3 years and then archived permanently with Laurier Archives:

- Copies of routine member communications (newsletter, out-of-date info-sheets or in-shorts, event posters, special reports, etc.).
- Any special reports or projects produced by standing or ad hoc committees or the executive.

### C. Correspondence (Member, Employer, and Third Party)

Purpose of retention: To ensure continuity of representation and to identify and track relative provisions of the C.A. or for historical and reference purposes.

It is recommended that records that support a particular project be kept with the project and take on the retention time of that particular project file.

Correspondence or memoranda, including emails that do not pertain to documents having a prescribed retention period, should generally be retained for 3 years. Common types of correspondence include member queries, staff correspondence with Laurier arising out of interpretations and application of the C.A. as well as Search and/or Tenure and Promotion Committees and documents pertaining to the governance of bodies to which WLUFA belongs or has rights of attendance. These may be divided into three general categories:

**Short-Term Retention:** Those pertaining to routine matters with no significant, lasting consequences should be discarded within 3 years. Some examples include:

- Routine letters and notes that require no acknowledgment or follow-up, such as notes of appreciation, letters of transmittal, and plans for meetings.
- Form letters or announcements from third parties (e.g. OCUFA Reports, CAUT Memos).
- Other letters of inconsequential subject matter or that definitely close correspondence to which no further reference will be necessary.

**Long-Term Retention:** At the end of the short-term retention period, correspondence with lasting consequences should continue to be retained for the long-term retention window of 7 years, where it can be reviewed a final time and either destroyed or retained permanently.

**Permanent Retention:** Correspondence pertaining to non-routine matters or having significant lasting consequences should generally be retained permanently on-site.

#### D. Insurance Records

Purpose of retention: In accordance with the advice of WLUFA's insurance broker.

**Permanent Retention:** All insurance policies and supporting documentation shall be permanently retained on-site in accordance with the advice of WLUFA's insurance broker.

#### E. Grievance and Legal Records

Purpose of retention: To enable compliance with an ongoing financial, administrative or legal obligation for either the University, WLUFA or a member.

**Permanent Retention:** The following records shall be retained in permanent confidential storage on site:

- All signed memoranda resolving WLUFA grievances or disputes involving individual members.
- All signed memoranda of settlement for terminations of WLUFA members or staff.
- All agendas and minutes of special executive meetings to decide whether grievances should be arbitrated.
- All legal opinions related to grievances.
- All written decisions from arbitrators on WLUFA cases.

**Long-Term Retention:** The following shall be retained electronically or physically for 7 years in confidential storage and then expunged or shredded:

- Tracking forms, correspondence, evidence, and other materials related to the grievance.
- Arbitration files including books of documents, correspondence and notes.
- Supporting documents for workplace investigations where WLUFA is advising a member complainant or respondent.
- Supporting documents for workplace investigations within WLUFA (services and/or staff).

#### F. Bargaining Unit and Collective Agreement (C.A.) Records

Purpose of retention: For bargaining, historical and research purposes.

**Permanent Retention:** The majority to be held in Permanent Archives (on site) with Anomalies Side Table to be held in permanent confidential storage and also including:

- Records relating to union certification, amalgamations of bargaining units or alteration clarifications of the scope.
- A complete set of all collective agreements.
- A complete record of Joint Liaison Committee (JLC) agendas, minutes and reports including student/faculty ratios (18.2.3.2) and PTP reports (13.2.2).
- All executed memoranda and letters between the parties regarding contract provisions.
- A complete set of bargaining notes including proposals exchanged for each round of bargaining.
- Member data acquired through WLUFA surveys or provided by the employer for the purposes of bargaining.
- A complete set of member communications for each round of bargaining.
- Ratification vote results for each contract.
- Membership reports on the shared drive with the University (monthly membership report, dues report, termination, promotion, leaves and LTD reports).

**Short-Term Retention:** The following member data provided to WLUFA according to C.A. provisions, shall be retained for 3 years and then destroyed. The purpose of the documents is to ensure the C.A. is being properly administered. The original documents are to be anonymized into annual reports which will be retained permanently.

- Copies of postings.
- Appointment letters.
- Posting exemptions.
- Special appointments.
- Leave reports.

The following materials related to bargaining and the interpretation of the C.A. shall be retained for the life of the C.A. after the one they pertain to and then be destroyed:

- Notes of caucuses, working groups and committees preparing for bargaining.
- Records of informal exchanges of interpretations of the C.A. between the parties.

## G. Personnel Records

Purpose of retention: Staff records are retained for compliance with the Employment Standards Act (ESA), and service records are retained for reference or historical purposes.

**Permanent Retention:** Records pertaining to service participation with WLUFA should be retained permanently. Specifically, who comprises each of the governance bodies of the association and who sits on each of WLUFA's committees each year should be recorded and retained.

**Short-Term Retention:** In accordance with the ESA, the following records pertaining to current WLUFA staff should be kept for 3-5 years, as required by legislation, and then destroyed:

- Monthly time worked records.
- Payroll information.
- Records of leaves taken with supporting medical evidence if relevant.
- Job descriptions.
- Vacation time records including any payment in lieu of time (5 years).
- Records of bonuses paid (5 years).

Records for past employees shall be kept for 3 years from the date of termination of services and then destroyed with the exception of a record of the employee's name, start and end dates and any legal settlement regarding their termination, which shall be kept permanently.

In addition, there shall be an employee file for all current staff containing the following:

- Basic personal information for purposes of payroll and insurance.
- Letter of engagement.
- Annual review materials.
- Annual salary letters.
- Discipline or coaching materials.
- Records of promotion or demotion.
- Correspondence between WLUFA and the staff person.

## Appendix A – Document Retention Timelines Section

Record Type	Short-Term Retention (3-5 years)	Long-Term Retention (7 years)	Permanent Retention
Accounting and Financial Records	N/A	All accounting records except those listed under permanent retention.	Annual budgets, financial reports to members, and annual audit reports.
Association Governance Records	Routine member communications (e.g., newsletters, event posters)	Regular governance records (meeting minutes, official correspondence)	Constitutional documents, policy manuals, and handbooks.
Correspondence (Member, Employer, Third Party)	Routine communications with no lasting consequences.	Correspondence with lasting consequences that require further review.	Correspondence with significant legal or historical impact.
Insurance Records	N/A	N/A	All insurance policies and supporting documentation.
Grievance and Legal Records	N/A	Arbitration files, grievance tracking forms, supporting documents for workplace investigations.	Signed grievance settlements, arbitration decisions, legal opinions.
Bargaining Unit & Collective Agreement (C.A.) Records	Member data reports (appointment letters, postings)	Records of informal contract interpretations, bargaining notes for expired agreements.	Collective agreements, bargaining records, ratification results, union certification records.

Personnel Records (CUPE 1281)	Payroll, time records, job descriptions (5 years per ESA).	N/A	Governance body membership records, legal settlements for terminations.
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