

## AD9300 ACCESS TO INFORMATION AND PRIVACY

Records documenting the administration of programs to ensure compliance with the Freedom of Information and Protection of Privacy Act (FIPPA) and Personal Health Information Protection Act (PHIPA).

Includes administration of formal access to information requests and appeals.  
Also includes reporting, notification, and remedial actions of privacy breaches and complaints.

Not used for financial records relating to access requests, see AD2500-33.

Example documents include but are not limited to request forms, correspondence, mediation reports, orders from the Information and Privacy Commissioner (IPC) of Ontario, privacy breach reports.

*University Records exist in both physical and electronic formats, such as paper, email or data in a database. Paper records may or may not contain information that is duplicated in an electronic system. For technical reasons the retention assigned to the electronic records may be different from the retention of physical records. If there are differences, see instructions in this schedule for details.*

### OPR - Records Management and Privacy Office

*(Unless otherwise assigned, see below)*

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
31	<b>Access Request and Appeal Files</b>	ET + 5	0	DP/AR	YES
	<i>Records documenting processing of formal access requests for general and personal information in accordance with FIPPA and PHIPA, including access request forms, correspondence, copies of responsive records, notice of mediation, mediator's report, notice of adjudication, IPC orders or IPC disposition of the appeal.</i>				
	<i>ET Definition: Requests processed and appeal period completed or expired.</i>				
	<i>Disposition Plan: At the end of the retention, records of appeals concerning requests for general information are to be transferred to the Archives. All other records are to be destroyed.</i>				
	Retention based on anticipated operational use.				

## GLOSSARY

FY = Fiscal Year (May 1 to April 30)

AY = Academic Year (September 1 to August 31)

CY = Calendar Year (January 1 to December 31)

ET = Event Trigger

OPR = Office of Primary Responsibility

DP = Special Disposition Plan

AR = Transfer to Archives

D = Destroy / Delete

PIB = Personal Information Bank

AD9300 was approved on 04/04/2017.

NO.	TYPE OF RECORD	Active yr(s)	Semi-Active	Dis-position	Personal Info
32	<b>Privacy Breaches and Complaints Case Files</b> OPR - Records Management and Privacy Office and Departments / Units <i>Records consist of privacy breach report forms, notifications, prevention plans, and correspondence.</i> <i>ET Definition: Case closed.</i> <i>Disposition Plan: At the end of the retention, files of cases that were reported to Ontario's Information and Privacy Commissioner are to be transferred to the Archives. All other records are to be destroyed.</i>	ET + 10	0	DP/AR	YES
Retention based on anticipated operational use.					
40	<b>Access to Information and Privacy Tracking System</b> <i>Records contain information collected for administrative and statistical purposes, such as request numbers, appeal numbers, IPC order numbers and requester's contact information.</i> <i>ET Definition: Information no longer needed.</i>	ET + 0	0	D	YES
Retention based on anticipated operational use.					

This schedule applies to official records. Convenience or duplicate copies of official records should not be kept longer than necessary, and in no event longer than the official copy.

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