
Appendix A

Records Retention Manual

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Introduction

Trillium Lakelands District School Board recognizes its obligation under the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) to provide public access to information of the Board while at the same time protecting the privacy of its students and staff. The Board complies with the legislation of the Province of Ontario, governing retention periods for records of the Board.

The purpose of these guidelines is to outline how Trillium Lakelands District School Board will institute a Records Management System.

Records management applies to all recorded information (including paper, electronic, microfilm, audio, video, imaging or other media) that falls under the care, custody or control of Trillium Lakelands District School Board, regardless of the location where the information is stored. Records management is a vital component of normal office procedure and it is the responsibility of every Board employee.

Within this resource is the records retention and disposition schedule which provides timelines for retention of the Board's records according to their administrative, fiscal, legal and research/archival value.

Definitions

Archives	Centrally designated sites established for the protection of permanent records no longer required for operational purposes.
Centrally Designated Records Repository	School Board offices, schools, or other approved storage locations.
Final Disposition	Records disposition is either destruction of records or transfer of records to archives. This occurs after the expiration of the retention period stipulated herein.
Electronic Data	Information stored and manipulated in electronic systems, including stand-alone PCs, mini computers, local area networks and main frame applications. Records listed in the schedule could be in electronic form. Special provisions must be made for electronic records which have been designated as permanent, including regular migration, refreshing and security backup.

Minimum Retention	The time period required herein for the retention of corporate and school records, before the records are either destroyed or transferred to an archives for permanent preservation.
Permanent Records	Records which have been identified as having enduring value. They may be of permanent significance to the school Board because of their legal, fiscal or administrative value. They may also be of historical or cultural importance to a wide range of people, including former students and teachers, local historians, and academics.
Records	Any kind of recorded information <u>created</u> or <u>received</u> by board staff, regardless of physical format or characteristics. Includes administrative files as well as student records and covers both paper and electronic records. Official record refers to the original document. Working copies of documents are also records.
Superseded	Records that are routinely updated or revised and where the previous version has no continuing value.

Purpose

These procedures are designed to assist officials of Trillium Lakelands DSB in managing records and information. Specifically, the guidelines have been prepared to:

- establish minimum retention periods for records based on legal, administrative and financial requirements, recognizing that there may be specific circumstances where individual departments may wish to retain certain records for longer periods of time;
- ensure that records of permanent value are identified and moved into an archival environment, when their office retention period is finished;
- ensure the systematic and controlled destruction of records after expiry of retention periods.

Ownership of Official Records

The official records of Trillium Lakelands District School Board are the sole property of the Board. Employees leaving or relinquishing their positions within the Board shall leave all official records for their successors and/or supervisor. Official records of archival value should be transferred to the appropriate department supervisor in accordance with records retention schedules approved by the Board.

Records Management Procedures

Paper Records Storage

Records should be stored in a clean, dry location with adequate security for the type of information they contain. Records should not be put in areas where they might be subject to water damage, mould or infestation.

It is expected that records should only be accessed by persons authorized to do so. Long term retention of duplicate copies by other areas is discouraged.

In order to reduce the cost of retrieving information and of storing unnecessary paper, all staff are encouraged to retain only those records which are essential as outlined in the Records Retention Schedule (Appendices C and D).

Records should be reviewed annually by departments and schools in accordance with the Records Retention Schedule. This includes electronic records and other viable media.

Electronic Record Storage

This manual includes electronic records, voice mail or any other record produced by means of computer hardware and software, as well as microform records, photographs, films, sound recordings, videotapes, plans and drawings, and any other piece of recorded information capable of being produced from machine readable records.

Most email, voice mail, and social media are considered short term records and should be disposed of as soon as their purpose has been served.

Records stored electronically should be stored on the computer network system of the Board.

Destruction of Records

Records should be destroyed as soon as possible after the approved retention periods have lapsed. In most cases, this should be undertaken as an annual procedure. Although the disposition of some records could be delayed occasionally because of negligible accumulation, the normal implementation of the schedule should not be deferred so as to create a pressing storage problem.

Paper records should be destroyed under controlled and confidential conditions by shredding. Electronic records should be destroyed by deleting them from the workstation and mainframe configurations. Floppy disks/CDs containing information due for destruction should be erased or physically destroyed.

Staff should delete personal and transitory messages from e-mail and voice mail on a regular basis.

Transferring Permanent Records to the Archives

Permanent records should be moved into the archives designated in the records management policy as soon as possible for protection.

Archival records should be boxed or bundled and clearly marked with the label found in Appendix B. It is essential to contact the appropriate department supervisor at the corporate office before commencing this process to determine procedural requirements and ability to accommodate.

Copies of the lists of records transferred to the archives shall be maintained by the senior administrator responsible for records management.

In general, records with a remaining retention of ten years or greater are eligible to be microfilmed/imaged/digitized. Examples of such records include employee files, permanent financial records, Board /committee agendas and minutes. Should a department have long-term records which qualify for electronic archival, please notify the Records Management Facilitator for further information regarding this process.

Records Retention Schedule

The Records Retention Schedule provides minimum retention limits and procedures for:

- Records that must be retained according to legislation and Board administrative procedures; and
- Records that may be retained due to their administrative value.

The attached schedule provides minimum retention periods and dispositions for records commonly held by Trillium Lakelands District School Board.

Administrators may decide to keep certain records longer than set out on the attached schedule before destruction or archival – this schedule establishes minimum retention periods only.

Records should never be destroyed sooner than set out on the attached schedule because the Board may require this information for administrative, financial or legal purposes. Records designated as archival in the schedule should never be destroyed.

Format

The headings within the schedule identify the records and provide the minimum retention periods and final disposition action. There are two main components to the schedule –

corporate and school. Within the corporate schedule, there are nine separate sections – Administration (ADM); Communications (COM); Special Education / Student Services (SPE); Program (PRO); Facilities/Building Maintenance/Operations (FAC); Finance (FIN); Human Resources (HUM); Systems (SYS); and Transportation (TRA).

The index for the schedule is alphabetically arranged by section and then by record content.

Appendices C and D are divided into four columns as follows:

SUBJECT:	This column identifies the groups of identical or related records that are normally used and filed as a unit.
RETENTION/DISPOSITION:	This column indicates the total length of time the record is to be kept, including active and inactive files.
RESPONSIBILITY:	This column indicates the department responsible for keeping the “official” copy of the record.
AUTHORITY:	This column indicates the specific legislation or guidelines which set out retention limitations.

The types of records included in each subject area are broadly defined as follows:

ADMINISTRATION - ADM:

Includes records regarding the establishment of policy, regulations and administrative procedures as well as the activities of the Board of Trustees, Office of the Director of Education and senior administration.

COMMUNICATIONS – COM:

Includes records regarding the Board’s relations with the public as well as records relating to the production and distribution of information to the public, outside agencies and schools.

PROGRAM – PRO:

Includes records regarding the planning and implementation of curriculum programs, program reviews, curriculum guidelines and co-curricular information such as field trips and educational tours. This category also includes programs centred on preparing the student for involvement in the community, such as career information and cooperative education programs as well as community educational services such as seniors’ programs and continuing education.

FACILITIES/BUILDING MAINTENANCE/OPERATIONS – FAC:

Includes records regarding the development, maintenance, construction and operation of Board offices, properties, vehicles, grounds and buildings.

FINANCE – FIN:

Includes records regarding financial management, budgeting, accounting, purchasing, payroll and all matters concerning the allocation and control of funds to departments and schools. It also includes records on tuition, contracts and agreements, insurance, real estate matters and health and safety.

HUMAN RESOURCES – HUM:

Includes records regarding the Board's relationship with its employees. It also includes records regarding general staff programs as well as information on specific employees.

SPECIAL EDUCATION/STUDENT SERVICES – SPE:

Includes records on the delivery of services to individual students including students with special needs, attendance counselling, assessments, etc.

SYSTEMS – SYS:

Includes records pertaining to operation of computer hardware, computer systems, software, systems technology and systems applications.

TRANSPORTATION – TRA:

Includes records on bus route costings, bus capacity loading and records regarding ridership.

SCHOOLS – SCH:

Includes records maintained by schools.

Some records may overlap jurisdictions.

This schedule excludes all reference, resource and library material such as books, articles and external publications which are not official records of the Board. It also excludes duplicate records and temporary working papers such as rough notes or informal drafts.

RECORDS ARCHIVAL (APPENDIX B) Paste to Facing Side of File Box

RETENTION PERIOD: (✓ One)

Permanent Store for ____ yrs./Destroy: (date)

Record Owner (Department): _____

Name of Submitter: _____

Date of Archival: _____

Type of Record(s): _____

Date Range of Record(s): _____ to _____

RECORDS ARCHIVAL (APPENDIX B) Paste to Facing Side of File Box

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Appendix C

Corporate Records Retention Schedule

Appendix D School Records Retention Schedule
