

BOARD ADMINISTRATIVE PROCEDURE	
<i>Administrative Procedure</i> Records and Information Management	<i>Administrative Procedure Number</i> 1201
<i>Directional Policy</i> Records and Information Management (RIM)	

TITLE OF ADMINISTRATIVE PROCEDURE:

Records and Information Management

DATE APPROVED:

February 23, 2021

PROJECTED REVIEW DATE:

February 2026

DIRECTIONAL POLICY ALIGNMENT:

The Records and Information Management Administrative Procedure supports *Directional Policy 1200 - Records and Information* by putting into operation the Peterborough Victoria Northumberland and Clarington (PVNC) Catholic District School Board's commitment to strategically maintain records and information and ensure the efficient creation, maintenance, retrieval, security, storage, and disposition of records.

ALIGNMENT WITH MULTI-YEAR STRATEGIC PLAN:

The Records and Information Management Administrative Procedure supports our Vision for achieving Excellence in Catholic Education by supporting the Board's efforts to maintain reliable and accessible records of Board actions, transactions and decisions through a coordinated and integrated approach to records and information management.



Strategic Priorities 2017-2020

Vision

Achieving Excellence in Catholic Education
LEARN • LEAD • SERVE

Mission

To educate students in faith-filled, safe, inclusive Catholic learning communities by nurturing the mind, body and spirit of all.

LEARN

Achieve excellence in instruction and assessment to enable all students to become reflective, self-directed, lifelong learners.

LEAD

Foster critical thinking, creativity, collaboration, and communication, to enable all students to realize their God-given potential.

SERVE

Inspire engagement and commitment to stewardship for creation to enable all students to become caring and responsible citizens.

GUIDELINES:

The Board's Records and Information Management (RIM) program allows PVNC to strategically maintain records and information and ensure the efficient creation, maintenance, retrieval, security, storage, and disposition of records.

At the heart of the Board's RIM management program is the Records and Information Management Classification and Retention Schedule (CRS). It provides instructions governing the minimum amount of time a record must be maintained based on legislation and operational need, providing a systematic and logical arrangement of Board information into various subject groups.

This Administrative Procedure outlines the Board's expectations for the management of active and inactive Board records. It ensures the management of school, department and staff records align with the CRS and that records with an archival and historical value are identified and preserved.

All staff can access the CRS by using the "Records Lookup" tool on the PVNC Hub.

Appendix A of this Administrative Procedure outlines the subject-based classification scheme that will assist staff in labelling, organizing and maintaining Board records in alignment with the CRS.

RESPONSIBILITIES:**The Board of Trustees is responsible for:**

- Ensuring alignment of this administrative procedure with the Records and Information Management Directional Policy;
- Reviewing the Records and Information Management Administrative Procedure as part of its regular policy and procedure review cycle.

The Director of Education is responsible for:

- Designating resources for ensuring the implementation of and compliance with this Administrative Procedure.

Superintendents of Schools are responsible for:

- Ensuring any employee for whom they have supervisory responsibility are compliant with the requirements under this Administrative Procedure.

Principals, Managers and Supervisors are responsible for:

- Maintaining effective management of records created and/or used in the school or department in compliance with the CRS.

Manager of Communication is responsible for:

- Overseeing the Records and Information Department, the implementation and ongoing operation of the Board's RIM program and the training of PVNC staff with respect to RIM practices and compliance with the CRS.

Records and Information Management Staff are responsible for:

- Maintaining and updating the CRS.
- Providing relevant staff training on the Board's records and information management program.
- Overseeing the centralized secure storage facilities of board inactive records and the formal process of transferring inactive records from schools/departments to the storage facilities.
- Arrange for confidential destruction of records in accordance with the CRS.

Staff are responsible for:

- Complying with this Administrative Procedure.
- Understanding their obligations to create and maintain accurate records within the operation of their roles.

ACTIONS REQUIRED:

1.0 General

- a) The Board shall institute a records and information management program that complies with the *Education Act* and accompanying regulations, the *Municipal Freedom of Information and Protection of Privacy Act*, and federal and provincial legislation governing retention periods for all its information holdings.
- b) The Records and Information Management (RIM) Policy shall apply to all records within the custody or under the control of the Peterborough Victoria Northumberland and Clarington (PVNC) Catholic District School Board related to all Board business regardless of the medium in which those records are stored and maintained.
- c) Board documents are retained in accordance with the Records and Information Management Classification and Retention Schedule (CRS).
- d) Departments and schools are responsible for the management of records and information relevant to their functions in compliance with the CRS.
- e) The Records and Information Management Department is responsible for providing storage and retrieval of inactive records and overseeing record-keeping systems and services that effectively maintain and retrieve information in compliance with the CRS.
- f) All Board records will be efficiently and promptly disposed in accordance with the CRS and on the authority of the record owner when administrative, legal and fiscal values have ceased and all legislative requirements as they affect Board documents have been met, while preserving those records of enduring value due to archival, historical or vital reasons.
- g) All records scheduled for disposal containing confidential information will be destroyed in a secure and permanent manner.

- h) Legal requirements supersede any and all Board policies authorizing destruction of records, including the authority granted in approved retention schedules.

2.0 Records and Information Classification and Retention

2.1 The Board's Records and Information Management Classification and Retention Schedule (CRS) is the key management tool aiding staff to:

- a) classify documents and information for filing and retrieval based on subject;
- b) ensure records are retained for the periods of time necessary to satisfy statutory, regulatory, legal, fiscal, audit, historical or operational needs;
- c) dispose of records as per the CRS; AND
- d) delete or destroy records upon satisfaction of the retention period, and with documented authorization from the responsible party.

2.2 The CRS is maintained in its original form in the RIM department and can be accessed by all Board staff on the online employee HUB under "Records Lookup."

2.3 CRS content is dynamic and will be updated as changes brought by the government or the Board will influence how information is managed. Therefore, Board staff should reference the CRS regularly.

2.4 RIM staff will notify staff about new updates to the CRS critical to their role.

3.0 Management of Active Records

3.1 Active records are information resources that are still in active use. These records are usually referenced on a daily, weekly or monthly basis.

3.2 Active records should be classified based on subject and function in accordance with the CRS classification scheme so that periods of retention can be applied.

3.3 This classification scheme is hierarchical and flexible. It includes a series of broad categories with lower level breakdowns that become increasingly specific.

3.4 See **Appendix A**, which outlines the classification scheme.

4.0 Management of Inactive and Expired Records

4.1 Records and information become inactive when the need for ready reference declines and records become expired when a predetermined period of time to keep has ended and the owner of the record has no further use for it.

4.2 The organization and management of inactive records and information is comprised of the following:

- a) The application of retention periods to records and information both paper and electronic in compliance with the CRS and the proper labelling and organizing of inactive records to ensure efficient retrieval and destruction.
- b) Centralized secure storage facilities of board inactive records including a formal process of transferring inactive records using the Records Transfer List form.
- c) Environmentally and legally acceptable means of deletion or destruction of obsolete records when legislative, legal, fiscal, and operational requirements have been met.

5.0 Records Disposition

5.1 Records and information are disposed of in the following way:

If Inactive:

- Store: Paper official records that are no longer regularly referenced but have a lengthy retention period are sent to Central Storage until the completion of the retention period. This includes all records marked Permanent and Archival.

If Expired:

- Shred: Paper official records are shredded when their period of retention has expired and the owner has authorized their destruction in writing. Stored and shredded paper records are tracked using the Records Transfer List.
- Delete: Electronic records are deleted when their period of retention is complete. Deleted electronic records are tracked using the Disposition Log.

5.2 Confidential/Personal Information Records

- Confidential records and those containing personal information will be treated as such when storing, maintaining, transferring, or destroying them. They will be destroyed in such a manner that they cannot be read, interpreted, or reconstructed according to the terms of the *Municipal Freedom of Information and Protection of Privacy Act*.

6.0 Historical Archives

- 6.1 A historical archive is a collection of historically significant documents and memorabilia that provide a perspective on the provision of education in our district over time.
- 6.2 The CRS identifies those records deemed to be significant to preserving the history of Catholic education in the areas our board serves.
- 6.3 Together with records owner representatives, Records and Information department staff will assign archival value to records and information so that they may be evaluated for archival preservation.
- 6.4 Archival records will have administrative, fiscal, legal, evidential, and/or informational values that deem them to merit permanent retention.
- 6.5 The archival program will effectively store records which are to be kept permanently once the original operational need for the record has ceased to ensure that valuable documents are not destroyed.
- 6.6 Care will be taken in handling and boxing archival records. Adequate descriptions must be made to permit ready access, and appropriate protective measures must be taken to reduce the wear and tear on records that do not have to be consulted often.

7.0 Vital Records

- 7.1 A Vital Records Plan will be developed to identify and protect those records that are vital to getting the system up and running immediately after a disaster, e.g. water damage, fire. It will include a pre-arranged set of scenarios for dealing with system records and back-up copies of vital records.

PROGRESS INDICATORS:

Appropriate records management training and advisory services for all Board employees implementing the RIM program will be provided.

DEFINITIONS:**Record**

A record in the context and application of this procedure is preserved information that serves as evidence of plans, decisions, actions, results and history. Records are proof that the Board is operating as intended. Records have corporate, evidentiary and, in some cases, historical value, and are essential for school board operations. Records must be retained for a predetermined period of time and require owner authorization for destruction. Recorded information formats include paper, electronic and audio and visual recordings.

Official records are the “master” or “original” record (as opposed to a copy of the same) to which the program of management including retention is applied.

Certain records, called “**transitory records**”, are required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record such as working papers, copies or drafts. They do not include records required to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of the Board. Transitory records can be destroyed without authorization.

RIM

Records and Information Management is the planning, directing, controlling and evaluating of information assets to assist in the efficient delivery of operations, programs and services. It applies to all business and school program applications and information technology systems. It is based on a number of principles including compliance, accountability, transparency, integrity and protection.

Responsibility

Certain operational areas are responsible for certain records and further, they are responsible for keeping those records (official records) for the full period of retention. This is because they are responsible for the function or process that requires or generates the information. For example, Payroll Services is responsible for payroll records. Responsibility is documented in the CRS. An area that has records but does not have official responsibility may keep the records for ease of reference but are not to keep them for the full retention period and do not send records to storage or utilize the authorization process for destruction.

Records Retention

Records retention scheduling prescribes the period of time official records are kept in order that the board can be sure it has kept information appropriately. Information retained beyond the retention period can change it from being an asset to it becoming a liability and is discouraged.

Vital Information

Vital records and information are those that are essential towards protecting the Board's assets and the rights of students and employees. They allow the Board to fulfill its obligations and ensure the continued operation of the Board in the event of a disaster.

References

- Education Act R.S.O. Chapter E.2, section 171 (38)
- Municipal Freedom of Information and Protection of Privacy Act R.S.O. 1990 Chapter M.56, section 4.1 and section 48. (1) (c.1)
- Archives and Recordkeeping Act, Schedule A s. 2(2)

Supporting Documents

- Appendix A

Forms

- Records Transfer List
- Disposition Log

Related Policy and Procedure

- Directional Policy 1200 – Records and Information Management
- Administrative Procedure 1203 – OSR Management
- Administrative Procedure 1202 – Protection of Privacy
- Administrative Procedure 1207 – Freedom of Information