



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

**Date Approved:**  
April 19, 2017- Board

**Date of Next  
Review:**

**Dates of Amendments:**  
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**Cross References:**

Consolidating Records Management (A.20) and Archives (A.21)  
 Education Act  
 Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)  
 Canada Evidence Act  
 Ontario Evidence Act  
 Personal Health Information Protection Act (PHIPA)  
 Ministry of Education Ontario Student Record, (OSR) Guideline, 2000  
 Privacy and Information Management (PIM) toolkit  
 TCDSB Policy A.22 Art Collection  
**TCDSB Policy A.38 Freedom of Information and Protection of Privacy**  
**TCDSB Policy S.16 Access to Pupil Information**  
**TCDSB Policy A.29 Acceptable Use of Technology**

**Appendix****Purpose:**

The purpose of this policy is to establish requirements to protect the legal, fiscal, historical, and other interests of the Board and the public in managing records, and information, **and data** safely and securely, for as long as required.

**Scope and Responsibility:**

This policy applies to all records and information received, created and maintained within administrative departments and schools. The Director is responsible for this policy with the support of the **Executive Superintendent, Technology, Data, and**



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

**Strategic Transformation and Chief Information Officer; Executive General Legal Counsel;** and Archives & Records Management staff. All Board employees **and trustees shall be responsible for compliance with this policy in the records, information, and data** they create, **use**, and maintain to support the business operations of the Board. ~~They must ensure compliance with the Board's policy and procedures in the management of Board records, information, and data.~~

#### **Alignment with MYSP:**

~~Living Our Catholic Values~~

~~Enhancing Public Confidence~~

~~Fostering Student Achievement and Well-Being~~

~~Achieving Excellence in Governance~~

~~Providing Stewardship of Resources~~

~~Inspiring and Motivating Employees~~

**Learning – Growing in Knowledge**

**Continue to develop a Christ-centered learning organization in pursuit of knowledge, innovation, and responsiveness.**

**Equity – Growing in Knowledge with Justice**

**Apply Catholic social justice to nurture a community focused on equity, diversity, inclusion, anti-racism, and anti-oppression.**

**Well-Being – Growing in Knowledge With Justice and Hope**

**Strengthen an environment rooted in Gospel values that nurtures hope and well-being.**



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

### Policy:

The Board requires the institution and maintenance of a comprehensive records, information, **and data** management program for the systematic creation and maintenance of records, information, **and data** that is accurate, authentic, reliable, accountable and consistent with applicable legislation and guidelines. In addition, the Board will support the collection and preservation of archival materials which illustrate the growth and development of TCDSB and its previous boards.

### Regulations:

#### *Records Management*

1. Record keeping practices must comply with the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA), the Personal Health Information and Protection Act (PHIPA), the Education Act, the Ontario Evidence Act, the Canada Evidence Act, and other **applicable** statutory provisions, as well as relevant guidelines and current leading records, information, **and data** management practices.
2. **Records**, information, **and data** shall be readily available and accessible for as long as it is required:
  - a. **Records**, Information **and data** to support evidence of communications, actions and decisions shall be routinely recorded and stored.
  - b. **Records**, Information **and data** shall be accessible to staff who require it in the performance of their duties and are authorized to access it.
  - c. **Records**, Information **and data** shall be shared across the organization **and with external organizations having appropriate authorization**



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

**or consent** and ~~with social agencies~~ in accordance with operational needs and statutory provisions.

- d. **Records, information and data shall be disclosed to individuals external to the TCDSB, law enforcement and child welfare agencies in accordance with applicable statutory provisions.**
  - e. **Records**, Information **and data** shall be managed throughout its life cycle regardless of format.
  - f. Rules shall be established for the organization, storage, retrieval, and destruction of records, **information, and data**.
  - g. Plans and practices to actively make appropriate records, **information, and data** available to the public shall be in place, and records, **information, and data** shall be available to the public by request, subject to the statutory requirements.
3. Accountability for managing **records, information and data** in the custody and control of the organization shall be clearly defined, communicated and monitored:
- a. Accountability for creating a record of business decisions and transactions and for maintaining corporate memory shall be clearly established and monitored;
  - b. Roles and responsibilities for staff shall be articulated and understood for all **information, and data** management ~~of information~~ activities; and.
  - c. Core competencies relating to managing **records**, information, **and data** shall be identified and training shall be provided.



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

4. Risks to **records**, information, **and data** shall be managed and practices and processes in place to protect information assets:
- ~~a. Risks to records management shall be identified and managed;~~
  - b. Practices shall be in place to protect confidential, sensitive, and personal information from unauthorized collection, use, disclosure or destruction;
  - c. All records, **information, and data** shall be managed to meet rules of evidence and legal discovery;
  - d. Contractual arrangements shall include provisions for the protection and appropriate use of **records, information, and data** to mitigate risks;
  - e. Records, **information, and data** shall be managed ~~in order~~ to support business continuity and recovery in the event of disaster;
  - ~~f. Records shall be managed to protect privacy and confidentiality.~~
5. Records, **information, and data management** shall meet the needs of staff and stakeholders. Records, **information, and data** management **processes** shall be timely, accurate, reliable, and relevant, have integrity and be easy to use:
- ~~a. Processes shall be in place to ensure that records management is accurate, timely, reliable and easy to use;~~
  - ~~b. Records management shall be planned and managed;~~
  - a. e. Records, **information, and data** shall be managed appropriately throughout its entire life cycle - creation, capture and collection;



**POLICY SECTION:** Administration

**SUB-SECTION:**

**POLICY NAME:** Records Management and Archives

**POLICY NO:** A.20

organization; storage, access and use; and disclosure and disposition (destruction, archival selection or permanent retention);.

- b. d.** Processes and technology supports shall be in place to ensure appropriate access to records, **information, and data** and tracking of who has modified or accessed confidential records, **information, and data**.
6. Coordinated planning for **records, information, and data** management shall be linked to organizational goals, objectives and financial planning, and shall be integrated into program and business processes:
- a. Records, **information, and data** management practices shall be included in program planning;.
  - b. Records, **information, and data** management shall be coordinated across the organization – both schools and **administrative** departments;.
  - c. Records, **information, and data** management shall be planned to support continuous service and disaster recovery; ~~and~~.
  - d. Records, **information, and data** management shall be integrated into succession plans to ensure the capture and maintenance of corporate history.
7. TCDSB shall maintain an official records retention schedule, which will outline retention of Board records according to their administrative, fiscal, legal, research and archival value. It will include records that must be retained according to legislation and/or Board procedures and a notation of the



POLICY SECTION: Administration

SUB-SECTION:

POLICY NAME: Records Management and Archives

POLICY NO: A.20

archival/historical importance of each record series where appropriate. The ~~Records Retention Schedule~~ **records retention schedule** will be updated as appropriate.

- ~~8. All Board employees shall be responsible for the records, information, and data they create and maintain to support the business operations of the Board. They must ensure compliance with the Board's policy and procedures in the management of Board records, information, and data.~~

### *Archives*

9. Archival material shall be arranged and described according to archival principles and collections will be documented to support the organization and the retrieval of materials.
10. The Board shall provide adequate and appropriate conditions for the storage, protection, and preservation of archival material;.
11. The Archives shall provide reference and services to Board employees, school communities, individuals, **and** organizations interested in its holdings, unless access is restricted by legal requirements or written agreements with donors;.
12. Where feasible, the Archives shall accept historical material, including: textual records; photographs and other visual records; maps, plans, and architectural records; ~~and~~ **sound and video** recordings and oral histories.



**POLICY SECTION:** Administration

**SUB-SECTION:**

**POLICY NAME:** Records Management and Archives

**POLICY NO:** A.20

Transfer of material to the Board Archives, or from the Board Archives to external cultural/historical organizations, must be approved by the Director.

### **Definitions:**

#### **Board**

“Board,” as referenced in this policy, means the corporate Board.

#### **Data**

**Any symbols or characters that represent raw facts or figures forming the basis of information.**

#### **Information**

**Meaning and value derived through the analysis, interpretation, and organization of data.**

#### **Record**

Any information however recorded, whether in printed form, on file, by electronic means or otherwise and includes:

- Correspondence, a memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microfilm, sound recording, videotape, machine readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof; and
- ~~Subject to the regulations,~~ Any information that is capable of being produced from a machine-readable source, under the control of an institution by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution.

### **Records Management**





**POLICY SECTION:** Administration

**SUB-SECTION:**

**POLICY NAME:** Records Management and Archives

**POLICY NO:** A.20

The efficient creation, processing, retrieval, storage, and disposal and/or destruction of information.

### **~~Records Inventory~~**

~~A systematic listing of the records in a given area~~

### **Records Lifecycle**

The stages of a record throughout its lifetime:

- The creation or when a record is received;
- The active record, when we are using it;
- The inactive record, when a record is used infrequently and may be stored on-site or off-site; and
- Disposal, when a record is securely destroyed, or is deemed to have an ongoing value to the organization and is archived for reference.

### **Records Series**

The technical name given to a group of related records filed as a unit that are organized into a pattern or arrangement which permits evaluation as a unit for retrieval and for retention scheduling purposes.

### **Personal Information**

Recorded information about an identifiable individual including;

- Information relating to the race, national or ethnic origin, colour, religion, age, sex, sexual orientation or marital or family status of the individual;
- Information relating to the education or the medical, psychiatric, psychological, criminal or employment history of the individual or information relating to financial transactions in which the individual has been involved;
- Any identifying number, symbol or other particular assigned to the individual;



**POLICY SECTION:** Administration

**SUB-SECTION:**

**POLICY NAME:** Records Management and Archives

**POLICY NO:** A.20

- The address, telephone number, fingerprints or blood type of the individual;
- The personal opinions or view of the individual except if they relate to another individual;
- Correspondence sent to an institution by the individual that is implicitly or explicitly of a private or confidential nature, and replies to that correspondence that would reveal the contents of the original correspondence;
- The views or opinions of another individual about the individual; and
- The individual's name if it appears with other personal information relating to the individual or where the disclosure of the name would reveal other personal information about the individual.

### **Business records**

Any documents that are made or received in connection with the transaction of public business of the Board that conveys information regarding decisions or other business activities or are associated with business programming, policies, legal or financial requirements, such as agreements/contracts, financial documents, approvals, meeting minutes.

### **Active record**

A record that is current. It is a record that is being referred to and used on a regular basis.

### **Inactive records**

Records that are referred to infrequently, but must be retained temporarily or permanently due to legal, fiscal, administrative or archival value.

### **Vital records**



**POLICY SECTION:** Administration

**SUB-SECTION:**

**POLICY NAME:** Records Management and Archives

**POLICY NO:** A.20

Records required to continue or resume business following an emergency or disaster. Each department will have records that are vital to their day-to-day operations.

### **Archival records**

Records that have permanent historical value. An example of an archival record is Board meeting minutes.

### **Records Retention Schedule**

A list of all the record classifications and their corresponding retention periods. The schedule also identifies which records are deemed vital, which are archival, and who is the responsible department or official record holder.

### **Evaluation and Metrics:**

The effectiveness of the policy will be determined by measuring the following:

- a) Regular monitoring of board records, **information, and data** management processes by Archives and Records Management staff to identify necessary improvements to practice and training requirements.
- b) Regular audit of Board records management practice by Ministry of Education-mandated Internal Audit Committee.
- c) Official communications received by the Ontario Information and Privacy Commission.
- d) Feedback from business leaders, superintendents, and principals.