



**POLICY SECTION:** ADMINISTRATION

**SUB-SECTION:**

**POLICY NAME:** RECORDS MANAGEMENT & ARCHIVES

**POLICY NO:** A.20

<b>Date Approved:</b> April 26, 2017- Board	<b>Date of Next Review:</b> April 2022	<b>Dates of Amendments:</b>
<b>Cross References:</b> <i>Consolidating Records Management (A.20) and Archives (A.21) Education Act</i> <i>Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)</i> <i>Canada Evidence Act</i> <i>Ontario Evidence Act</i> <i>Personal Health Information Protection Act (PHIPA)</i> Ministry of Education Ontario Student Record, (OSR) Guideline, 2000 Privacy and Information Management (PIM) toolkit		
<b>Appendix</b>		

**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 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 Archives & Records Management staff.



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**Alignment with MYSP:**

Strengthening Public Confidence

Fostering Student Achievement and Well-Being

Inspiring and Motivating Employees

**Policy:**

The Board requires the institution and maintenance of a comprehensive Records and Information Management program for the systematic creation and maintenance of records and information 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 antecedent 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 statutory provisions, as well as relevant guidelines and current leading records and information management practices.
2. Information shall be readily available and accessible for as long as it is required:
  - a. Information to support evidence of communications, actions and decisions shall be routinely recorded and stored.



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- b. Information shall be accessible to staff who require it in the performance of their duties and are authorized to access it.
  - c. Information shall be shared across the organization and with social agencies in accordance with operational needs and statutory provisions.
  - d. Information shall be managed throughout its life cycle regardless of format.
  - e. Rules shall be established for the organization, storage, retrieval and destruction of records.
  - f. Plans and practices to actively make appropriate records available to the public shall be in place, and records shall be available to the public by request, subject to the statutory requirements.
3. Accountability for managing information 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 management of information activities; and
  - c. Core competencies relating to managing information shall be identified and training shall be provided
4. Risks to information 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 shall be managed to meet rules of evidence and legal discovery;



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- d. Contractual arrangements shall include provisions for the protection and appropriate use of records to mitigate risks;
  - e. Records shall be managed in order to support business continuity and recovery in the event of disaster; and
  - f. Records shall be managed to protect privacy and confidentiality.
5. Records management shall meet the needs of staff and stakeholders. Records management 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;
  - c. Records shall be managed appropriately throughout the entire life cycle of the record - creation, capture and collection; organization; storage, access and use; and disclosure and disposition (destruction, archival selection or permanent retention);
  - d. Processes and technology supports shall be in place to ensure appropriate access to records and tracking of who has modified or accessed confidential records.
6. Coordinated planning for records management shall be linked to organizational goals, objectives and financial planning, and shall be integrated into program and business processes:
- a. Records management practices shall be included in program planning;
  - b. Records management shall be coordinated across the organization – both schools and departments;
  - c. Records management shall be planned to support continuous service and disaster recovery; and
  - d. Records management shall be integrated into succession plans to ensure the capture and maintenance of corporate history.



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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 archival/historical importance of each record series where appropriate. The Records Retention Schedule will be updated as appropriate.
8. All Board employees shall be responsible for the records and information 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.

#### ***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, 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 recordings and oral histories. Transfer of material to the Board Archives, or from the Board Archives to external cultural/historical organizations, must be approved by the Director.



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13. Material acquired by the Archives shall become the permanent property of the Board. Management will evaluate the relevance of materials on an ongoing basis, and remove items that are no longer relevant to the Archives.
14. The Archives will encourage the collection and preservation of archival material at TCDSB schools, and will provide support and advice as regards leading archival practices for school archival collections.
15. The Archives retains the right to reproduce materials for security, display, or research purposes, and may charge for any reproduction or other research service. A schedule of fees will be made available to the general public.

APPENDIX A



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### **Definitions:**

#### **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**

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.



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### **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;
- 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





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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**

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.



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**Evaluation and Metrics:**

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

- a) Regular monitoring of board records 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.

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