

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

RATIONALE:

Hamilton-Wentworth District School Board (HWDSB) manages records and information to meet operational and legislative requirements and for present and future needs. Records of the Board are important strategic assets that must be managed by all employees and Trustees. Comprehensive Records and Information Management (RIM) supports HWDSB's integrity, transparency and accountability as a public organization.

The creation and management of HWDSB records is in accordance with the provisions of the [Education Act](#), the *Municipal Freedom of Information and Protection of Privacy Act* ([MFIPPA](#)), the [HWDSB Privacy Policy](#), and other relevant statutes and regulations of the Province of Ontario and the Government of Canada.

HWDSB is committed to the fundamentals and established practices of Records and Information Management to ensure that records and information are consistently accurate, authentic and reliable, that records of operational, fiscal, legal and historical value are identified, maintained and disposed of or preserved in accordance with all relevant legislation, established guidelines or operational needs. The Records and Information Management Procedure serves as a foundation for the HWDSB Records and Information Management Program which supports staff to uphold their duties as employees and fulfill legal and legislative records requirements.

TERMINOLOGY:

Digitization: refers to the action of converting a physical record into a digitized record. This includes the steps involved in the conversion process, such as, preparation, scanning and quality assurance.

Digitized Record: means a record that has been converted from a physical record into a digitized record.

Disposition: refers to the final action carried out on a record once its retention period is complete. The disposition could be secure destruction/deletion, archival review or, for a small segment of records, permanent retention for the lifetime of the Board.

Electronic Records: means records that are captured, generated with and/or used by information technology devices. This includes email, digital images, audio and video files.

Generally Accepted Recordkeeping Principles ([GARP](#)): is a widely leveraged global standard consisting of eight (8) core values for records and information management established by the Association of Records Managers and Administrators International (ARMA). These principles are foundational at HWDSB and are reflected throughout this procedure. The eight principles are: accountability, transparency, integrity, protection & security, compliance, availability, retention, and disposition.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Legal Hold: refers to a process that an organization uses to preserve all forms of relevant and potentially relevant information when litigation, a government investigation, other investigation, audit, FOI request, or other legal issue or dispute is reasonably anticipated or is underway. During legal hold, applicable retention periods under the HWDSB Records Retention Schedule are suspended and all available records (including official and transitory) must be preserved.

Legislated Records: refers to records created, collected and/or received by the Board that support legislated obligations. This includes records that have a retention period determined by legislation.

Lifecycle of a Record: refers to the span of time from the creation or receipt of the recorded information through to its final disposition. The life cycle includes the following stages: creation or receipt, distribution, use, maintenance and final disposition (destruction/deletion or permanent retention).

Official Record: means any record created, collected and/or received in the course of regular Board business and kept for administrative, legislative or operational purposes that provides evidence of business decisions, actions, and transactions, including the delivery of programs.

Operational Records: refers to records created, collected and/or received by the Board that support Board operations. This includes records with retention periods that are determined by the operational requirements of the Board or the Ministry of Education.

Record: is defined by the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) as “any record of information however recorded, whether in printed form, on film, by electronic means or otherwise, and includes:

- a) correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine-readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof, and
- b) subject to the regulations, any record that is capable of being produced from a machine-readable record 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.”

Whether a record is created on a Board issued device or a personal device, if it relates to Board business, it is a record of the Board and must be maintained in accordance with the Board’s records retention schedule. All Board records may be subject to Freedom of Information requests.

Records and Information Management (RIM): refers to the systematic control of records throughout their lifecycle.

Record Owner: means the Board staff who have direct responsibility for the management of records in schools or in the administrative and support departments or locations.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Retention: means the minimum amount of time required to keep a record as determined to be necessary by law or other authority. Original records cannot be destroyed until the retention time has been met. Likewise, records should not be retained longer than the retention time without a valid reason.

Records Retention Schedule (RRS): refers to a comprehensive list of records series held by the Board, indicating for each record series, a description of the records, the responsible department or location, the length of time the records must be retained, the final disposition once the retention has been met and any relevant legislation related to the retention requirement.

Transitory Records: refers to records that are useful for only a short period of time and are of minor importance. Once they have fulfilled their use, transitory records should be destroyed or deleted. Examples of transitory records include personal messages, general notices and announcements, copies of documents and emails; cc, bcc or FYI emails kept only for convenience; and drafts and working documents used to prepare final records with a few exceptions such as agreements/contracts working documents, or drafts in developing policy.

Vital Record: refers to a record that is fundamental to the functioning of an organization and necessary to continue the operations, without delay, under abnormal conditions.

PROCEDURES:

1.0 General

- 1.1 The Hamilton Wentworth District School Board (HWDSB) will maintain a comprehensive Records and Information Management (RIM) Program. The RIM Program fosters informed decision-making, facilitates accountability, transparency and collaboration, and supports appropriate disclosure of information.
- 1.2 HWDSB complies with applicable laws of Ontario and Canada and HWDSB policies. Personal information, including personal health information, is managed in accordance with the *Municipal Freedom of Information and Protection of Privacy Act* ([MFIPPA](#)), the *Personal Health Information Protection Act* ([PHIPA](#)), all other applicable legislation including any college regulations, and Board policies, particularly Privacy Policy No. 1.6.
- 1.3 Records containing personal information must be kept secure. Access must be limited to only those who require access to the records in order to fulfill their duties. This is a legislative requirement under MFIPPA. HWDSB's Information Technology department maintains industry standard processes as part of the Board's encryption approach for securing electronic records.
- 1.4 The Board will protect records and information management systems from the risk of disaster to ensure the continuity of business operations in the event of any disruption. The term "disaster" refers to a wide range of major and minor disruptions to records, records management and recordkeeping systems.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

- 1.5 All employees and Trustees are records and information stewards and are tasked with accurately maintaining all Board records and information as required in a retrievable format, for current and future access.
- 1.6 Records and information will be securely maintained for as long as required and disposed of only when all HWDSB's operational, fiscal, legal, regulatory, vital and archival record-keeping obligations are met. These obligations and retention requirements are documented in the HWDSB Records Retention Schedule ([Appendix A](#)). The records retention schedule will be reviewed and revised, as required, based on changes to legislative or operational needs.
- 1.7 Records of archival or historical significance shall be identified and preserved in order to enhance the institutional memory of HWDSB.

2.0 Scope

- 2.1 School boards are mandated to have a records retention schedule based on the school board's needs and compliance requirements.
- 2.2 Systematic records management is fundamental to organizational efficiency. It ensures that the information is:
 - 2.2.1 Collected, maintained, and available for current and future access or retrieval, properly stored and retained, and destroyed on time or preserved according to need;
 - 2.2.2 Utilized to meet current and future needs, and to support change;
 - 2.2.3 Accessible to authorized persons only;
 - 2.2.4 Maintained as evidence of HWDSB functions and activities and supports the delivery of Board programs and services, and Board operating requirements.
- 2.3 The Board will manage records in its custody or within its control, in accordance with statutory and organizational requirements, in order to maintain an authentic and reliable history of its actions, transactions, and decisions. This includes:
 - 2.3.1 Records and information obtained, created, and maintained within all departments and locations of the Board and including records of the Board of Trustees;
 - 2.3.2 All third-party contractors, service providers or agents who collect, process, or store records and information on behalf of the Board.
- 2.4 Statutory obligations throughout the lifecycle of the records require that records are:

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

- 2.4.1 Retained according to the records retention schedule with the exception of any hold on records, including a designated legal hold;
- 2.4.2 Not destroyed or deleted before the defined retention has been met;
- 2.4.3 Authentic and reliable evidence of the activities of the Board;
- 2.4.4 Accessible, and available, as appropriate;
- 2.4.5 Maintained in a manner that ensures timely, efficient, and accurate retrieval by the Board as required;
- 2.4.6 Disclosed when requested, where not exempt according to MFIPPA;
- 2.4.7 Preserved and not intentionally deleted when required as evidence or for pending or future litigation;
- 2.4.8 Secured and protected from unauthorized disclosure.

It is an offence under Section 48.1 of MFIPPA to disclose personal information in contravention of MFIPPA, and to willfully destroy, delete or alter records to prevent access before the records retention has been met.

- 2.5 Records can be in any format: paper, video, audio, microfilm, and electronic (including email, digital media, websites, electronic document management systems, etc.).
- 2.6 Electronic records stored in digital repositories (e.g., network drives, cloud storage, electronic document management systems) are to be retained in a readable format for the length of their required retention, as per the HWDSB Retention Schedule. This includes all business applications and information technology systems used to create, store and manage records and information, including email, database applications and websites.
- 2.7 Business continuity planning and contingency measures are required to ensure that records vital to the continued functioning of HWDSB are identified as part of risk analysis, that they are protected and recoverable when needed. The Information Technology department maintains an internal Disaster Recovery Plan and Continuous Data Protection as part of HWDSB's approach to the back-up of data and network applications.

3.0 Responsibilities

Records and information management is a shared responsibility. All records created by employees and Trustees in the course of their duties are HWDSB records. Our records management responsibilities start at the time of record creation or acquisition, and continue through the lifecycle of the record, from access to storage to final disposition.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

The HWDSB Records Retention Schedule defines how we classify our records and it specifies how long we need to keep each classification of records. The schedule also describes what we do with the records at the end of their lifecycle if they are not permanent records (destroy/delete or review for possible transfer to the HWDSB Archives). The schedule applies to all records, regardless of format.

Organization Responsibilities

- 3.1 Each department, school and the Board of Trustees must support the RIM Program by ensuring that the RIM Procedure is applied, and must also:
 - 3.1.1 Manage all records and information regardless of format (paper, electronic including email, audio, videotapes, etc.) according to applicable federal and Ontario laws, and school board policies and procedures.
 - 3.1.2 Ensure that appropriate access and security rules are in place to protect both paper and electronic records as required.
 - 3.1.3 Ensure that records containing sensitive or personal information are only accessible to those who require access to the information in order to perform their duties.
 - 3.1.4 Manage electronic records and information stored in digital repositories (e.g. network drives, cloud storage, electronic document management systems) to retain a readable format for the length of their required retention, as per the HWDSB Records Retention Schedule.
 - 3.1.5 Maintain an inventory of active and inactive records stored in the department or at the school site that includes a description of the records, the record owner, location of the records, date range, record format, retention period and the volume of records (e.g., number of boxes), to facilitate the management of these records.
 - 3.1.6 Maintain all records and information according to the HWDSB Records Retention Schedule.
 - 3.1.7 Advise the Privacy and Information Management Officer of any retention schedule changes required to align with current legislation or operational needs.
 - 3.1.8 Securely dispose of records in accordance with the HWDSB Records Retention Schedule and the Records Destruction Process set out in [Appendix B](#);
 - 3.1.9 Document and maintain an inventory of records destroyed in accordance with the HWDSB Records Retention Schedule.
 - 3.1.10 Maintain an inventory of records transferred to secure offsite storage to facilitate future retrievability and support the Board's ability to manage the records in accordance with the HWDSB Records Retention Schedule.
 - 3.1.11 Follow the Digitization Steps set out in [Appendix D](#) if replacing a physical record with a Digitized Record, to ensure that it meets the nationally recognized

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Electronic Records as Documentary Evidence Standard to serve as an Official Record of the Board.

3.1.12 Require that all third-party organizations, contractors, or agents of the Board that receive or collect information on behalf of the Board are aware of and comply with this Procedure

Employee and Trustee Responsibilities

3.2 All employees and Trustees who create, collect and use records and information on behalf of the Board, must comply with this procedure and any statutory requirements. Employees and Trustees are required to:

3.2.1 Manage records and information according to the records management best practices defined in this procedure and the *Generally Accepted Recordkeeping Principles (GARP)*, and retain according to the HWDSB Records Retention Schedule.

3.2.2 At the end of employment, term or contract with the Board, HWDSB records and information must remain with the Board. This means that HWDSB records must be transferred to the employee's supervisor/manager/Principal or Superintendent, as applicable, or the Secretary-Treasurer of the Board to ensure operational continuity and fulfillment of retention requirements.

3.2.3 Utilize available privacy, access, and security measures to protect the confidentiality and sensitivity of records, as appropriate. Records must be protected from unauthorized use or release and from loss or damage.

3.2.4 Electronic records may only be stored on authorized HWDSB network accounts and applications. They should never be stored on, transferred or copied to personal devices or personal accounts such as email, cloud drives (e.g., Google Drive, Dropbox, iCloud) or USB devices.

3.3 Employees and schools are responsible for the management of records created and/or used at the school, including but not limited to office records, student records, and teaching resources. Each school must have a secure storage area for managing paper records until the retention period has expired and destruction has been arranged, or the records have been transferred to offsite storage.

The Privacy and Information Management Officer Responsibilities

The Director of Education oversees the Records and Information Management Program and delegates responsibility to the Privacy and Information Management Officer.

The direct Supervisor of the Privacy and Information Management Officer provides support and assistance as required.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

3.4 The Privacy and Information Management Officer:

- 3.4.1 Coordinates the HWDSB Records and Information Management (RIM) Program; maintains a current records retention schedule.
- 3.4.2 Conducts records inventories at Board locations to ensure that all records are appropriately captured within the HWDSB Records Retention Schedule.
- 3.4.3 Consults with employees and Trustees on records management best practices.
- 3.4.4 Provides training and related documentation to assist Board employees and Trustees in understanding their records management responsibilities and obligations.
- 3.4.5 Assists employees and Trustees with implementing retention requirements for their paper records systems and electronic platforms (e.g., Laserfiche, PowerSchool, Outlook).
- 3.4.6 Responds to and advises on any records management related inquiries.
- 3.4.7 Implements changes to the retention schedule in consultation with staff responsible for the records.
- 3.4.8 Liaises with IT to address implementation of records and information management requirements for electronic records and information stored in digital repositories.
- 3.4.9 Liaises with HWDSB Archives when relevant records are identified for transfer to archival storage.
- 3.4.10 Makes updates to the HWDSB RIM Program and strategies as required and works with employees to implement any changes with the approval and support of Executive Council.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

APPENDIX A: Records Retention Schedule



Records Retention Schedule

Retention Schedule:
Updated December 2024

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Table of Contents

| | |
|--|----|
| Administration..... | 4 |
| Access & Privacy | 4 |
| Information Technology | 4 |
| Meetings Management | 9 |
| General Administrative | 11 |
| Staff Notebooks | 12 |
| Administrative Services | 13 |
| Records & Archives Management | 13 |
| Communications & Public Relations..... | 15 |
| Event Management | 15 |
| Media & Public Relations | 15 |
| School Collections | 18 |
| Facility Services | 18 |
| Assets, Property Management & Maintenance | 19 |
| Health, Safety & Security | 22 |
| Inspections and Testing | 27 |
| Financial Services..... | 29 |
| Accounting Administration | 30 |
| Financial Planning | 34 |
| Financial Reporting | 35 |
| Payroll | 39 |
| Procurement | 40 |
| Governance and Legal | 41 |
| Contracts / Agreements Administration | 41 |
| Board & Council Administration | 41 |
| Policies, Procedures, Directives | 43 |
| Risk Management | 44 |
| Real Property Management | 48 |
| Human Resources Management | 50 |

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| | |
|---|-----|
| Compensation and Benefits Administration | 50 |
| Health & Wellness | 52 |
| Labour/Employee Relations | 55 |
| Organizational Planning | 57 |
| Recruiting & Selection | 59 |
| Staff Management | 59 |
| Training & Skills Development | 63 |
| Planning and Research | 63 |
| Research Planning & Design | 64 |
| Research & Outcomes Reporting | 66 |
| Program Design and Development | 68 |
| Curriculum Design & Planning | 68 |
| Program Design & Planning | 70 |
| Student Services | 72 |
| Student Admission/Registration/Enrolment | 72 |
| Student Support & Wellness | 76 |
| Student Assessments & Progress | 81 |
| Student Records Administration | 88 |
| Student Discipline | 96 |
| Student Activities & Programs | 101 |
| Retention Schedule Terms | 88 |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Administration

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------|---|-------------|--|
| Access & Privacy | | | | |
| Access Requests for Information Includes requests and tracking sheets for Freedom of Information Requests made under the Municipal Freedom of Information Act. Requests for access to student/employee records and information. | Privacy Office | E + 2 years E= appeal period expires +2 years | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Information Breaches Includes breach reports and records related to the investigation and resolution of the breach. | Privacy Office | E + 2 years E = Final resolution of the breach + 2 years | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Information Technology | | | | |
| Access Control and Password Records Records related to the management of and access to programs. Includes individual access, password management, etc. | Information Technology Services | E + 1 year E = termination of employee. | Destroy | Operational |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------|--|-------------|--------------------|
| Backup Storage Backup tapes are considered transitory records until they are required in the event of a disaster, or the district is required to access for data recovery. | Information Technology Services | 3 months 4 months - Core Applications (SIS, FIS, HRIS) | Destroy | Operational |
| Staff and Student Accounts Staff and student accounts, such as email and other platforms, and the contents of the accounts. | Information Technology Services | Staff accounts E + 1 year E= termination or retirement Student accounts E + 1 E = retirement of student | Destroy | Operational |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------|-----------------------------------|-------------|--------------------|
| Functional, Technical Specifications Includes records regarding systems development functional and technical specifications and requirements, such as background requests, requirement definitions, studies, surveys, stakeholder engagement information and business cases used to design/develop software/hardware specifications. Also includes acceptance/compatibility criteria, modeling, final specifications and supporting documentation. | Information Technology Services | E + 3 years E = Life of System | Destroy | Operational |
| Information Technology: Hardware & Software Administration Includes records related to the administration of network operations, system acquisitions, installations, programming, licensing, upgrades, account backups and restores. | Information Technology Services | E + 1 E = Life of System | Destroy | Operational |
| Information Technology Standards Includes the approved standards for hardware, software, security, access, data backup and disaster recovery. | Information Technology Services | S + 1 | Destroy | Operational |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---------------------------------|--|-------------|--------------------|
| IT Helpdesk Tickets Includes records regarding the performance of typical daily helpdesk functions for the district. Records include helpdesk submissions background documentation submitted by the user; scripts used by the helpdesk to respond to inquiries. | Information Technology Services | E + 1 year E= until ticket resolved | Destroy | Operational |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------|-----------------|-------------|--------------------|
| <p>Information System and Architecture Documentation Records relating to the design of computer systems and/or software, including needs assessments, business cases, project charter, process flowchart documentation, impact analysis, user and system requirements, specifications, testing plans and results, user sign-offs, project management meeting minutes/documentation, system development documentation, software design records, and software inspection notes.</p> <p>Also includes records on system installations/conversions and product evaluations.</p> <p>May also include requests for significant modification, fixes and upgrades.</p> | Information Technology Services | S + 2 years | Destroy | Operational |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------|--------------------------------------|-------------|--------------------|
| <p>Telecommunications Systems Records relating to the management, maintenance and use of telecommunications including landline and wireless mobile devices and equipment.</p> <p>Includes system documentation, configuration details and services provided</p> | Information Technology Services | E + 3 years E= life of system | Destroy | Operational |
| Meetings Management | | | | |
| <p>External Meetings: Associations/Organizations/Government Includes reports, newsletters, publications, conference and workshop information and proceedings from meetings between the school board and external organizations.</p> | Originating site | CY + 3 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-----------------------------------|--|-------------|--------------------|
| Internal Meetings: Administrative and Staff Includes records regarding staff meetings, student council and committees such as principals' council, advisory committees, Parent Involvement Committee, support staff meetings, as well as district and subject head meetings. Records include agendas, minutes, reports and resolutions. Excludes Board Minutes. | Originating site or Meeting Chair | CY + 3 years Note: committee reports may become part of Board meeting records | Destroy | |

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|--------------------------------|----------------|-----------------|-------------|--------------------|
| General Administrative | | | | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| | | | | |
|---|-----------------------------|---|---------|--|
| Staff Notebooks Notebooks maintained by individual staff that include notes related to meetings, phone calls and daily occurrences in HWDSB departments and schools. Includes school administrator notebooks. | Originating Site/Department | Current year + 1 year Exception: Notes related to incidents or matters of a serious nature (e.g., with a student, a staff member, another individual or related to a safety issue) must be retained in alignment with the retention of the related records. This includes notes that support decisions made, the resolution of the matter, an investigation or another process. | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> Note: When documenting incidents or matters of a serious nature, it is recommended to keep these notes separate from general day to day entries to more easily facilitate the longer retention required. |
|---|-----------------------------|---|---------|--|

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-----------------------------|-------------------------|-----------------|--|
| Administrative Services | | | | |
| Board Services Records relating to translation, audio visual services, printing services, mail/courier and delivery services. Requisitions and memos for services, confirmations and service logs/reports, correspondence, etc. | Financial Services | CY+ 3 years | Destroy | |
| Records & Archives Management | | | | |
| Archives Management Records related to archives management. | HWDSB Archives | S + 1 year | Archival Review | |
| Forms Management Includes forms history, creation, revision, and retirement date. | Originating Site/Department | S + 1 year | Destroy | |
| Records Disposition and Destruction Documentation regarding the disposition of Board/school records. Includes lists of destroyed records, forms authorizing records destruction and certificates of destruction received secure shredding service provider. Also includes records retention schedules. | Privacy Office | Life of Board + 5 years | Destroy | <u>CAN/CGSB-72.34-2017: Electronic Record as Documentary Evidence</u> s.6.4.6.2 |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Administration) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-----------------------------|------------------------|--------------------|--|
| Records Management Includes lists of records in storage, file lists, inventories of records and related correspondence. | Originating Site/Department | S + 1 | Destroy | <u>CAN/CGSB-72.34-2017: Electronic Record as Documentary Evidence</u> s.6.4.6.2 |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Communications & Public Relations

| Record Series (Communications & Public Relations) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|-----------------|-----------------|--|
| Event Management | | | | |
| Events Includes memos, notices, correspondence sent to parents and community, programs and all related materials pertinent to events sponsored by the board or by schools (e.g. parents' night, school opening ceremonies, reunions, etc.). | Communications & Community Engagement/Site Specific | CY + 4 years | Archival Review | |
| Media & Public Relations | | | | |
| Commendations, Awards & Recognition Includes commendations received from the general public and from families regarding various programs, student support, certificates of appreciation, awards and recognition of staff. | Communications & Community Engagement/Site Specific | CY + 1 year | Archival Review | PIB <i>Municipal Freedom of Information and Protection of Privacy Act</i> |
| Contact and Mailing Lists Includes all lists of individuals or organizations to whom Board and school communications are sent for information purposes. Includes telephone directories, principal's visitor book, emergency contact lists, etc. | Site Specific | S + 1 year | Destroy | PIB <i>Municipal Freedom of Information and Protection of Privacy Act</i> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Communications & Public Relations) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---|-----------------|-----------------|---|
| Media Relations and News Releases Includes records regarding Board relations with the media. Records include press releases and information releases. | Communications & Community Engagement | CY + 3 years | Archival Review | |
| News Reports Includes news reports from newspapers, magazines, websites and other publications regarding the board, school, staff, students and trustees. | Communications & Community Engagement | CY + 3 years | Archival Review | |
| Photographs/Recordings/Multimedia Includes class photos, yearbook photos, officials/trustees group photos, recordings and other media formats documenting school and Board activities and events. | Communications & Community Engagement/Site Specific | CY + 4 years | Archival Review | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> Note: photos and recordings of identifiable students or other individuals requires appropriate consent. |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Communications & Public Relations) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|-----------------|-----------------|--------------------|
| Public Relations Includes recorded information regarding the Board's relations with the public as well as recorded information relating to the production and distribution of information to the public, outside agencies, and schools, including on Board websites and social media channels. | Communications & Community Engagement | CY + 5 years | Destroy | |
| Publications Includes all publications and creative materials produced for the Board by the Communications Department | Communications & Community Engagement | S + 5 years | Archival Review | |
| Speeches and Presentations Includes speeches and presentations prepared for delivery by Board/school staff and elected officials. | Communications & Community Engagement/Site Specific | CY + 4 years | Archival Review | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Communications & Public Relations) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--|-----------------|-----------------|--|
| School Collections | | | | |
| Memorabilia Includes records regarding school, program, department, and/or board memorabilia, collectibles and other historical items which reflect the individual nature of the schools, programs and departments such as informal school histories, school logos and crests, songs, names, colours, equipment, reference material, etc. | Communications & Community Engagement /Site Specific | CY + 4 years | Archival Review | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

Facility Services

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------|---|-------------|--|
| Assets, Property Management & Maintenance | | | | |
| Building and Site Approvals Includes documentation such as site plan approvals, building permits, Life Safety Plan and municipal reports pertaining to the approval of building plans by the municipality, Fire Marshal's Office, Ministry of Education, Ministry of Health, and other government bodies. | Facility Services | E + 7 years E = disposal of facility | Destroy | <u>Education Act</u> <u>Fire Protection and Prevention Act</u> <u>Building Code Act</u> <u>Occupational Health and Safety Act</u> <u>Limitations Act</u> |
| Drawings and Specifications Includes technical specifications for a project or property, e.g., mechanical, electrical and structural. Includes building and fire code requirements and architect's instructions. Includes all drawings and plans of schools and offices, such as master drawings and floor plans, site plans, aerial plans, and plans for additions and alterations. | Facility Services | E + 7 years E = disposal of facility | Destroy | Vital <u>Occupational Health and Safety Act</u> <u>Fire Protection and Prevention Act</u> <u>Building Code Act</u> <u>Limitations Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------|--|-------------|---|
| Environment Assessments & Studies Includes information relating to soil, tree preservation and mitigation, geotechnical infrastructure expansion, water, air, and other environmental issues. | Facility Services | Life of Board + 5 years | Destroy | <u>Environmental Assessment Act</u> <u>Limitations Act</u> |
| Facilities Construction Projects Includes budgets, estimates, project plans and schedules, progress reports, project meeting minutes, certificates of clearance, project drawings and correspondence regarding the building of schools and other properties. For Capital Projects Financing see: Financial Planning - Capital Projects – Financing | Facility Services | E + 7 years E = completion of project | Destroy | <u>Occupational Health and Safety Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------|--|-------------|---|
| Facilities Improvement Projects Includes project records regarding the building improvements program and supporting documents specific to additions, renovations, and alterations to schools and buildings. Records include project drawings, project plans, meeting minutes, project updates, budgets, etc. For Final (As-Built) Drawings see: Assets, Property Management & Maintenance – Drawings and Specifications | Facility Services | E + 7 years E = completion of project | Destroy | <u>Education Act</u> <u>Occupational Health and Safety Act</u> <u>Technical Standards and Safety Act</u> <u>Fire Protection and Prevention Act</u> |
| Maintenance and Operations: Buildings / Physical Plant and Equipment / Grounds Includes records related to support the maintenance and operations of buildings, physical plant and equipment. Includes office equipment. Also includes maintenance requisitions, work orders, logs and reports showing action taken re: grounds keeping, snow clearance, and cleaning. | Facility Services | E + 7 years E = disposal of property | Destroy | <u>Occupational Health and Safety Act</u> <u>Technical Standards and Safety Act</u> <u>Fire Protection and Prevention Act</u> <u>Limitations Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|---|--------------------|--|
| Land Surveys Includes land survey information such as legal, property surveys, construction layout and control surveys, and field notes. | Facility Services | S | Archival Review | Note: Ensure land surveys are available at Land Registry Office before destruction |
| Permits/Facility Bookings Includes copies of permits issued by the board for the use of school property for purposes such as polling stations and community events. Also includes applications for permits. | Facility Services | E + 10 years E = when permit expires | Destroy | PIB <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Health, Safety & Security | | | | |
| Accessibility of Services and Information Records relating to the accessibility of services and provision of information to persons with disabilities. Includes records that identify, remove and prevent barriers for persons who work, learn or volunteer in and/or use services in Board facilities. | Human Resource Services | CY + 6 years | Destroy | <u>Accessibility for Ontarians with Disabilities Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|---|--------------------|--|
| Confined Spaces Includes records relating to the assessment of confined spaces and the written plan and procedures for the control of hazards in confined spaces. | Human Resource Services / Facility Services | E + 7 years E = disposal of property | Destroy | <u>Occupational Health and Safety Act</u> <u>Confined Spaces Regulation</u> (O. Reg. 632/05, Occupational Health and Safety Act) |
| Emergency Plans and Procedures Includes records regarding emergencies and related plans to support the board/school in case of fire or other emergencies. Records include emergency plans and procedures and business continuity plans. | Facility Services/ Health & Safety/ Communications/ Executive Council | S + 5 years | Destroy | <u>Education Act</u> <u>Fire Protection and Prevention Act</u> <u>Technical Standards and Safety Act</u> <u>Emergency Management and Civil Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------|---|-----------------|---|
| Hazardous, Biological, Chemical or Physical Agents Includes records regarding the monitoring of hazardous chemical and physical agents, and designated substances in accordance with the Occupational Health & Safety Act. Includes air quality reports. Excludes exposure records. | Facility Services | E + 7 years E = disposal of property | Destroy | <u>Occupational Health and Safety Act</u> <u>Workplace Hazardous Materials Information System (WHMIS) Regulation</u> (R. R. O. 1990, R. 860, <i>Occupational Health and Safety Act</i>) <u>Designated Substances Regulation</u> (O. Reg. 490/09 <i>Occupational Health and Safety Act</i>) <u>Designated Substance — Asbestos on Construction Projects and in Buildings and Repair Operations Regulation</u> (O. Reg. 278/05 <i>Occupational Health and Safety Act</i>) |
| Designated Substances & Hazardous Materials – Waste Management Includes records related to the management and disposal of chemical, biological or physical agents or substances. | Facility Services | E + 7 years E = disposal of property | Archival Review | <u>Occupational Health and Safety Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|---|-------------|--|
| Health and Safety Incident Reports Includes general records related to incidents that affect the health and safety of staff. For example, emergency response, school illness, infections, quarantines, etc. Records include reports, correspondence, summaries and information related to actions taken by staff. | Human Resource Services | E + 6 years E = No further appeal + 6 years for adults. Note: If student is under the age of 21, records must be kept until 21 st birthday. | Destroy | PIB <u>Occupational Health and Safety Act</u> <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Occupational Health & Safety Includes general recorded information regarding the occupational health and safety of staff and students. Joint Health & Safety Committee minutes, inspections, WHIMIS, etc. For Accident Reports see: Risk Management - Accident/Incident Claims and Reports For Claims/Litigations see: Risk Management - Legal Claims / Litigation | Human Resource Services / Facility Services | CY + 3 years | Destroy | <u>Occupational Health and Safety Act</u> <u>Workplace Hazardous Materials Information System (WHMIS) Regulations (O. Reg. R.R.O. 1990, R.860, Occupational Health and Safety Act)</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---|---|-------------|---|
| Site Security Administration Includes records regarding the security of office and school facilities and properties such as control of keys, trespassing, emergency telephone numbers/contacts, and police station locations. Also includes school and board office visitor books, visitor sign in sheets and contact logs, etc. Excludes video surveillance records. | Facility Services / Schools/ Executive Council | CY + 1 year | Destroy | PIB <i><u>Municipal Freedom of Information and Protection of Privacy Act</u></i> |
| Facility Access Control Records – Employees Records related to employee access cards issued for HWDSB buildings. | Facility Services | E + 1 year E= termination of employment | Destroy | PIB <i><u>Municipal Freedom of Information and Protection of Privacy Act</u></i> |
| Video Surveillance and Reports Includes reports and footage captured through the use of video surveillance in schools and buses. | Facility Services | 30 days If footage is viewed: CY + 1 year | Destroy | PIB <i><u>Municipal Freedom of Information and Protection of Privacy Act</u></i> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--|---|-------------|---|
| Inspections and Testing | | | | |
| Fire Protection Systems and Emergency Power Systems Includes records regarding the inspection and testing of emergency power systems and fire protection systems. | Facility Services | E + 7 years E = disposal of property | Destroy | <u>Fire Protection and Prevention Act</u> <u>Fire Code Regulation (O. Reg. 213/07, Fire Protection and Prevention Act)</u> |
| Health & Safety Inspection Reports | Human Resource Services, Health and Safety | CY + 6 years | Destroy | <u>Occupational Health and Safety Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---|---|-------------|---|
| <p>Logs and Inspection Reports: General Includes all documentation to support the inspection and testing of buildings, equipment, physical plant and property. Records include logs, inspection reports, year-end reports, equipment lists and locations.</p> <p>Includes elevator logs, sanding and salting logs, playground equipment inspection logs, chemical treatment logs, underground storage tank inspections, playground inspections, physical education equipment inspections, technical program equipment, etc.</p> <p>For Emergency Power Systems Inspections and Testing see: Inspections & Testing - Fire Protection Systems and Emergency Power Systems</p> <p>For Fire Protection Logs and Testing see: Inspections & Testing - Fire Protection Systems and Emergency Power Systems</p> | Facility Services / Human Resource Services | E + 7 years E = disposal of property | Destroy | <u>Occupational Health and Safety Act</u> <u>Fire Code Regulation (O. Reg. 213/07 Fire Protection and Prevention Act)</u> <u>Elevating Devices Regulation (O. Reg. 209/01 Technical Standards and Safety Act)</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Facility Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------|-----------------|-------------|---|
| Logs and Inspection Reports: Water Includes water flushing logs and water testing reports | Facility Services | CY + 15 years | Destroy | <u>Occupational Health and Safety Act</u> <u>Schools, Private Schools and Child Care Centres Regulation (O. Reg. 243/07 Safe Drinking Water Act)</u> |

Financial Services

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------|-----------------|-------------|--|
| Accounting Administration | | | | |
| Accounts Payable Includes records documenting funds payable by the Board, such as invoices, employee and trustee expenses, legal fees, vendor transaction listings, payment vouchers, cheque requisitions, utilities and phone bills, petty cash disbursements. | Financial Services | FY + 6 years | Destroy | PIB <u>Income Tax Act</u> <u>Revenue Canada</u> <u>Information Circular</u> <u>IC78-10R5 Book and</u> <u>Records</u> <u>Retention/Destruction</u> <u>Municipal Freedom of</u> <u>Information and</u> <u>Protection of Privacy</u> <u>Act</u> |
| Accounts Receivable Records relating to the accounting for money owed to schools and the board. Records include invoices, cash receipts, correspondence, cash lists and statements of account. | Financial Services | FY + 6 years | Destroy | Vital <u>Income Tax Act</u> <u>Revenue Canada</u> <u>Information Circular</u> <u>IC78-10R5 Book and</u> <u>Records</u> <u>Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------|-----------------|-------------|---|
| Banking Includes records regarding banking transactions and relationships with banks, bank statement, bank reconciliations, deposit records, cheque register listing. | Financial Services | FY + 6 years | Destroy | PIB <u>Employment Insurance Act</u> <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records Retention/Destruction</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Capital Revenue Includes records related to capital revenue from sale of property and rental income from leased premises and other sources. | Financial Services | FY + 6 years | Destroy | Vital <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------------------|-------------|--|
| Scholarship Funds, Bequests and Donations Records regarding the administering and setting up of scholarship funds and donations, including fund histories, correspondence and data sheets. Background information, copies of wills regarding the administration of the bequests and donations of monies and other materials to the Board. | Financial Services | Life of the Board + 5 years | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------|-------------|--|
| Grants & Subsidies Information and records relating to all grants and subsidies. | Financial Services | FY + 6 years | Destroy | <p><u>Education Act</u> <u>Income Tax Act</u> <u>Grants for Student Needs — Legislative</u> <u>Grants for the School Board Fiscal Year Regulation (Education Act)</u></p> <p>Note: O. Reg. name and number changes on a regular basis specific to school year.</p> <p><u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u></p> |
| Non-Board Funds Includes records regarding funds allocated to or raised by the school/parent council, student council or other student, parent or community groups consisting of account receivable and payable documents such as invoices and vouchers. | Financial Services | FY + 6 years | Destroy | <p><u>Income Tax Act</u></p> <p><u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|---|-----------------|--|
| Financial Planning | | | | |
| Budgets Includes departmental and board budgets, both capital and operating. Includes all working notes, budget formula calculations, current estimate highlights, and preliminary formula budget calculation sheet summaries and budgeted vs. actual reports. | Financial Services | FY + 6 years | Destroy | |
| Capital Projects Financing Includes records relating to the financing of capital projects. Includes quarterly reports, working papers, building monthly costs, capital payment vouchers, approvals, costing, capital expenditure forecasts and correspondence with architects and contractors. | Financial Services | E + 10 years E = Completion of Project | Archival Review | <u>Income Tax Act</u> <u>Revenue Canada Information Circular</u> <u>IC78-10R5 Book and Records</u> <u>Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------|-------------|--|
| Financial Reporting | | | | |
| Audits – Financial Includes supporting documentation regarding internal and external audits. For Audited Financial Statements see: Financial Reporting - Financial Statements (Audited) | Financial Services | FY + 6 years | Destroy | <u>Audit Committees Regulation (Education Act, O. Reg. 361/10)</u> <u>Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------------------|-------------|--|
| Enrolment & Financial Reporting Includes all counts, summaries and projecting documenting enrolments in the school system and statistical reports required by the Ministry of Education as part of the funding process for the preparation of educational statistics, e.g. OnSIS October and March school/board reports. Also includes school audits on enrolment and documentation determining a student's status. | Financial Services | FY + 6 years | Destroy | Vital <u>Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O. Reg. number and link change on a regular basis specific to school year |
| Financial Statements (Audited) Includes the balance sheet, income statement, statement of source and application of funds, and other audited financial statements. | Financial Services | Life of the Board + 5 years | Destroy | <u>Education Act</u> |
| Financial Working Papers Includes all drafts, calculations, grant calculations and other working paper associated with the development of financial statements for the Board. | Financial Services | FY + 6 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------|--|-------------|--|
| Inventory Control: Fixed Assets Records relating to the balance sheet, including fixed asset listings, depreciation details, asset transfer information, and details of extraordinary entries. | Financial Services | Life of Asset + 6 years | Destroy | Vital <u>Revenue Canada</u> <u>Information Circular</u> <u>IC78-10R5 Book and</u> <u>Records</u> <u>Retention/Destruction</u> |
| Inventory Control: Non-Fixed Assets Includes all records regarding inventories of board-owned equipment. Excludes hazardous materials inventories. | Financial Services | FY + 6 years | Destroy | |
| Investments & Debentures Includes records regarding the Board's investments, term deposits and promissory notes, records regarding the debentures issued, information on the initial issuance of the debenture and records of payments made to investors. | Financial Services | E + 6 years E=closure of account, redemption of issue | Destroy | <u>Revenue Canada</u> <u>Information Circular</u> <u>IC78-10R5 Book and</u> <u>Records</u> <u>Retention/Destruction</u> |
| Ledgers: General Includes all records in the books of original entry, whether maintained in book format or as an electronic report. | Financial Services | Life of Board + 5 years | Destroy | <u>Income Tax</u> <u>Regulations, Part LVIII</u> <u>Revenue Canada</u> <u>Information Circular</u> <u>IC78-10R5 Book and</u> <u>Records</u> <u>Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------|-------------|---|
| Ledgers: Subsidiary Ledgers, Registers and Journals Includes all subsidiary ledgers, registers and journals such as payment and receipt journals, journal vouchers, payroll registers, purchase order registers, and year-end adjustments. | Financial Services | FY + 6 years | Destroy | <u>Employment Insurance Act</u> <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u> |
| Taxation Includes records documenting taxation such as gas surtax reports, income tax returns and sales tax tables. Also includes Harmonized Sales Tax (HST), accounting and information on exemptions and refunds. | Financial Services | FY + 6 years | Destroy | <u>GST/HST Memoranda Series, Chapter 15: Books and Records</u> <u>Employment Insurance Act</u> <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|-----------------|-------------|---|
| Payroll | | | | |
| Payroll Includes all records of payments of salary, wages and deductions to employees. Includes payroll master cards, time sheets, direct deposit request forms, payroll update logs, holdbacks, and payroll deduction and billing reports. Also includes T4's, TD's, and ROE's. | Financial Services | CY + 6 years | Destroy | PIB <u>Employment Standards Act</u> <u>Employment Insurance Act</u> <u>Income Tax Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records Retention/Destruction</u> <u>Workplace Safety and Insurance Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------|---|-------------|--|
| Pension Contributions / Support Includes contribution cards detailing pension and benefits obligations due to retired employees under OMERS and other annuity or superannuation plans (TPP). Includes payroll records required to determine and verify pension payments. | Financial Services | E + 6 years E = until pension is paid out to all beneficiaries | Destroy | PIB <u>Pension Benefits Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records</u> <u>Retention/Destruction</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Procurement | | | | |
| Competitive Processes Includes records pertaining to the selection process of a vendor for goods and services such as office supplies, construction and grass cutting services. These records would include, but is not limited to, the competitive process document, addenda, specifications, supplier submissions, bonds, etc. Excludes the contract or agreement resulting from a competitive process. For Contracts and Agreements see: Contracts / Agreements Administration – Contracts & Agreements | Financial Services | FY + 6 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Financial Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------|-----------------|-------------|--------------------|
| Purchase Orders Includes purchase orders authorizing the procurement of goods and services. | Financial Services | FY + 6 years | Destroy | |

Governance and Legal

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--|--|-------------|--|
| Contracts / Agreements Administration | | | | |
| Contracts & Agreements Includes all records relating to documents that require the binding signature of the Board, including but not limited to, contracts, agreements, memorandums of understandings, etc. | Financial Services | E + 3 years E = contract terminated or superseded | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Limitations Act</u> |
| Board & Council Administration | | | | |
| Administrative Council(s) Includes agendas and minutes of all administrative councils. | Director's Office | CY + 3 years | Destroy | |
| Articles of Incorporation, By-Laws & Constitution Includes records related to the operation of the School Board as a legal entity. | Director's Office/ Trustee Services | Life of the Board + 5 years | Destroy | <u>Education Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--|-----------------------------|-------------|--|
| Board Agendas, Minutes and Reports Records relating to Board minutes, agendas and reports, including all backup material. | Director's Office/ Trustee Services | Life of the Board + 5 years | Destroy | PIB Vital <u>Education Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Income Tax Regulations, Part LVIII</u> |
| Standing & Trustee Special Committees Includes agendas and minutes of all Board committees with which staff, students and trustees are involved. | Director's Office/ Trustee Services | Life of the Board + 5 years | Destroy | PIB Vital <u>Education Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Income Tax Regulations, Part LVIII</u> |
| Trustees' Register Includes a register of the names and contact information of trustees, including the dates on which each became or ceased to be a trustee. | Director's Office / Human Resource Services | S + 3 years | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------|-----------------------------|-------------|--|
| Policies, Procedures, Directives | | | | |
| Government Guidelines/Directives Includes correspondence, guidelines and information provided by government ministries. | Executive Council | S | Destroy | <u>Education Act</u> <u>School Councils and Parent Involvement Committees Regulation</u> <u>(Education Act, O. Reg. 612/00)</u> <u>Board Borrowing, Investing and Other Financial Matters Regulation</u> <u>(Education Act, O. Reg. 41/10)</u> <u>Occupational Health and Safety Act</u> |
| Internal Guidelines, Policies, Procedures, Memoranda and Directives Includes policy and procedure manuals, guidelines and directives, and all other policies and procedures established by the Board, departments and schools. Note: An issuance date and sunset date should be included on policies, procedures, guidelines and directives | Director's Office | Life of the Board + 5 years | Destroy | <u>Education Act</u> <u>Ryan's Law (Ensuring Asthma Friendly Schools)</u> <u>Sabrina's Law</u> <u>Anti-Racism Act</u> <u>Occupational Health and Safety Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--------------------|---|-------------|--|
| Risk Management | | | | |
| Accident/Incident Claims and Reports Includes reports related to student, employee, volunteer, and visitor accidents that occur on board property, schools and the administrative offices or on school trips. Records include claims, communications, investigations, reports, administration of first aid and action taken as a result of the accident. Includes reports to insurer. Excludes WSIB exposure claims | Financial Services | E + 3 years E = resolution of claim or report No further appeal +3 years for adults Note: If student is under the age of 21, records must be kept until 21 st birthday. | Destroy | PIB <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------------------|--|-------------|--|
| Appeals & Hearings Includes records of hearings conducted with regard to issues that affect the school/board. Records include correspondence, reports, discover findings, hearing proceedings and final decisions. Examples: SEAC, IPRC, suspensions and expulsions, boundary reviews. | Director's Office / Executive Council | E + 5 years for adults E = resolution of appeal or hearing and no further appeal + 5 years for adults. Note: If the student is under the age of 21, records must be kept until 21 st birthday. | Destroy | PIB <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| General Complaints Includes records related to general complaints about the board, schools and related activities. Includes correspondence, findings and records regarding the resolution of the complaint. Excludes: Whistleblower complaints, Human Rights complaints, Workplace Harassment complaints and any other complaints specific to students, staff members or other individuals. | School/ Department Specific | E + 4 years E = resolution of complaint | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------|--|-------------|--|
| Human Rights Complaints, Allegations and Investigations Includes Human Rights allegations and complaints received by the HWDSB Human Rights Office and records related to the investigation of the allegations and complaints. | Human Rights Office | E + 7 years E = Investigation into complaint/allegations Closed | Destroy | PIB <u>Ontario Human Rights Code</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Whistleblower Complaints Whistleblower case file including complaint, any supporting documentation received, communications with the Whistleblower and the outcome of the complaint. Investigation file is maintained by the Investigator and is retained per the process under which the complaint was investigated. | Privacy Office | E + 7 years E = Whistleblower file closed | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|---|-------------|--|
| Insurance Policies Includes records relating to policies to cover loss or damage to property or premises and to cover staff and general public against injury or death resulting from accidents on school/board premises, or otherwise occurring during employment. Documentation regarding the annual review of insurance policies, certificates, appraisals, and related correspondence. For Accident Reports see: Risk Management - Accident/Incident Claims and Reports | Financial Services | Life of Board + 5 years | Destroy | <u>Limitations Act</u> |
| Property Damage / Trespassing Reports Includes reports and general correspondence regarding property damage, theft, or loss. Also includes vandalism reports, copies of repair invoices, monthly and annual summaries. | Originating Department/ Financial Services | FY + 6 years Note: If the student is under the age of 21, records must be kept until 21 st birthday. | Destroy | PIB <u>Provincial Offences Act</u> <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---|--|-----------------|---|
| <p>Legal Claims / Litigation Includes all liability claims and litigation against or entered into by the board and schools. Records include reports, correspondence, investigations, etc.</p> <p>For Accident Reports see: Risk Management - Accident/Incident Claims and Reports</p> <p>For WSIB/STD/LTD Claims see: Health & Wellness – Disability Management</p> | Originating Department / Financial Services | <p>E + 3 years for adults</p> <p>E = resolution of claim/litigation matter and no pending appeal.</p> <p>Note: If student is under the age of 21, records must be kept until 21st birthday.</p> | Destroy | <p>PIB</p> <p><u>Limitations Act</u></p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |
| <p>Legal Opinions / Precedents Records include case law, correspondence, reports, and findings/opinions provided to requestor.</p> | Originating Department/ Financial Services | CY + 10 years | Archival Review | |
| Real Property Management | | | | |
| <p>Deeds & Titles Includes original deeds to any board owned property.</p> | Facility Services | <p>E + 7 years</p> <p>E = disposal of property</p> | Archival Review | <u>Land Transfer Tax Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Governance and Legal) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--|--|-----------------|--|
| Property Acquisition & Sales Also includes plans, correspondence, reports and backup documentation relating to the acquisition or sale of lands. Includes land purchase agreements, development agreements, property appraisals, valuations and quotes concerning land owned by the board or under consideration for purchase. | Facility Services / Financial Services | E + 10 years E = disposal of property | Archival Review | <u>Land Transfer Tax Act</u> <u>Real Property Limitations Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Human Resources Management

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|-----------------|-----------------|--------------------|
| Compensation and Benefits Administration | | | | |
| Benefit Plans Includes records regarding benefits offered to employees such as group insurance, dental plans, wellness and Employee Assistance Program (EAP). Includes brochures, rates, quotes, correspondence, explanatory documents, benefit rate changes and premium adjustments. Excludes benefit records of individual employees. | Human Resource Services | S + 1 year | Archival Review | |
| Compensation Planning Includes records regarding the planning and scheduling of salaries, such as job evaluations, job classification systems, salary surveys and schedules, salary increments, service pay and substitution pay. For Pay Equity Planning see: Compensation and Benefits Administration – Pay Equity | Human Resource Services | S + 10 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|-------------------------|-------------|--|
| Pay Equity Includes records regarding the establishment and implementation of the board's pay equity plan. Records include background information, consultant information, questionnaires (PDQs), interview documentation and job evaluation plans. | Human Resource Services | Life of Board + 5 years | Destroy | <u>Ontario Human Rights Code</u> |
| Pension Includes information and records relating to pension information, such as: Annual Information Returns, general information on OMERS and other annuities, Ontario Teachers' Pension Plan, Teachers' Pension Plan Certification, pension reconciliation balances. Excludes individual employee information and pension contributions/support. | Human Resource Services | Life of Board + 5 years | Destroy | <u>Pension Benefits Act</u> <u>Revenue Canada Information Circular IC78-10R5 Book and Records Retention/Destruction</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|--|-------------|--|
| Health & Wellness | | | | |
| Disability Management Long term disability, short and long-term illnesses, WSIB, attendance management, workplace accommodations. Includes medical records, doctor's notes, correspondence and health reports related to an employee's medical situation. Includes information and records relating to employee's illness or injuries that will assist the employee's return to the workplace (WSIB). | Human Resource Services | <p>E + 10 years</p> <p>E = termination or retirement</p> <p>Exposure Records:</p> <p>Event + 40 years</p> <p>Event = date first record created in personal exposure record.</p> <p>And:</p> <p>Event + 20 years</p> <p>Event = date last record added to personal exposure record.</p> <p>Note: Do not store in the employee HR file. Stored in Parklane</p> | Destroy | <p>PIB</p> <p><u>Occupational Health and Safety Act</u></p> <p><u>Workplace Safety and Insurance Act</u></p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> <p><u>Personal Health Information Protection Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|--|-------------|---|
| Employee Incident/Accident Reports Includes reports of accident/injury to board employees under the Workplace Safety and Insurance Act and designated substances exposure records under the Occupational Health and Safety Act. Records may include: doctor's notes, follow-up notes and related correspondence, and short-term and long-term disability claims for both teaching and support staff and record of administration of first aid. | Human Resource Services | Event + 40 years Event = date first record created in personal exposure record And: Event + 20 years Event = date last record added to personal exposure record. | Destroy | PIB <u>Occupational Health and Safety Act</u> <u>Workplace Safety and Insurance Act</u> <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|---|-------------|--|
| Medical Records: Hazardous Materials Exposure Records of staff exposure to asbestos and other hazardous materials. | Human Resource Services | <p>Event + 40 years</p> <p>Event = date first record created in person exposure record</p> <p>And:</p> <p>Event + 20 years</p> <p>Event = date last record added to personal exposure record.</p> | Destroy | <p>PIB</p> <p><u>Workplace Safety and Insurance Act</u></p> <p><u>Designated Substances Regulation</u>, (Occupational Health and Safety Act, O. Reg. 490/09)</p> <p><u>Control of Exposure to Biological or Chemical Agents Regulation</u>, (Occupational Health and Safety Act, RRO 1990, R. 833)</p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> <p><u>Personal Health Information Protection Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|---|-------------|--|
| Labour/Employee Relations | | | | |
| Equity Issues Includes information and records relating to all equity issues, includes questionnaires, plans and strategies. For Pay Equity see: Compensation and Benefits Administration – Pay Equity For Incident Records see: Labour/Employee Relation - Harassment Complaints, Allegations and Investigations (Respect in the Workplace) | Human Resource Services | CY + 10 years | Destroy | <u>Ontario Human Rights Code</u> |
| Grievances Includes records regarding grievances filed by employees such as evaluation reports, notifications, correspondence with union concerning grievance initiators and legal opinions. Includes arbitrations. | Human Resource Services | E + 15 years E = Resolution or Withdrawal of Grievance | Destroy | PIB <u>Ontario Human Rights Code</u> <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|---|-------------|---|
| Harassment Complaints, Allegations and Investigations (Respect in the Workplace) Includes records of incidents involving staff and students, incident reports, investigations, and correspondence regarding these issues. | Human Resource Services | E + 7 years E = Investigation /Harassment/Allegations Closed | Destroy | PIB <u>Ontario Human Rights Code</u> <u>Occupational Health and Safety Act</u> <u>Limitations Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Labour Certification Includes original documents concerning the certification of labour unions. | Human Resource Services | Life of Board + 5 years | Destroy | |
| Labour Relations & Negotiations, Union/Non-Union Includes records related to collective bargaining, e.g., final offers, memoranda of settlement, mediations, arbitrations and data used for the preparation of bargaining. | Human Resource Services | Life of Board + 5 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|-------------------------|-----------------|--------------------|
| Union Collective Agreements/Non-Union Terms & Conditions Administration Includes records regarding the actual administration and interpretation of the board's collective agreements, including, seniority lists, implementation plans, sub plans, and related records. Excludes Grievances, Collective Agreements, Certification Documents and Negotiations. | Human Resource Services | Life of Board + 5 years | Destroy | |
| Organizational Planning | | | | |
| Human Resources Planning Includes records of succession planning and retirement programs such as the Early Retirement Incentive Program, staff turnover, staff mobility and related records. | Human Resource Services | S + 3 years | Archival review | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|---|-----------------|--|
| Staffing Includes all report listings concerning staff, e.g., staff allocation, staff transfers, staff directories, seniority lists, retirement lists and lists of occasional staff. | Human Resource Services | E + 1 year E = when new lists are received | Archival review | PIB Ministry of Education, <u>Policy/Program</u> <u>Memorandum No. 165</u> <u>School Board Teacher Hiring Practices</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Temporary Resourcing Includes information and records relating to temporary employees of the Board, such as: requests for temporary assistance; student or Practice Teachers' records. | Human Resource Services | E + 1 year E = conclusion of placement | Destroy | PIB Ministry of Education, <u>Policy/Program</u> <u>Memorandum No. 165</u> <u>School Board Teacher Hiring Practices</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Organization Structure Includes records relating to reporting relationships, organization structure, organization analysis, etc. | Director's Office | S + 1 year | Archival review | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|--|-------------|---|
| Recruiting & Selection | | | | |
| Recruitment Includes records regarding the recruitment of staff, job postings, applications, resumes, applicant evaluations and post-interview notes. Successful applicants are moved to the Employee File. | Human Resource Services | E + 3 years E = removal of the posting | Destroy | PIB <u>Ontario's Education Equity Action Plan</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Staff Management | | | | |
| Attendance – Employee Includes records regarding employee attendance, absences (leaves, sabbaticals, special leaves, teacher exchanges, deferred salary) and vacations. | Human Resource Services | E + 7 years E = termination or retirement | Destroy | PIB <u>Employment Standards Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|---|-------------|--|
| Criminal Background Checks Includes records listing any criminal code convictions that have not been pardoned for all existing and new employees, service providers and volunteers that come into direct contact with students on a regular basis. | Human Resource Services | E + 10 years E = Termination of employment/volunteer service | Destroy | PIB <u>Collection of Personal Information Regulation</u> , (<i>Education Act</i> , O. Reg. 521/01) <u>Police Record Checks Reform Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Criminal Offence Declarations Annual offence declarations, signed by the employee/service provider, which lists all criminal code convictions registered since the date of the last offence declaration. | Human Resource Services | E + 10 years E = Termination of employment/volunteer service | Destroy | PIB <u>Collection of Personal Information Regulation</u> , (<i>Education Act</i> , O. Reg. 521/01) <u>Police Record Checks Reform Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|--|-------------|---|
| Employee Performance Appraisals Includes records of job performance appraisals on employees according to established timelines, criteria through legislation, and board procedures. | Human Resource Services | <p>E + 10 years</p> <p>E = date of appraisal</p> <p>Employee appraisal records are to be housed in Human Resources' Information Tracking System (IPPS)</p> | Destroy | <p>PIB</p> <p><u>Education Act</u></p> <p><u>Teacher Performance Appraisal Regulation</u>, (<i>Education Act</i>, O. Reg. 99/02)</p> <p><u>Principal and Vice-Principal Performance Appraisal Regulation</u>, (<i>Education Act</i>, O. Reg. 234/10)</p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|---|-------------|---|
| Employee File and Records Includes records regarding the employment history of individual Board employees. Includes initial resume and application, internal applications, benefit enrollment forms, salary calculation forms, change advice, employee master record cards, certification of level placement, required pre-employment training records (AODA & health and safety awareness in 4 steps), probationary contract, key tasks, and employee verification forms. Excludes WSIB/LTD claim records, criminal background checks, employee health records, accident reports and payroll records. | Human Resource Services | E + 10 years E = termination or retirement | Destroy | PIB <u>Employment Standards Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Human Resource Management) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|--|-----------------|--------------------|
| Training & Skills Development | | | | |
| Professional Development Programs and Materials Includes records relating to professional development courses, workshops, sessions, etc. offered through Human Resource Services and other departments at HWDSB. | Human Resource Services | CY + 3 years Records of Board PD sessions, conferences, workshops, etc. are housed in the PD module of Apply to Education at HWDSB. | Archival review | |

Planning and Research

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Planning and Research) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--|-----------------|-----------------|---|
| Research Planning & Design | | | | |
| Enrolment Includes all counts and projections, including the Official Projected Enrolment, documenting enrolments in the school system. | Facility Services / Financial Services | CY+ 10 years | Archival review | <p><u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O.Reg. number changes on a regular basis specific to school year</p> |
| Strategic Planning Includes all strategic and operational documents, mandates, as well as related correspondence, background and reference information. Management Plans, School Improvement Planning, Business Budget Planning, Long Term Master Plan and Integrated System Plan. | Director's Office | S + 10 years | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Planning and Research) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------------|-------------------------|-------------|---|
| School Boundaries Includes school boundaries for purposes of enrolment and facility use, including boundary descriptions, school attendance areas, and maps. | Facility Services | Life of Board + 5 years | Destroy | <u>Education Act</u> |
| Student Demographics Records related to the student census. Includes aggregate reports profiling the characteristics of the student population, such as age, grade promotion, country of birth and other trend data. | Research & Analytics | CY + 10 years | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> Note: Identifiers are kept separate from data in secure storage offline. |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Planning and Research) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-----------------------|---|--------------------|--|
| Municipal Planning and Development Includes records regarding planning and development issues within the Municipality that may have implications on enrolments within the school system. General information and documentation regarding other municipal planning and development issues such as sewage and waste management, property acreages, subdivision plans, official plan amendments, zoning changes, Ontario Population Reports and traffic studies. | Facility Services | E + 10 years E = development completed | Destroy | |
| Accommodations Planning Includes records regarding the allocation of classroom and work space assignment to all staff and students. | Facility Services | CY + 10 years | Destroy | <u>Operation of Schools - General Regulation</u> , Education Act, O. Reg. 298 |
| Research & Outcomes Reporting | | | | |
| Research Includes surveys, questionnaires and research dealing with a variety of topics such as community and parent research, student research, staff research, curriculum and program research, student research, and external research from other institutions and graduate students. | Research & Analytics | CY + 7 years | Archival review | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Planning and Research) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--|-----------------|-------------|---|
| Ministry Reports Includes statistical reports, September school reports, June Board reports or other reports required by or sent to the Ministry of Education as part of the funding or process for preparation of educational statistics. | Director's Office / Financial Services / Information Technology Services | CY + 10 years | Destroy | <p><u>Education Act</u></p> <p><i>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</i></p> <p>Note: O.Reg. number and link change on a regular basis specific to school year</p> <p><u>Operation of Schools - General Regulation</u>, (Education Act, O. Reg. 298)</p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Program Design and Development

| Record Series (Program Design and Development) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------|------------------------------------|-----------------|--|
| Curriculum Design & Planning | | | | |
| Program/Curriculum Guidelines Includes records regarding the planning and implementation of curriculum programs, program outlines, program reviews, curriculum guidelines and directives specifying curriculum and areas of study or courses of study that shall be taught in schools. Also includes procedures for the selection, purchase, and distribution of school textbooks, learning materials, reference and library books and lists of these materials and books. | Learning Services | S + 3 years S = last update | Destroy | <u>Education Act</u> <u>Operation of Schools - General Regulation</u> , (Education Act, O. Reg. 298) |
| Courses of Study/Outlines Includes outlines of available programs including courses of study. | Learning Services | S + 3 years S = last update | Archival review | <u>Education Act</u> <u>Operation of Schools - General Regulation</u> , (Education Act, O. Reg. 298) |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Program Design and Development) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------|--|-----------------|--|
| Curriculum Projects, Programs, Planning, Proposals, and Review Includes recorded information regarding proposals for new curriculum programs, either system-wide or at the school level; comparisons with programs in other school boards, provinces, and countries; the planning of the overall curriculum or specific programs, such as meeting notes, objectives, strategy reports and teaching strategies; program review reports and other evaluations of specific programs in the curriculum; and proposals, correspondence and monitoring of projects for the writing of special curriculum materials. Includes EQAO test results for schools/board. | Learning Services | S + 3 years S = last Ministry review or audit | Archival review | <u>Education Act</u> <u>Operation of Schools - General Regulation</u> , (Education Act, O. Reg. 298) |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Program Design and Development) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|--|--------------------------------|-------------|--|
| Program Design & Planning | | | | |
| Program Development and Design Includes proposals, correspondence and curriculum development materials including writing projects, teaching units, lesson plans, blank examinations, testing ideas, songs, games, music sheets and other learning materials. | Learning Services | S + 3 years S = last update | Destroy | <u>Education Act</u> <u>Operation of Schools - General Regulation</u> , (Education Act, O. Reg. 298) |
| Programs: Continuing Education Includes objectives, lesson units, principal reports, program reviews, teaching materials and related records used in continuing education programs for credit and also heritage awareness, second language, multicultural and seniors' programs. | Learning Services/Continuing Education | S + 3 years S = last update | Destroy | <u>Education Act</u> <u>Operation of Schools - General Regulation</u> , (Education Act, O. Reg. 298) |
| Programs and Services: Community Records related to programs and services to the community through school and board facilities. Programs include general interest courses and services to the community. Generally, refers to programs that are not part of day-school. | Learning Services | S + 3 years S = last update | Destroy | |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Student Services

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|----------------|---|---|---|
| Student Admission/Registration/Enrolment | | | | |
| Student Registration and Verification Forms Registration forms, student verification forms, applications for school entry. May also include Release Form for use of student personal information. | Schools | E + 5 years E = retirement/transfer of student | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O. Reg. number and link change on a regular basis specific to school year <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-------------------------|---|---|--|
| International Students – Admission, Enrolment and Registration Registration forms, applications for school entry, assessment information, admissions letters, visa information, guardian information (if available), immigration information and health information. | International Education | E + 5 years E = retirement/transfer of student | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O.Reg. number and link change on a regular basis specific to school year <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|-----------------|---|---|
| Transfers, Admittances and Retirement Includes reports and forms recording the transfer, exit, room changes, promotions or admittance of students from schools. Also includes signed and dated forms authorizing student admissions, transfers or retirements. | Schools | CY + 2 years | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O. Reg. number and link change on a regular basis specific to school year <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|-----------------|---|---|
| Attendance & Enrolment Registers: Student Includes registers and reports concerning the enrolment/attendance of students, recordings of daily attendance, and daily absence reports, intent to be absent forms and supporting absence documentation. Also includes class registers for non-school system programs such as continuing education, driver education and heritage language programs. | Schools | CY + 2 years | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Calculation of Average Daily Enrolment for the School Board Fiscal Year Regulation, Education Act</u> Note: O. Reg. number and link change on a regular basis specific to school year <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------|--|-------------|--|
| Student Support & Wellness | | | | |
| Attendance Counselling Records for students who are referred for counselling on attendance problems. Includes referrals, consents, meeting notes and a summary. | Social Work / Schools | E + 7 years E = student's 18 th birthday | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> Ontario College of Social Workers and Social Service Workers <u>Code of Ethics and Standards of Practice Handbook – Second Edition</u> |
| Career Counselling/Guidance Services Includes information concerning career counselling and guidance services. Also includes records of individual students who are referred for career assessment and guidance such as results of vocational interest tests and exercises, counselling records, interview notes, etc. | Guidance Services/Schools | CY + 1 year | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|---------------------------|---|-------------|---|
| Guidance Materials Includes brochures, calendars, description sheets and catalogues relating to career opportunities, external school programs, post-secondary education, private schools, and scholarships to support students. | Guidance Services/Schools | S | Destroy | |
| Student Portfolio – Individual Pathways Plan (IPP) Records related to the IPP planning tool that students use as they proceed through school towards their initial post-secondary destination. | Schools | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|------------------------------|--|-------------|--|
| Child and Youth Counsellors/Workers Records, correspondence and information relating to individual students who are referred for counselling/behaviour management, such as referral forms, consent forms, notes. | Specialized Services/Schools | Retain until 31 st birthday | Destroy | <p>PIB</p> <p><u>College of Psychologists of Ontario – Standards of Professional Practice 2017</u></p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> <p><u>Personal Health Information Protection Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---------------------|--|-------------|--|
| Student Welfare Information and records relating to correspondence and confidential reports regarding individual students where there is suspicion of child abuse, neglect or family violence. Student referral/action form for suspicion of child abuse to child protection agency. | Social Work/Schools | Reports made by school: E + 1 year E = date of report Reports/referrals made by Social Work team: Retain until 31 st birthday | Destroy | PIB <u>Child, Youth and Family Services Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> Note: This documentation is not considered part of the Ontario Student Record (OSR). For school records, these records should be kept in the Principal's office or other secure area. |
| Medical Home Instruction Home instruction is a short-term intervention for students who are unable to attend school for medical or behavioural reasons. Excludes timesheets for teachers. | Schools | E + 1 year E = end of home instruction period | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|----------------|--|-------------|--|
| Social Work Includes records of individual students who are referred for social work services, such as referral forms, statistical forms, confidential notes from interviews and correspondence with third parties. | Social Work | Retain until 31 st birthday | Destroy | PIB Ontario College of Social Workers and Social Service Workers <i><u>Code of Ethics and Standards of Practice Handbook – Second Edition</u></i> <i><u>Municipal Freedom of Information and Protection of Privacy Act</u></i> <i><u>Personal Health Information Protection Act</u></i> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|------------------------------|---|-------------|--|
| Student Assessments & Progress | | | | |
| Individual Education Plans (IEP) The plan describing the special education program and/or services required by a particular student, the learning expectations (modified from or alternative to the expectations given in the curriculum policy document for the appropriate grade and subject or course), and/or any accommodations and special education services needed to assist the student in achieving their learning expectations. A signed hard copy of the IEP is retained in the student's OSR until superseded. | Specialized Services/Schools | S + 1 year When student retires /transfers, current plan is kept E + 5 years E = retirement/transfer of student | Destroy | PIB <u>Education Act</u> O. Reg. 181/98 <u>Identification and Placement of Exceptional Pupils Regulation, Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|------------------------------|--|-------------|--|
| IPRC Process Documents Professional consultation records of individual students who are referred for placement in Specialized Services classes and programs. | Specialized Services/Schools | E + 5 years E = retirement /transfer of student | Destroy | PIB <u>O. Reg. 181/98 Identification and Placement of Exceptional Pupils Regulation, Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Student Exams/Province-Wide Tests Includes records regarding student exams and/or province-wide testing. Records include correspondence, exam day schedules, exam day attendance and originals of completed student examinations. Also includes OSSLC (Literacy Course) student portfolio. | Schools | E + 5 years E = retirement/transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|------------------------------|---|-------------|---|
| Gifted Screening Records related to a student's placement in the gifted program | Specialized Services/Schools | Retain until 31 st birthday | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Newcomer Student Assessments Includes assessments of individual newcomer students to determine their language background, immigration status, educational history, test results and recommendations for level placement and subjects. | Welcome Centre | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|------------------------------|--|-------------|--|
| Specialized Services Student Files Records of individual students referred to Specialized Services. Includes referral, consent forms, assessments, reports, notes, correspondence, test protocols and other testing materials. | Specialized Services | Retain until 31 st birthday | Destroy | PIB <u>Education Act</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Speech & Language Student Services Includes records of individual students who are referred to speech and language services, such as assessments, referral forms, test results, recommendations and programming suggestions. | Specialized Services/Schools | Retain until 31 st birthday | Destroy | PIB <u>Registration Regulation</u> under the <u>Audiology and Speech-Language Pathology Act, 1991, S.O. 1991, c. 19 O. Reg 164/15 Part II, s. 32(6)</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|----------------------|--|-------------|---|
| Board Certified Behaviour Analyst (BCBA) Records Includes case files, professional records and information relating to individual students who are referred for BCBA support, such as consultation and clinical notes, testing protocols, consents, referral forms and correspondence. | Specialized Services | Retain until 31 st birthday | Destroy | PIB <u>College of Psychologists of Ontario – Standards of Professional Practice 2017</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Occupational Therapist Records Includes case files, assessments, professional records and information relating to individual students who are referred for Occupational Therapist support, such as consultation and clinical notes, testing protocols, consents, referral forms and correspondence. | Specialized Services | Retain until 31 st birthday | Destroy | PIB <u>College of Occupational Therapists of Ontario – Standard for Record Keeping, 2023</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|------------------------|--|-------------|---|
| Kinesiologist Records Includes case files, assessments, professional records and information relating to individual students who are referred for Kinesiologist support, such as consultation and clinical notes, testing protocols, consents, referral forms and correspondence. | Specialized Services | Retain until 31 st birthday | Destroy | PIB <u>College of Kinesiologists of Ontario – Practice Standard – Record Keeping, 2022</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Psychological Services Records Includes case files, professional records and information relating to individual students who are referred for psychological assessments, such as consultation and clinical notes, testing protocols, consents, referral forms and correspondence. May include third party reports. | Psychological Services | Retain until 31 st birthday | Destroy | PIB <u>College of Psychologists of Ontario – Standards of Professional Practice 2017</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|------------------------------|-----------------|-------------|--|
| SEA - Special Equipment Allowance Records PPA (per pupil amount) and Claims Based Funding equipment requests which include assessments and/or recommendations by paraprofessionals as part of the application. | Specialized Services/Schools | FY + 6 | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |
| Student Health Includes medical and health information regarding students required for the care and treatment of students in the school setting. Includes pediculosis, medical emergency plans, administration of medication plans and other health related materials. | Schools | S + 1 year | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> <u>Personal Health Information Protection Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|---|-------------|--|
| Student Records Administration | | | | |
| <p>Ontario Student Record (OSR) – Active Includes all content included in the OSR according to the Ministry of Education OSR Guidelines, board processes, and at the discretion of the principal.</p> <p>The following components of the OSR will be retained for 5 years after a student retires from the school:</p> <ul style="list-style-type: none"> • Report cards • Documentation file, where applicable • Record of accumulated instruction in French/Indigenous language as a second language • Additional information that is identified by the school board as appropriate for retention. <p>For OSR components requiring 55-year post-retirement retention see:</p> <p>Student Records Administration – Ontario Student Record – Inactive</p> | Schools | <p>E + 5 years</p> <p>E = retirement /transfer of student from Ontario school</p> | Destroy | <p>PIB</p> <p><u>Education Act</u></p> <p><u>Ontario Student Record (OSR) Guideline</u></p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------|---|-------------|---|
| Ontario Student Record (OSR) – Inactive Transcript or elementary final student report card and elementary record of instruction in French/Indigenous language as a second language, if applicable. Inactive records will be retained in accordance with board processes. | Student Records | E + 55 years E = retirement / transfer of student from Ontario school | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Office Index Card Includes all Office Index Cards containing personal information, as well as retirement/transfer information on individual students, which is available for immediate access and as OSR backup information. | Schools/Student Records | E + 55 years E = at retirement/transfer of student Final Office Index Card for each school attended is retained for 55 years. | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-----------------------------|--|---|---|
| OSR Transfer Requests Requests received from other schools or boards for an Ontario Student Record. | Schools | CY + 2 years | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Co-operative Education Student Records Includes records of individual students participating in cooperative education work assignments, such as copies of Work Education Agreements, introduction cards for employer interviews, training plans and applications for programs. | Learning Services / Program | E + 5 years E = retirement /transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|--|-------------|---|
| Community Involvement Activities Form (40 hours) Document to support the completion of the required secondary school community service hours completed by students. | Schools | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Continuing Education Student Records Includes mature student appraisals, marks and other student-centered records for continuing education courses. Includes Certificate of Program Completion and Prior Learning Assessment (PLA) | Schools | E + 55 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|----------------|-----------------|---|--|
| Notice of Intent for Home Schooling Signed form indicating a student will be withdrawn to be home-schooled. | Schools | CY + 2 years | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|-----------------|---|--|
| Timetables Includes course timetables for students, as well as course selection sheets for each semester. Also includes signed and dated forms authorizing students to add or withdraw from courses. Excludes school course calendars. | Schools | CY + 2 years | Destroy Subject to Ministry of Education Audit | PIB <u>Education Act</u> <u>Ministry of Education Enrolment Management Register Instructions for Elementary and Secondary Schools</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|--------------------------------------|---|-------------|---|
| Supervised Alternative Learning (SAL) Records Records of individual students accepted into SAL. Includes SAL Plans, Letters of Intent and records related to SAL Closures. Also includes the Ministry mandated annual SAL report to Executive Council. | System Alternative Education/Schools | Student Records: E + 5 years E = retirement / transfer of student SAL-specific documentation is filed in the OSR Annual SAL report: CY + 6 years | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Supervised Alternative Learning and Other Excusals from Attendance at School Regulation</u> (Education Act, O. Reg. 374/10) <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Student Marks Records relating to student marks (electronic and/or manual registers) and related promotion meetings data, such as: course marks analysis, credits received, student course completion information (including special education) and marks received. | Schools | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---------------------------|---|-------------|---|
| OYAP Participant Application Form Form for co-op students whose placement is within an apprenticeship trade. | Learning Services/Program | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Experiential Learning Student Records Includes records of individual students participating in experiential learning work assignments, such as introduction cards, work portfolio, evaluation forms for employer interviews, training plans, applications for programs, student evaluation forms and SHSM programs. Excludes work agreements for experiential learning programs. | Schools | E + 5 years E = retirement / transfer of student | Destroy | PIB <u>Education Act</u> <u>Ontario Student Record (OSR) Guideline</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|---|-------------|--|
| Student Discipline | | | | |
| Expulsions Safe School Incident Reporting Form Part 1, related documentation, letters of expulsion for current stage in process and any other correspondence, if relevant to the expulsion of a student. Filed in the OSR. | Schools | CY + 1 year E + 5 years if expulsion is a result of a violent incident as defined in PPM 120 E = date of expulsion report | Destroy | PIB Policy/Program Memorandum 145 - <u>Progressive Discipline & Promoting Positive Student Behaviour</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|---------------------------------------|--|-------------|---|
| Expulsion and 20-day Pending Files Complete documentation file regarding the expulsion of a student and 20-day pending incidents. | Associate Director, Learning Services | E + 7 years E = retirement of student | Destroy | PIB <u>Policy/Program Memorandum 145 - Progressive Discipline & Promoting Positive Student Behaviour</u> <u>Policy/Program Memorandum 120 Reporting Violent Incidents to the Ministry of Education</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-----------------------|---|--------------------|--|
| <p>Suspensions Safe School Incident Reporting Form Part 1, related documentation and any correspondence, if relevant to the suspension of a student. Filed in the OSR.</p> | Schools | <p>CY + 1 year</p> <p>E + 3 years if the suspension is a result of a violent incident as defined in PPM 120.</p> <p>E = date of suspension report</p> | Destroy | <p>PIB</p> <p>Policy/Program Memorandum 145 - <i>Progressive Discipline & Promoting Positive Student Behaviour</i></p> <p>Policy/Program Memorandum 120 <i>Reporting Violent Incidents to the Ministry of Education</i></p> <p><i>Municipal Freedom of Information and Protection of Privacy Act</i></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|-----------------------|---|--------------------|---|
| Incidents Not Resulting in a Suspension or Expulsion Safe School Incident Reporting Form Part 1, related documentation, and any correspondence. Filed in the OSR. | Schools | E + 1 year if a violent incident as defined in PPM 120. E = date of incident report If not a violent incident, no retention required. At principal's discretion, log note may be created. | Destroy | PIB Policy/Program Memorandum 145 - <u>Progressive Discipline & Promoting Positive Student Behaviour</u> Policy/Program Memorandum 120 <u>Reporting Violent Incidents to the Ministry of Education</u> <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------------|--|-------------|---|
| Threat Assessment Process Documentation Includes Violent Threat Risk Assessment (VTRA), follow-up intervention plan (filed with Safe Schools) and case conference form (filed in OSR). | Social Work /Schools | <p>VTRA: E + 7 years E = student's 18th birthday</p> <p>Intervention Plans and Case Conference forms:</p> <p>CY + 1 year</p> <p>May be retained longer at principal's discretion.</p> | Destroy | <p>PIB</p> <p><u>Education Act</u></p> <p>Ontario College of Social Workers and Social Service Workers <u>Code of Ethics and Standards of Practice Handbook – Second Edition</u></p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |
| Intervention Plans Includes Behaviour Support Plans (BSP) and Safe Intervention Plans (SIP) for students. | Schools | CY + 1 year | Destroy | <p>PIB</p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |
| Police Contact Logs Logs of school contact with police. | Schools | <p>CY + 1 year</p> <p>Logs are retained until the end of June the following school year</p> | Destroy | <p>PIB</p> <p><u>Municipal Freedom of Information and Protection of Privacy Act</u></p> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-------------------------------------|-----------------|---|---|
| Student Activities & Programs | | | | |
| Nutrition Records relating to nutrition including milk programs, breakfast programs and lunch programs. Includes lists of students participating in the programs. | Schools | CY + 1 year | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Transportation: Student Bus Services Includes school-based records concerning transportation/busing for the transportation of students to and from schools, field trips and special programs. Records include bus schedules, requests for transportation, bus routes, boundaries and student lists. | Transportation Services/ Schools | CY + 1 year | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| School Course Calendars Includes outlines of available programs and courses of study. | Schools | CY + 2 years | Archival review Subject to Ministry of Education Audit | <u>Education Act</u> <u>Enrolment register instructions / ontario.ca</u> <u>Enrolment Management Register Instructions for Elementary and Secondary Schools</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|-----------------------|---|--------------------|--|
| Student Exchanges Includes correspondence, plans, schedules and reports relating to the student(s) involved in the exchange. | Schools | CY + 2 years | Destroy | PIB <i>Municipal Freedom of Information and Protection of Privacy Act</i> |
| Student Extra-Curricular/Co-Curricular Activities Records and information that pertain to student activities that are part of school life such as field trips, school dances, extra-curricular activities, student exchanges, competitions, and related correspondence, plans and schedules. Includes requests and consent forms for school field trips, concerts, festivals, track meets, tournaments, facility tours, art or essay contests and science fairs. | Schools | General information: CY + 1 year Individual student records: E + 5 years E = retirement/transfer of student | Destroy | PIB <i>Limitations Act</i> <i>Municipal Freedom of Information and Protection of Privacy Act</i> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|---|----------------|--|-----------------|--|
| Scholarships, Bursaries & Awards – Non-Monetary Records regarding names of awards and information on awards, such as engraving, selections criteria, candidate nominations and recommendations, names of candidates, and related records that document the selection process of awards and scholarships. Also includes Ontario Scholar lists. | Schools | CY + 1 year | Archival review | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |
| Volunteer Programs Information and records of volunteer programs. Includes after school programs, volunteer activities in schools, signed application forms of volunteers and other information pertaining to volunteers. | Schools | S + 1 year program records Volunteer records E + 1 year E = termination or resignation of volunteer Note: Volunteer records and criminal background screening should be updated annually. | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

| Record Series (Student Services) | Accountability | Total Retention | Disposition | Citations/Comments |
|--|----------------|-----------------|-------------|--|
| Extended Day Administration Current year information which includes program planning and participant information such as attendance, demographics, emergency contact information, confirmation of extended day funding, extended day binder report, extended day binders and vacation tracker. | Schools | CY + 1 year | Destroy | PIB <u>Municipal Freedom of Information and Protection of Privacy Act</u> |

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

Retention Schedule Terms

Archival Review

Refers to reviewing the records series before destruction to determine if the records have historical significance that would merit a transfer to the HWDSB Educational Archives.

CY (Current School Year)

Refers to September 1st to August 31st.

FY (Fiscal Year)

Refers to September 1st to August 31st.

Destroy

The record is destroyed (shredded, deleted/expunged) once the retention period has been met.

S (Superseded)

Refers to the replacement of a record once it has been updated or revised. The new record supersedes the previous version. If the superseded record contains personal information, MFIPPA requires that we retain it for 1 year after last use.

E (Event)

The trigger for disposition. The event is what needs to occur to start the retention period.

PIB (Personal Information Bank)

Refers to records that contain personal and identifiable information. This information is protected under the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA).

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

APPENDIX B: Records Destruction Process

1. Confirm that the records identified for destruction have met the required retention period as set out in the HWDSB Records Retention Schedule and that they are not subject to any existing Legal Hold.
2. Complete the Records Destruction Authorization Form ([Appendix C](#)) with the details of the records eligible for destruction.
3. Submit the completed form to the Record Owner (Senior Manager or School Administrator) for approval and sign-off.
4. Scan a copy of the signed Records Destruction Authorization Form to the Privacy and Information Management Officer at privacy@hwdsb.on.ca
5. The Privacy and Information Management Officer will review and if requirements are met, will advise the sender to proceed with the destruction process as follows:
 - for onsite records, dispose of the records in the secure shredding bin at your location.
 - for larger volumes of onsite records, contact the Board's document storage and shredding provider to attend your location for onsite destruction.
 - if the records are stored offsite with our service provider, coordinate with the service provider to pull the boxes authorized for destruction and have them securely shredded.
 - If the boxes at offsite storage need to be reviewed to confirm contents, a room is available onsite at the service provider's storage facility. If this is required, please contact the service provider directly to inquire about availability and to reserve use of the space.
 - For electronic records, please see the note below.
6. Request the certificate(s) of destruction from the service provider and forward, along with the signed Records Destruction Authorization Form(s), to the Privacy and Information Management Officer for long-term retention.

Note: Electronic Records

The retention of electronic records and data residing in HWDSB platforms and applications may be centrally managed, either through a manual or scheduled annual deletion/destruction process, coordinated by the system administrator, and with the authorization of the Record Owner and confirmation from the Privacy and Information Management Officer that requirements are met.

PROCEDURE FOR POLICY 1.6

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

For platforms and applications that are not managed centrally, staff will be provided with specific instructions on how to delete any records that have reached their retention, or for transitory records, are no longer needed.

Record Owners are expected to review these records on an annual basis and manage the records in accordance with the HWDSB Records Retention Schedule and Records Destruction Process. A confirmation of destruction shall be forwarded to the Privacy and Information Management Officer.



PROCEDURE FOR POLICY 1.6

APPENDIX C: Records Destruction Authorization Form

I confirm that the above records are eligible for destruction.

Authorized by:

Date:

Signature:

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

APPENDIX D: Digitization of Physical Records

Digitization projects are often undertaken for one of the following reasons:

- Reduce the costs associated with storage.
- Minimize the resources required to manage the records.
- Reduce the time required to locate or retrieve the records.
- Increase efficiency and improve access, search and retrieval of the records.
- Preserve long-term or fragile records by providing access to a digital copy.
- Provide access to records via a digital platform or website.

With digitization projects, staff need to consider which approach is most appropriate for the scope and outcome of the project.

1. Convenience Digitization is the digitization of the physical record for convenience purposes only to facilitate sharing and access while maintaining the physical record as the Official Record.
2. Official Record Digitization is the process of digitizing the physical record for the purpose of replacing it with the digitized record as the official, authoritative record.

Official Record Digitization requires that a consistent process is followed, with quality assurance checks embedded in the process, to ensure that the digitized records are sufficiently authentic, trustworthy and reliable to serve as the official HWDSB records.

When physical records are converted to digital form, HWDSB must be able to demonstrate that the digitized records are a reliable substitute for the original document. Digitized records must meet the criteria of the Canadian General Standards Board, Standard 72.34-2017, Electronic Records as Documentary Evidence to ensure that they are able to serve as the authentic records, and hold up as evidence in a court of law, if required.

In order to meet the national standard, staff must follow the digitization process steps set out below. The steps do not apply to Convenience Digitization however, it is recommended that the records meet the same quality standards.

Digitization Process Steps

1. Consultation

The first step in the process requires a review of the HWDSB Records Retention Schedule record series relevant to the proposed project, in consultation with the Privacy and Information Management Officer.

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

The review will establish:

- If any of the physical records must be retained in their original format due to their historical significance or other value;
- The appropriate disposition of the physical records after digitization; and,
- How the physical records and digitized records will be managed before they are disposed of, transferred to long-term storage or transferred to the HWDSB Archives.

The following should also be evaluated when considering a digitization project:

- Assess the value of digital conversion (e.g. frequency of access, searchability, access required by multiple teams or sites, etc.).
- Assess if digitization can be completed in house (e.g. small volume of records, digitized on an ongoing basis), or if outsourcing required (e.g. large, backfile conversion project or technology and resources not available in house).
- If outsourcing is considered, staff must follow the established Purchasing process, which includes a privacy and security review, when selecting service providers. Staff must also consult with Information Technology Services to ensure that the file conversion will be compatible with HWDSB systems and that the scanned files will meet the security standards for ingestion into HWDSB applications.
- Official records must be readable and accessible for the duration of their lifecycle, as defined in the HWDSB Records Retention Schedule. This means that the records must be migrated through any hardware and software changes to ensure their continued readability and accessibility.

A Digitization Plan ([Appendix E](#)) should be completed and approved before proceeding with a digitization project.

2. Preparation

The physical records should be prepared and organized before starting the digitization process. This will contribute to a more efficient process and it will increase the quality of the digitized records.

Sort records:

- a. disassemble attached or stapled documents
- b. fix torn documents or use plastic sleeves to protect damaged documents
- c. make photocopies to improve quality or to resize documents

When deciding on the best method of capture for digitizing, the following physical record qualities should be taken into consideration:

- paper density or type of paper (e.g. card stock, parchment, printer paper, etc.)
- size (e.g. a large scanner may be needed for oversized documents)
- condition (e.g. stapled, brittle, creased, rolled, etc.)

RECORDS AND INFORMATION MANAGEMENT PROCEDURE

- orientation (e.g. requires rotation of documents)
- unique finishes (e.g. transparent, semi-transparent or opaque)
- colour (e.g. quality of colour capture, file size, etc.)
- binding (e.g. staples, paper clips, fasteners, spiral binding, etc.)
- post-it notes (should be separated from documents and scanned as the next page immediately after the document it was attached to)
- embossing (e.g. seals)

Note: Some documents, such as notarized documents, have embossed, imprinted or raised seals. A specialized scanner and/or camera that allows angled or one-directional lighting to capture the embossed information may be required for the digitization process. This type of capture requires advice and assistance.

3. Digitization

Scanners and/or cameras are used to digitize records. Scanner settings should be set before starting the process. Quality control checks should take place throughout the process and after digitization is completed. This should be tracked in the Digitization Log ([Appendix F](#)).

4. Quality Control

Quality control is an important step to ensure that the digitized record mirrors the physical record. Errors can occur during digitization due to the poor quality of the physical records, scanner mis-feeds or technical malfunctions. Staff should be aware of potential errors and address them as they occur, which may require re-digitizing affected records, and repeating the process until no errors are detected. If digitizing large volumes of records, ensure that regular quality assurance batch checks occur throughout the digitization process and that the process is documented.

5) Quality Assurance Review

Once the records have been digitized, a review is required to confirm that the records are a reliable substitute for the hard copy records. Departments/Schools should consult with the Privacy and Information Management Officer at this stage. The review must take place before the physical records can be authorized for destruction.

References and Consultation

Standard 72.34-2017, Electronic Records as Documentary Evidence, Canadian General Standards Board
Generally Accepted Recordkeeping Principles, ARMA International
Information Management Standard – Creating and Managing Digitized Records, City of Toronto

APPENDIX E: Digitization Plan

Department/School: _____

| Project Summary | |
|---|--|
| Description of records to be digitized: | |
| File format (e.g. PDF): | |
| Storage location for digitized records: | |
| Volume of physical records to be digitized: | |
| Business reason for digitization: | |
| Will this be routine/ongoing digitization or is this a backfile conversion project? | |
| Digitization Details (to be completed in consultation with the Privacy and Information Management Officer) | |
| Metadata elements: | |
| Access/Privacy concerns: | |
| Do the records contain personal information? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| If yes, what types of personal information do the records contain? (e.g. names, birthdates, OENs, etc.) | |
| Is outsourcing being considered for the digitization project? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| If yes, what is the reasoning for outsourcing? (e.g. volume, resources) | |

Approval

Digitization Plans must be approved by department Senior Manager/School Administrator and Associate Director/Superintendent before proceeding. Any associated costs must be approved through the appropriate Budget and Purchasing approval process.

Approved by: _____

APPENDIX F: Digitization Log

Department/School: _____

Date: _____

Description of Digitized Records: _____

| Quality Control Element | Comments |
|--|------------------------|
| Number of pages of the digitized records | Number of pages: _____ |
| Number of pages of the digitized records matches the number of pages of the physical records. Note: Be aware of blank pages in the physical record and/or digitized record that may count as a page. | Yes _____ No _____ |
| Images are in the correct order | Yes _____ No _____ |
| Page alignment is correct e.g. physical record orientation (portrait/landscape), rotation, image skew, proportions/distortion, and cropping | Yes _____ No _____ |
| Documents are complete and the detail is accurate (e.g. text clarity, sufficient capture of detail) | Yes _____ No _____ |
| Colour is accurately captured in the digitized record | Yes _____ No _____ |
| If compressing a digitized record, is the quality sufficient? | Yes _____ No _____ |
| Scanner generated speckle present? (e.g. speckle not on the physical record) | Yes _____ No _____ |
| Digitized record file information/naming convention is complete and accurate | Yes _____ No _____ |
| Overall digitized record quality: e.g. lack of sharpness, inconsistent sharpness, banding, evenness of tonal values and illumination. | _____ |

Records digitized by: _____

Quality Assurance check completed by: _____