



# ADMINISTRATIVE PROCEDURES

**SUBJECT: RECORDS AND INFORMATION MANAGEMENT – RECORDS  
RETENTION SCHEDULE**

## **Preamble**

The purpose of the Records and Information Management – Records Retention Schedule is to support the management of records and information in a disciplined, coordinated and strategic manner.

The procedures apply to all records within the custody or under the control of the school board and addresses all aspects of school board operations and all records made or received in the day-to-day business operations of the school or school board, regardless of the medium in which those records are stored and maintained.

1. Supervisors will make staff aware of the document, Records Management Guidelines: Records Retention Schedule and review it regularly with staff.
2. In accordance with the Records Management Guidelines: Records Retention Schedule, staff will annually identify records for:
  - Destruction;
  - Electronic imaging; and
  - Transfer to the Records Centre for long-term storage due to their research, legal or archival value.
3. On an annual basis, the Records Department will send a memo to appropriate staff, which outlines the dates and procedures to follow for electronic imaging of records.
4. The Records Department will contact the responsible department in writing, to authorize the destruction of records from the Records Centre when their retention requirements have been met.

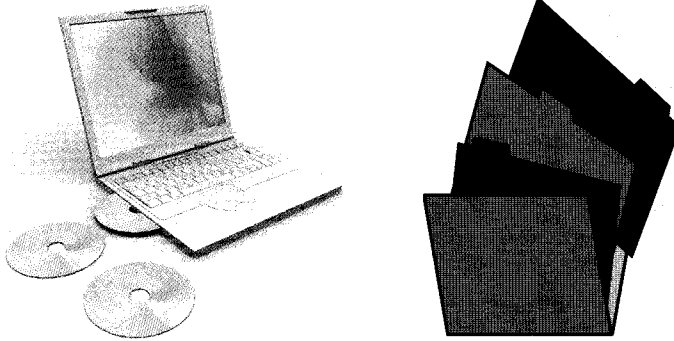
Implementation Date: October 9, 2002  
Revised: December 2, 2009

Reference: Education Act  
Policy and Regulations



**Lambton Kent**  
**District School Board**  
*Student Achievement* ✓ *Community Success*

# **RECORDS MANAGEMENT GUIDELINES**



## **RECORDS RETENTION SCHEDULE**

Implemented: September 2002

Revised: December 2004  
December 2009

**Lambton Kent District School Board**  
**RECORDS MANAGEMENT GUIDELINES**

**Introduction**

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

Within this resource is the Records Retention Schedule which provides a guideline for retention of the Board's records according to their administrative, fiscal, legal, and research/archival value. Additional records may be stored at the discretion of the supervisor.

**Definition**

Records Management is the systematic control of records from the time of creation until final disposition (destruction or archival retention).

**Value of Records Management**

Records and information are important corporate assets and vital components of the Board's decision-making process. In order to obtain their full value, it is essential that the Board's records and information be properly managed. Record keeping practices must also comply with access and privacy legislation.

**Retention Requirements**

The objective of the Records Management Program is to maintain the minimum necessary records in an efficient and organized manner.

**Person/Department Responsibility**

In general, the school/department that created, or authorized creation, of a record is responsible for its retention and disposal. Even if the record is stored on a computer system maintained by the IT Department (custodian), the creator (owner) remains responsible for retention and disposal.

To avoid overloading the storage space on a server, the custodian (IT Department) may eliminate records, after advising users and allowing a reasonable time for them to make other arrangements for storage.

**Copies of Records**

There should be only one complete "official retention copy" of each record (for access and privacy purposes). Backup copies are allowed when there is sufficient need for authenticity of original record and purposes of access.

**Review and disposal**

Records should be reviewed regularly for disposal in accordance with the Records Retention Schedule. This includes electronic records and other viable media.

Records should be destroyed by shredding or by means of rendering the information illegible, especially personal information or records of a sensitive nature.

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

**Electronic Imaging Program**

In general, records with a remaining retention of 10 years or greater are eligible to be microfilmed/imaged, such as OSR's, employee files, permanent financial records, Board/Committee agendas and minutes.

An outside microfilm/imaging services bureau or document conversion company may be utilized for these purposes.

**Inactive/Archival Records**

Records that have become inactive and have four years or more remaining in their retention may be transferred to the Records Centre.

Local records that have been identified as having research/archival value following their inactive status in accordance with the Records Retention Schedule may also be transferred to the Records Centre.

The Records Management Clerk should be contacted to arrange for the transfer of these records.

**Donation of Historical Documents**

To donate historical documents and artifacts to an approved archives, local museum or historical society, the Records Management Clerk should be contacted for details regarding appropriate legal agreements.

**REFERENCE**

Education Act – section 171(1)(38)  
Policy, Regulations and Administrative Procedures

**Records Retention Schedule**

The Records Retention Schedule provides suggested retention limits and guidelines for:

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

The Records Retention Schedule is divided into seven columns as follows:

**Function** – This column identifies a functional classification methodology where records and information are classified in accordance with functions and activities they support within the organization.

**Record Type** – This column identifies the model scheme based on functional classgroups of identical or related records that are normally used and filed as a unit.

**Responsible Department** – This column indicates the department responsible for keeping the “official” copy of the record.

**Active Retention** – This column indicates the total length of time the record is to be kept. It is equivalent to the record’s “active life”. This can be based on fiscal or calendar years. (For financial records maintained after September, 1998, it will be based on the school year.) This column also indicates the maximum total retention period for these records in departments other than the responsible department (i.e. copies).

**Retention Codes** – These retention codes are listed at the bottom of each page. They are as follows:

- C** - “Current Year”. All retention limits indicated begin after the current year, i.e. the storage time in the active office area.
- E** - “Event”. Retention begins once an event or action occurs, i.e. the creation of the record, retirement of a student
- S** - “Superseded”. A file with this retention limit is transferred or destroyed when it has been replaced with a new/revised version of the current record.
- P** - “Permanent”. A file with this retention limit is never destroyed – could be stored in the Records Centre.
- T** - “Terminated”. A file with this retention limit is transferred or destroyed when the subject to which it pertains has ended in some way. For example, an employee file is terminated when the employee leaves the organization.
- \*L** - “Legislated”. A file with a retention period defined by law.

**Inactive Retention** – This column indicates the total length of time the record is to be kept in storage or at the Board’s Records Centre.

**Total Retention** – This column indicates the total length of time the record is to be kept (i.e. the sum of Active and Inactive).

**Remarks** – This column includes suggested retentions for administrative records as well as legal requirements (noted with an \*) for the retention of certain records.

**Records Retention Schedule (cont'd)**

The record function included in each Record Type is broadly defined as follows:

**ADM - ADMINISTRATION**

Includes records regarding routine administrative and office service functions.

**COM/PUB – COMMUNICATIONS/PUBLIC RELATIONS**

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

**CUR - CURRICULUM PROGRAMS**

Includes records regarding the planning and implementation of curriculum programs, program reviews and curriculum guidelines. Also includes co-curricular information such as field trips and educational tours.

**EDU - EDUCATION IN THE COMMUNITY/CONTINUING EDUCATION**

Includes records regarding programs centered on preparing the student for involvement in the community, such as career information, multicultural services, heritage programs, co-operative education, and educational services to the general community such as seniors programs and continuing education.

**FAC - BUILDING MAINTENANCE/OPERATIONS/DEVELOPMENT**

Includes records regarding the development, maintenance, construction and operation of Board offices, properties, grounds, and building. Also includes vehicle and occupational health and safety matters.

**FIN - FINANCE**

Includes records regarding financial management, budgeting, accounting, purchasing, and all matters concerning the allocation and control of funds to departments and schools. Also includes records on tuition and transportation costs.

**HUM - HUMAN RESOURCES**

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

**IT – INFORMATION & TECHNOLOGY**

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

**LEG - LEGAL**

Includes records regarding legal matters as well as contracts and agreements, insurance and real estate matters. Also includes Federal and Provincial legislation affecting or of interest to the Board.

**Records Retention Schedule (cont'd)****MAN/POL - MANAGEMENT/POLICY**

Includes records regarding the establishment of policy, regulations and administrative procedures as well as the activities of the Board of Trustees. Also includes appointments to boards and committees.

**RESEA/PLAN - RESEARCH/PLANNING**

Includes records regarding strategic/program planning and research, as well as enrolments and Ministry reports.

**STU - STUDENT RECORDS**

Includes records regarding the delivery of services to individual students as well as records required under the Guideline for the Ontario Student Record.

**NOTES:**

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

Most electronic/voice mail and telephone messages are considered short-term records and should be disposed of as soon as their purpose has been served.

2. This schedule **excludes** all reference, resource and library material such as books, articles and external publications, which are not official records of the Board.

It also excludes duplicate records and temporary working papers such as rough notes or informal drafts.

Function	Record Type	Responsible Department	Active Retention	Inactive Retention	Total Retention	Remarks
ADM	<b>Associations/Organizations</b> Includes reports, newsletters, correspondence, minutes, agendas, notices and reports regarding organizations such as OASBO, OPSBA, School Advisory Councils, Block Parents, etc.	Originating	C + 1	1	C + 2	Administrative/Archival
ADM	<b>Audio/Visual Services</b> Includes collection titles, delivery centre listings, overdue item listings, requests & bookings & other records concerning the preparation & distribution of audio/visual materials.	Media Centre	S	-	S	Administrative
ADM	<b>Consultants</b> Includes records relating to the selection, appointment & monitoring of external consultants such as engineers or architects. Includes correspondence, proposals, resumes & company profiles.	Originating	C + 1	-	2	Administrative
ADM	<b>Correspondence – General</b> Includes records regarding general administrative matters such as approval to distribute materials to schools, invitations received for school/community events such as charitable organizations, memos & correspondence from other school boards.	Originating	C + 1	-	2	Administrative
ADM	<b>Forms (Blank)</b> Includes blank copies of forms, kept on file for administrative convenience.	Central Office/ Schools	S + 1	-	S + 1	Administrative
ADM	<b>Fundraising</b> Includes records of school fundraising events such as hot dog day, bake & craft sales, cheese & chocolate bar Sales & Book Fairs. Records would include information on activities & people involved.	Schools	C + 1 (Correspondence only – 7 years for financial records)*	- - 7 years for financial records)	2	Administrative/Legal * Income Tax Act



ADM: Administrative  
 COM/PUB: Communications / Public Relations  
 CUR: Curriculum Programs  
 EDU: Education in the Community/Continuing Education  
 FAC: Building Maintenance/Operations/Development  
 FIN: Finance  
 HUM: Human Resources  
 IT -- Information & Technology  
 LEG: Legal  
 MAN/POL: Management / Policy  
 RESEA/ PLAN: Research/ Planning  
 STU: Student Records

Function	Record Type	Responsible Department	Active Retention	Inactive Retention	Total Retention	Remarks
ADM	<b>Library Services</b> Includes records related to board/School library holdings & their operations, such as library requests, lists of periodical and book holdings, circulation lists, recommendations for additions to library collections, inter-library loan requests & related documents.	Library Services/ Schools	S + 1	-	S + 1	Administrative *Municipal FOI Act
ADM	<b>Office &amp; School Equipment</b> Includes records regarding the design & features of office/school equipment & furniture such as copiers, facsimile machines, microfiche reader/printers, overhead projectors, VCR/ television units, tape recorders, etc. Specific records include service and maintenance records, trouble logs and warranties. Also includes donated items.	Originating	T (T=disposal of equipment)	2	T + 2	Administrative
ADM	<b>Records Destruction Notices</b> Documentation relating to which records have been destroyed in the normal course of business. Includes lists of destroyed records and forms authorizing the destruction of records.	Records/ Originating	P	-	P	Administrative/Legal* *Municipal FOI Act
ADM	<b>Records Management &amp; Listings &amp; Reports</b> Includes information regarding the management of records, regardless of medium. Records include Classification Scheme, Legal Citation Table, file lists, Lists of records in storage, records management reports & related correspondence.	Records/ Originating	S + 1 (S=when new reports are received)	-	S + 1	Administrative/Legal Archival

C=Current Year; E=Events; S=Superseded; P=Permanent; T=Terminated; \*=Legislated

Function	Record Type	Responsible Department	Active Retention	Inactive Retention	Total Retention	Remarks
ADM	<b>Requests for Information</b> Includes requests and tracking sheets for access to student/ employee record information. Also includes requests for access to records under Freedom of Information legislation.	Central Office/ Schools / HR	E + 2 (E=final resolution of request or appeal if applicable)	-	E + 2	Administrative/Legal* *Municipal FOI Act
ADM	<b>Service Requisitions &amp; Reports: Internal</b> Includes records relating to translation, audio visual services, duplicating/printing services & mail/courier & delivery services. Records include requisitions & memos for services, confirmations & service logs/reports, correspondence, reports, etc.	Originating	C + 1	-	C + 1	Administrative
ADM	<b>Staff Meetings/Committees</b> <b>External:</b> Includes records of external records of external committees & Councils on which board & school staff members participate as members. Records include agendas, reports, resolutions & any documentation which reflects obligations of the board.	Originating	E + 1 (E=the date the board became a member of the committee)	1	E + 2	Administrative
ADM	<b>Staff Meetings/Committees</b> <b>Internal:</b> Includes records regarding staff meetings, student council, & committees such as Principals' Council, Secretaries' meetings, as well as district & subject head meetings. Records include agendas, minutes, reports, & resolutions. Excludes governance committees. (e.g., Admin. Council, Exec. Council etc)	Originating	C + 1	3	C + 4	Administrative
ADM	<b>Vendors/Suppliers/Caterers</b> Includes information about vendors, contractors & suppliers & their goods and services. Records include catalogues, price lists & correspondence. Excludes agreements & purchasing documents, etc.	Business/ Originating	S (S=when new documentation is received from suppliers)	-	S + 1	Administrative