RECORDS INFORMATION MANAGEMENT

Legal References:	*Education Act* *Municipal Freedom of Information and Protection of Privacy Act* *Personal Health Information Protection Act* *Personal Information Protection and Electronic Documents Act*
Related References:	*Administrative Procedure 1100 – Privacy Protection and Access to Information* *Administrative Procedure 1110 – Records and Information Management* *WRDSB Records Retention Schedule*
Effective Date:	*December 9, 2019*
Revisions:	
Reviewed:	

1. Preamble

The Waterloo Region District School Board is committed to maintaining an authentic and reliable record of Board actions, transactions and decisions through a coordinated and integrated approach to records and information management.

Information is a corporate asset, and the records of the Waterloo Region District School Board are important sources of administrative, fiscal, legal, evidential and historical information. They are vital to the organization in its current and future operations, for the purposes of accountability, and for an awareness and understanding of its history. These assets are valuable as evidence of Board functions and activities.

Board information and records are the property of the Waterloo Region District School Board. Staff members do not retain a personal or proprietary interest in them. The willful destruction, removal or private use of Board records and information is against Board policy.

2. Guiding Principles

The Records Information Management procedure is established in accordance with the following principles:

Principle 1 – Accessibility
Information is readily available and accessible for as long as it is required.
1. Information to support evidence of communications, actions, and decisions is routinely recorded and stored.
2. Information is accessible to staff who require it in the performance of their duties and are authorized to access it.
3. Information is shared across the organization and with social agencies in accordance with operational needs and statutory provisions.
4. Information is managed throughout its life cycle regardless of format.
5. Rules are established for the organization, storage, retrieval, and destruction of records.
6. Plans and practices to actively make records available to the public are in place, and records are available to the public by request, subject to the statutory requirements.

Principle 2 – Accountability and Stewardship

Accountability for managing information in the custody and control of the organization is clearly defined, communicated and monitored.

1. Accountability for creating a record of business decisions and transactions and for maintaining corporate memory is clearly established and monitored.
2. Roles and responsibilities for staff are articulated and understood for all management of information activities.
3. Core competencies relating to managing information are identified and training is provided.
4. Performance in managing information is managed and measured.

Principle 3 – Risk Management

Risks to information are managed and practices and processes are in place to protect information assets.

1. Risks to records management are identified and managed.
2. Practices are in place to protect confidential, sensitive, and personal information from unauthorized collection, use, disclosure, or destruction.
3. All records are managed to meet the rules of evidence and legal discovery.
4. Contractual arrangements include provisions for the protection and appropriate use of records to mitigate risks.
5. Records are managed in order to support business continuity and recovery in the event of disaster.
6. Records are managed to protect the privacy of individuals and confidentiality of sensitive information..

Principle 4 – Usability and Quality Control

Records management meets the needs of staff and stakeholders. Records management is timely, accurate, reliable, and relevant, has integrity, and is easy to use.

1. Processes are in place to ensure that records management is accurate, timely, reliable, and easy to use.
2. Records management is planned and managed.
3. Records are managed appropriately throughout the entire life cycle of the record - creation, capture, and collection; organization; storage, access, and use; and disclosure and disposition (destruction or permanent retention).
4. Plans are in place to leverage the value of records management by combining it with records management from other internal or external sources, in accordance with statutory provisions, to improve programs and services.
5. Processes and technology supports are in place to ensure appropriate access to records and tracking of who has modified or accessed confidential records.

Principle 5 – Planning and Coordination

Coordinated planning for records management is linked to organizational goals, objectives, and financial planning.

1. Records management practices are included in all program planning.
2. Records management is coordinated across the organization—schools and departments.
3. Records management is planned to support continuous service and disaster recovery.
4. Records management is integrated into succession plans to ensure the capture and maintenance of corporate history.

Principle 6 – Integration

Records management is integrated with program planning and other business processes.

1. Records management practices are a component of program and project management.
2. Records management is integrated across the organization (schools and departments) to support organizational objectives.

3. Responsibility

3.1 It is the responsibility of the Director of Education to administer this policy.

3.2 It is the responsibility of the Freedom of Information, Privacy and Records Information Management Officer to implement this policy and any administrative procedures and practices developed in support of compliance.

3.3 This policy applies to all records and information within the custody and control of the Board related to all aspects of Board operations regardless of the medium in which those records and information are stored or maintained.

3.4 All employees are responsible for records and information created and maintained and must be aware of this policy and its requirements and ensure ongoing compliance.

3.5 Each department within the Board must support the Records Information Management program and policy by ensuring that policies and procedures are applied and must:

3.5.1 manage all records and information regardless of format (paper, electronic, audio, videotape, etc.) according to applicable Federal, Provincial, and Municipal legislation and Board policies and procedures

3.5.2 manage and file records and information according to the Board's Records Management Schedule

3.5.3 ensure that appropriate access and security procedures are in place to protect all records, as appropriate

3.5.4 apply the records retention and disposal schedules to all records and information

3.5.5 ensure that all third party contractors or agents who receive or collect personal information on behalf of the Board are aware of, and comply with this policy.

4. Records as Resources

4.1 The Waterloo Region District School Board will create, use, manage and destroy or preserve its records in accordance with statutory and organizational requirements, in order to maintain an authentic and reliable record of its actions, transactions and decisions.

4.2 Systematic records management is fundamental to organizational efficiency. It ensures that the right information is:
- captured, stored, retrieved and destroyed or preserved according to need;
- utilized to meet current and future needs, and to support change;
- accessible to those who need to make use of it.

4.3 Records of the business of the organization can be in many formats, including: paper, video, audio, microfilm, electronic (includes email, digital media, websites, electronic document management systems, etc.)

4.4 The Waterloo Region District School Board is committed to ensuring that electronic records stored in digital repositories (e.g. network drives, cloud storage, electronic document management systems) are retained in a readable format for the length of their required retention, as per the Records Retention Schedule.