AP 1 – 01 Records and Information Management

Related Policies:	**Initial Approval:** 2013 February 28
Related Procedures:	**Last Amended:**
Exhibits:	**Last Reviewed:** 2019 November 25

PURPOSE

This procedure ensure**s** that corporate records are managed through a complete Records and Information Management (RIM) program to effectively support Division operations, protect the Division's interests including contractual rights and responsibilities and maintain the Division's history.

SCOPE

This procedure applies to all Division staff that create, receive or manage and will cover all corporate records in the custody or under the Division's control.

DEFINITIONS

Corporate Records - documents, data or information made or received and maintained by the Division in pursuance of its legal obligations or the transaction of its business, regardless of media (paper, tapes – audio and video, and electronic) or format type (paper, maps, books, presentations, databases, webpages, and film), emails, digital records. All records created by an employee of the Board or an individual contracted by the Division are considered corporate records and the property of the Division.

Administrative Procedure 3 – 18 Student Records applies to student records.

Destruction - records will be considered as destroyed when they are unreadable and unrecoverable.

Destruction Notice – A form of authorization that is completed to indicate that the records listed on the form have been verified against the organizational records structure as being eligible for disposition.

File Copy - the most complete file that contains all pertinent data related to the given record. In many cases, this is also referred to as 'the single source of truth' related to the record. These files often contain original documents, but can include exact copies of a document that may have originated in another media or format or from a creation point different from the point where the file copy is managed.

Lifecycle (of documents, records and information) - includes the creation, receipt, conversion, use, distribution, maintenance, protection, preservation and disposition.
- Creation: systems and processes governing format, media, layout and design.
- Receipt: documents, records and information not created by the Division but received by the Division and forming at least part of a record, therefore required to follow the lifecycle practices as outlined in the Division ORS.
- Conversion: changing a record from one media (e.g. paper) to another media (e.g. electronic) must be done in a standardized format as described in the Division's Records Management procedures and guidelines.
- Use: the active processing of records and utilization during decision making processes.
- Distribution: the dissemination of information to third parties as may be required under law or contractual agreement.
- Maintenance: the organization, storage**,** updating and disposition of the information contained in a record.
- Protection: the physical, administrative and technical systems and/or process that prevent accidental or intentional loss, damage, alteration, deterioration, theft or unauthorized access.

- Preservation: the specialized handling of records (including electronic records) that have been identified as having lasting or permanent value to protect those records against degradation.
- Disposition: the archiving or destruction of records.

Organization Records Structure (ORS) – provides a system for organizing records into like functions and activities "classification" and assigns a number of qualification and responsibility categories. These categories include retention period, disposition type, regulatory references, office of primary responsibility, file closure criteria, security assignments, vital records ranking, and personal information banks.

Personal Information - recorded information about an identifiable individual, including:
- The individual's name, home or business address or home or business telephone number
- The individual's race, nationality or ethnic origin, color or religious or political beliefs or associations
- The individual's age, sex, marital status or family status
- An identifying number, symbol or other particular assigned to the individual
- The individual's fingerprints, blood type, or inheritable characteristics
- Information about the individual's health and health care history, including information about a physical or mental disability
- Information about an individual's educational, financial, employment or criminal history, including criminal records where a pardon has been given
- Anyone else's opinions about the individual and
- An individual's personal views or opinions, except if they are about someone else.

Records Information Management (RIM) Program - the application of systematic controls to records and information throughout their life cycle, including creation or receipt, maintenance, use and distribution, preservation and conversion, storage and security, and retention and disposition.

Transitory Records - refers to records that are not substantive, do not add value to a business transaction or simply contain no business information. Examples of transitory records are: blank or obsolete forms; duplicate copies of a document where a master has been retained (see File Copy); and drafts of minutes are considered records until a final version is completed (the final copy then becomes the record).

PROCEDURES

1. **Creation and Receipt**

   1.1 Staff will create all records and information in accordance with creation standards in the area of format, media, layout, branding and design. These standards will be set at a corporate level.

   1.2 Upon creation or receipt, the receiver or creator of the records will declare them to be corporate records or transitory records.

      1.2.1 Corporate records will be stamped file copy and managed within the formal records systems.
      1.2.2 Transitory records handling will be at the discretion of the individual staff members.

2. **Maintenance**

   2.1 Staff will monitor all corporate records and maintain according to the Organizational Records Structure (ORS). That is, they will have classification numbers applied as well as any special handling processes as indicated by the qualification and responsibility categories of the ORS.

3. **Use and Distribution**

   3.1 Staff will only use information for the purpose it was originally created for, particularly when the information includes personal information according to FOIP Regulations and the *FOIP Act*.

3.2 Staff will take all reasonable measures to protect confidential or personal information from unauthorized or accidental access, disclosure or distribution as per the *FOIP Act*.

4. Preservation and Conversion

4.1 Staff will create records using media that will preserve the information for a time period that is equivalent to its value.

    4.1.1 Staff will save electronic records in such a format and on such media as to support the expected life of the information.

4.2 When staff convert records from one format to the other, the records will be reproduced in such a manner as to support the preservation of the information.

5. Storage and Security

5.1 Staff will store all records in such a manner as to prevent unauthorized, accidental or intentional damage, loss, destruction, access, distribution, or theft.

5.2 Staff will take all reasonable administrative, physical and technical processes and will be implemented to prevent unauthorized access, use, loss, distribution, destruction or theft.

5.3 When corporate records are stored electronically in the Division approved program, the paper copy of the document(s) can be destroyed according to the Division ORS.

6. Retention and Disposition

6.1 Staff will retain all corporate records according to the Organizational Records Structure (ORS).

6.2 Staff will dispose of records according to the retention schedule, within the ORS, by sending the records to the Division office utilizing the Corporate Records Destruction Notice accompanied by a completed inventory form as required. Records shall not be destroyed without the authorized signatures outlined in this procedure. Destruction of documents will be done by a confidential shredding company.

6.3 The Superintendent or designate may spare from destruction any record deemed to be of historical or critical value.

6.4 Any record deemed to be a transitory record can be destroyed at any time without authorization.

REFERENCE AND LINKS

Freedom of Information and the Protection of Privacy Act
Education Act
Child, Youth and Family Enhancement Act
Young Offenders Act
Administrative Act
Financial Act
Public Records Regulation – Alberta Regulations 373/83
Administrative Procedure 2 - 20 Computer Access
Administrative Procedure 3 - 18 Student Records

HISTORY

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