



Policy Code – Version: G6 – V1

Policy Name: Records Management

Approved by motion of Board on 07/12/2015

Cross Reference

G7: Freedom of Information and Protection of Privacy Policy

Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)

Personal Health Information Protection Act (PHIPA)

Related Forms

Policy Statement

1. Information received, created or gathered by or on behalf of the OSTA in the course of conducting OSTA business, by OSTA staff or its Board of Directors, with respect to information which is in the Board's custody or control, is a corporate resource which belongs to the organization as a whole and shall be managed in accordance with administrative procedures and made accessible to those who require it, subject to legal requirements and OSTA policy.
2. Consistent management standards, as outlined in accompanying procedures, shall be applied to maintain proper administration and security of OSTA's corporate records.
3. OSTA General Manager/CAO is responsible for establishing the procedures and timelines necessary to support this policy.

Procedure

1. This procedure is managed by the GM/CAO and the Administrative Assistant.
2. Document protection: documents (hardcopy, online or other media) will be stored in a protected environment for the duration of the document retention schedule set out below.
3. Document destruction: hardcopy of documents will be destroyed by shredding within 12 months of the end of the retention period. Online copies may be kept indefinitely and destroyed only when cost of storage becomes prohibitive or after the retention period for that classification of document is expired.
4. Provisions for documentation for investigations or litigation: documents requested and subpoenaed by legally authorized personnel will be provided in a reasonable timeframe. The GM/CAO will authorize the provision of such documents. No documents will be concealed, altered or destroyed with the intent to obstruct the investigation.
5. The policy and procedure will be reviewed every five years, or more often as needed.
6. The policy and procedure will be shared with staff. OSTA will provide additional training if required.
7. Active documents will be kept on site for a period of 2 years, or as long as they are being used. After 2 years, documents will be archived in a storage facility.
8. The GM/CAO authorization for destruction of documents listed on the Retention Schedule is required per Authorization for Destruction of Records Form.
9. The organizational start date for destruction of documents is 2007/2008 school year, or the first school year for which OSTA was responsible for record management. Any documents produced prior to the 2007/2008 school year is the sole responsibility of the member school board. Therefore, OSTA will begin and complete destruction of records as per the schedule herein, during the 2015/2016 school year.
10. Day-to-day documents not listed in the Retention Schedule below, or copies of documents listed in the Retention Schedule, may be destroyed at the discretion of each employee, providing the document or information within is not currently, nor is it potentially, subject to an investigation or legal action.

11. The Retention Schedule may be superseded at the GM/CAO's discretion, should documents related to an investigation or legal action be required to conclude the matter.

12. The retention period begins from the originating date of the document.

13. All boxes will be labelled and tracked with the following information:

- a. Individual tracking number
- b. Description of content
- c. Classification of document
- d. Archive date
- e. Destruction date

14. All boxes will be tracked using a tracking report.

15. Retention Schedule per Classification

| Classification | Retention Period |
|---|-------------------------|
| Corporate records | |
| • Articles of Incorporation | Permanent |
| • Legal Entity Status | Permanent |
| • Business Number | Permanent |
| • Tax Information (GST#) | Permanent |
| • Letters Patent | Permanent |
| • Consortium Operating Agreement | Permanent |
| • Cost-Sharing Agreement | Permanent |
| • Confidentiality Agreement | Permanent |
| • Service Level Agreement | Permanent |
| • By-Laws | Permanent |
| • Board Minutes and Resolutions | Permanent |
| • Corporate Minute Book | Permanent |
| • Board Meeting Materials (one full clean copy) | Permanent |

| Classification | Retention Period |
|-------------------------------|-------------------------|
| Financial Records | |
| • Chart of Accounts | 7 years |
| • Audits | 7 years |
| • Financial Statements | Permanent |
| • General Ledger | Permanent |
| • Check Register/Books | 7 years |
| • Business Expense Documents | 7 years |
| • Bank Deposits | 7 years |
| • Cancelled Checks | 7 years |
| • Invoices | 7 years |
| • Property/Assets Inventories | 7 years |

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|---------------------------------|-----------|
| • Petty Cash receipts/documents | 7 years |
| • Credit Card Receipts | 7 years |
| • Purchase Requisitions/Orders | 7 years |
| • Annual Tax Filing | Permanent |
| • Payroll Tax Withholdings | 7 years |
| • Payroll Tax Returns | 7 years |

| Classification | Retention Period |
|----------------------------|-------------------------|
| Payroll Records | |
| • Payroll Registers | Permanent |
| • Payroll Tax Withholdings | Permanent |
| • Earnings Records | Permanent |
| • Pension Records | Permanent |
| • Payroll Tax Returns | Permanent |

| Classification | Retention Period |
|--------------------------------------|-------------------------|
| Insurance Records | |
| • Property Insurance Policy | Permanent |
| • General Liability Insurance Policy | Permanent |
| • Insurance Claims | Permanent |
| • Insurance Disbursements/Denials | Permanent |
| • WSIB claims | Permanent |

| Classification | Retention Period |
|--------------------------------|-------------------------|
| Legal Matters | |
| • Legal Opinions | Permanent |
| • Court Matters | Permanent |
| • Mediation/Arbitration | Permanent |
| • Judicial Reviews | Permanent |
| • Human Rights Claims/Tribunal | Permanent |

| Classification | Retention Period |
|--|-------------------------------------|
| Contracts | |
| • Insurance Contracts | Permanent |
| • Employee Contracts | Permanent |
| • Legal Correspondence | Permanent |
| • Loans, Mortgages or Deeds | Permanent |
| • Vendor Contracts (including Operators) | 7 years past expiration of contract |
| • Warranties | 7 years |
| • Proposals from RFI, RFP or tenders | 7 years from award, if applicable |

| Classification | Retention Period |
|-----------------------|-------------------------|
|-----------------------|-------------------------|

| Management Plans/Operational Procedures | |
|--|---------|
| • Strategic Plan/Ops plan | 7 years |
| • Disaster Recovery/Emergency Response | 7 years |
| • Human Resource | 7 years |
| • Succession plan | 7 years |
| • Obsolete Policies and Procedures | 7 years |
| • Obsolete Operations Manual Materials | 7 years |

| Classification | Retention Period |
|------------------------------------|---|
| Employee Files | |
| • Resume | Permanent |
| • Offer of Employment | Permanent |
| • Performance Appraisals | Permanent |
| • Job Descriptions | Permanent |
| • Professional Development Records | Permanent |
| • Benefits Information | Permanent |
| • Pension Records | Permanent |
| • Attendance Records | Permanent |
| • Vacation/Sick/Lieu time tracking | Permanent |
| • Confidentiality Agreement | Permanent |
| • Criminal Check/Vulnerable | Permanent |
| • IT Policy Adherence Confirmation | Permanent |
| • Performance Management Letters | Permanent (includes expunged from files per CA) |

| Classification | Retention Period |
|---|---|
| Student Data | |
| • Application: Joint Custody | 7 years past age of departure from school |
| • Application: Specialized Transportation | 7 years past age of departure from school |
| • Application: Accessible Transportation | 7 years past age of departure from school |
| • Form: Life-Threatening Medical Issue | 7 years past age of departure from school |
| • Form: Empty Seat | 7 years past age of departure from school |
| • Transportation Issue | 7 years past age of departure from school |
| • Complaint | 7 years past age of departure from school |
| • Appeal | 7 years past age of departure from school |

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| <ul style="list-style-type: none"> Electronic Student Data | 7 years past age of departure from school |
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| Classification | Retention Period |
|--|-------------------------|
| Operator Data | |
| <ul style="list-style-type: none"> Correspondence | 7 years |
| <ul style="list-style-type: none"> Facilities Audit | 7 years |
| <ul style="list-style-type: none"> Route Audit | 7 years |
| <ul style="list-style-type: none"> School Site Audit | 7 years |
| <ul style="list-style-type: none"> CVOR | 7 years |
| <ul style="list-style-type: none"> Driver Info | 7 years |
| <ul style="list-style-type: none"> WSIB | 7 years |
| <ul style="list-style-type: none"> Confidentiality Agreements | 7 years |
| <ul style="list-style-type: none"> STATS T1 | 7 years |
| <ul style="list-style-type: none"> Purchase Order Disagreements | 7 years |
| <ul style="list-style-type: none"> Route Changes | 7 years |
| <ul style="list-style-type: none"> Transfer of Routes | 7 years |
| <ul style="list-style-type: none"> Accident/Injury reports | 7 years |

| Classification | Retention Period |
|--|-------------------------|
| School Data | |
| <ul style="list-style-type: none"> Transportation Issues and Resolution | 7 years |
| <ul style="list-style-type: none"> Correspondence | 7 years |

| Classification | Retention Period |
|--|-------------------------|
| General | |
| <ul style="list-style-type: none"> Confidential Contact Lists | 7 years |
| <ul style="list-style-type: none"> Health and Safety Reports | 7 years |
| <ul style="list-style-type: none"> Consultation Materials | 7 years |
| <ul style="list-style-type: none"> Transformation Materials | 7 years |