

## USING THE MODEL GUIDELINE

### HOW DOES THE RETENTION SCHEDULE WORK?

The Retention Schedule uses Functional Classification. Records are classified according to the functions and activities they support within your organization. This is the current industry standard, and the method Alberta Education is using. Functional classification narrows down the number of record series that an employee needs to understand. Jurisdictions will need to adapt the function list to reflect their culture. For example, payroll may be part of the Finance and Accounting Function or it may be part of the Human Resources Function. The following is the list of functions that the retention schedule is organized into:

- |                                    |                           |
|------------------------------------|---------------------------|
| 1. Administrative Management       | 8. Health and Safety      |
| 2. Corporate Governance            | 9. Information Management |
| 3. Community Programs and Services | 10. Legal                 |
| 4. Educational Programs            | 11. Communications        |
| 5. Finance and Accounting          | 12. Research and Planning |
| 6. Facilities Management           | 13. Student Information   |
| 7. Human Resources                 | 14. Transportation        |

Retention periods are based first on legal requirements, then on best practices and operational needs. The goal of the work group is to simplify information management programs. Where it makes sense, retentions are lumped together into 'buckets' so there are fewer retention periods to monitor. It is recommended that whenever possible the school year end be used as the close date on files, so records would only need to be purged once a year, in July or August for example.

### How to Read the Retention Schedule:

1	Record Number	Record Series	Scope Notes (Description)	Responsible Department	Retention	Notes	Retention Value & Legal Citation	PIB
2	AM	Administrative Management	The function of overseeing the administration of teams and units within the board and schools...					
3	AM-02	Committees - Internal & External	Includes records of committees and councils on which staff members participate as members...	Originating Department	E+3	E = committee is dissolved.	Operational value Archival	PIB
4	HS-02-02	Health and Safety - Inspection Reports	Includes records of inspections carried out in accordance with the Occupational Health and Safety Act.	Health and Safety	3*	Special circumstances might affect the retention of some inspections	24, 25, 69, 117, 121, 122, 123, 129, 153,	
5	HR-08	Employee Surveys	Includes surveys and research conducted on board staff regarding issues and planning that affect them	Human Resource	short		Operational Value	

**Record Number:** used to organize the schedule. The numbering system is not magical. Jurisdictions could use this numbering system or map it to their own.

**Record Series:** Brief descriptive title for each grouping of records within a function

**Scope Notes:** more detailed description of the record series. Note that the first row of each function is shaded and contains an overarching description for the entire function. Jurisdictions should adapt the language and terms to reflect their own culture.

**Responsible Department** – who has custody of the ‘master’ record. This is particularly useful in electronic records management. Department names and responsibilities vary between jurisdictions, so each jurisdiction will need to customize to reflect their culture.

**Retention** – this is the period to keep the records. It is always in years unless otherwise noted. Here are some explanations to the different retentions:

Row 3	E+3	E stands for Event. The Event is described in the ‘Notes’ column. In this case the event is when the committee is dissolved-so the files would be kept for 3 years after the committee is done. Often the event is the end of the school year – August 31
Row 4	3	Files are kept for 3 years for this series. Files would generally close at the end of the school year.
Row 5	Short	Short refers to the bucket*– so whatever your jurisdiction believes short term should be.

- \*Buckets: for records series with no legal requirements, but with operational value, jurisdictions may choose to use buckets. The length of time assigned to a bucket was somewhat arbitrary so jurisdictions may want to adjust the length to suit their own needs. The retentions provided were based on shortest possible retention and generally fit into 4 time periods (these are used in the simple retention schedules given to schools/departments):
  - Short: 2-3 years
  - Medium - 5-7 years
  - Long - 10-13 years
  - extended - 14-17 years

**Notes:** These are self-explanatory - Special information that may be needed.

**Retention Value and Legal Citation:** Explains the value of retention: legal, operational, archival.

The Committee first looked for any legal requirements. If there were legal requirements, those are noted by the numbered code. When more than one legal citation exists, the longest period of time would be listed in the Retention column.

If there was no legal requirement, or if the legal requirement did not define a specific time period to keep a record, the committee assigned it a retention period based on best practices and group experience.

Row 4	24, 25, 69, 117, 121, 122, 123, 129, 153,	Each applicable legislation is listed by a number that corresponds to a specific legislation. The Citation Information List will provide additional details such as the name of the legislation, hyperlinks to the legislation and excerpts of the legislation.
Row 5	Operational Value	Generally, if there are no legal requirements for retention, then the retention is based on its ‘operational value’ or what makes sense for the organization – often the Retention will be a ‘bucket’.
Row 3	Archival	The Provincial Archivist, Tom Anderson, reviewed the retention scheduled and identified record series that would be of archival value. School jurisdictions may have their own archive, or donate records to local, regional or provincial archives

\* When there are a number of legislations pertinent to a record series, the value provided will be the maximum legal requirement. (If one law was 3 years, another was 1 and other was 2, the value provided would be the longest period 3)



**PIB: Personal Information Banks:** The Retention Schedule was reviewed to determine where Personal Information Banks might exist. This information is important for several reasons. First, there are FOIP implications for records series containing personal information; second, identification of PIBs is important for tighter security, particularly for digital records.

**HOW TO USE THE CITATION LIST:**

Provides full details about the legislation including a hyperlink to most recent version of the legislation using Canadian Legal Information Institute (CanLII) at [www.canlii.org](http://www.canlii.org). Reviewing the Citation Information can provide additional context. The Citation List has undergone a legal review.

#	Citation Information
20	<p><a href="#">Cultural Property Export and Import Act</a>, R. S. C. 1985, c. C-51                      Cultural Property Export and Import Tax Appeals — Limitation Period                      Section 33.1 provides that a person may appeal the redetermination of fair market value to a designated institution or public authority within <b>ninety days</b> after the day on which a certificate referred to in subsection 33(1) is issued in relation to that object, appeal the redetermination to the Tax Court of Canada.</p>

**DISCLAIMER:**

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