Assignment 2: File classification plan and retention schedule

INFO 6370 Records Management

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File Classification Plan and Retention Schedule (FCPRS)

**Purpose**

ATOZ’s FCPRS is the classification and retention schedule for the records created, captured, and used by the ATOZ University in Ontario. “The primary of FCPRS “is to ensure that records are retained only as long as necessary and then disposed of when they no longer have value” (Franks, p.100).

**Structure of FCPRS**

A file plan is the records classification scheme “to classify records and other business information based on the business activities that generate records” (Franks, p 69). The records are organized in a hierarchical scheme (taxonomic scheme) of main categories and sub-categories.

Based on ATOZ’s common functions, FCPRS is arranged into two or three levels hierarchically. The primary level is about “functions”, second level “activities”, and “records series” at the last level. Some records series are arranged at the second level.

1). Primary Level: Functions

After evaluating and grouping the record series, five main functions are chosen for those administrative records. Those functions at the highest level cannot be modified. The following is the main functional highest categories with a three-letter identifier:

* Administration: ADM
* Facilities Management: FAM
* Financial Management: FIM
* Health, Safety, and Security: HSS
* Human Resources Management: HRM
* Information and Technology Management: ITM

2). Second level: Activities

Under the primary level, activities are classified at the second level.

Ex.) Administration (ADM)-**Business Continuity Management** (10)

Human Resources Management (HRM) – **Staffing and Recruitment** (60) -– Consultant recruitment files (01)

3). Third Level: Sub-Activities

Under the same activities at the second level, some sub-activities are grouped at the third level. This permits to identify various sub-categories at the lower level for record-keeping.

Ex.) Human Resources Management (HRM) – Staffing and Recruitment (60) -– **Consultant recruitment files** (01)

**Arrangement of file folder title and code**

The folders have alpha-numerical systems comprised of primary level, secondary and/not third level. The primary level (functions) has a three-letter identifier; the secondary level and the record series have a numerical system identifier, so it is flexible to include new records series. Within each record series, files are arranged by alphabetical or numerical order according to file contents. For example:

File folder number**:** HRM-40-03

File title: Human Resources Management (HRM) - Staffing and Recruitment (40)- Staff recruitment files (03)

Staff recruitment files: records are arranged by job ad's title or competition no., then by applicant's name (surname, first name).

**Records Retention and Disposition Schedule**

In this paper, the records retention and disposition schedule include records series, title, scope, retention requirements and disposition method. The retention schedule considers the records’ administrative, fiscal, legal, or historic value. It also complies with Ontario or federal government laws, regulations, or policies.

Furthermore, ATOZ complies with the Freedom of Information and Protection of Privacy Act (FIPPA) as an educational institution. ATOZ should provide the public a right of access” and to “protect the privacy of individuals with respect to personal information about themselves” (FIPPA, s.2). The Act requires that “personal information that has been used by an institution shall be retained after use by the institution for the period prescribed by regulation (c. F.31, s. 40 (1)). Its regulation (R.R.O. 1990, Reg. 460: GENERAL s.) specifies that personal information shall retain the information for at least one year after use.

**Retention Period Abbreviations**

* A (Archives): Archives or Archives selection
* CY (Current Year): Current calendar (YYYY/12/31) or current academic year
* CFY: (Current fiscal year, YYYY/03/31)
* D (Destroy): Secure Destruction
* SO (Superseded or Obsolete): Keep until superseded / obsolete

and/or replaced

* T (Termination): Keep until files or claims are completed or closed or terminated (end of activities)
* Y (Years): Number of years

**Record Series**

Administration (ADM)

This main function covers administrative records applying to ATOZ’s departments including policies, procedures, department committees, annual reports, business continuity planning.

**Business Continuity Management (ADM-10)**

Scope: Records related to documentation to protect staff and records and to resume business activities in the event of a disaster or emergency.

Active: SO (until superseded or updated) / Inactive: 5Y Disposition: Destruction

**Rational**e: When the records are superseded, retain those records for five years for reference. The documentation must be destructed securely because it contains information on protecting staff and records and resuming business activities.

Citation: N/A

**Department committees** (**ADM-20-01)**

Scope: Records related to agendas, reports, and minutes of meetings of department committees.

Active: Current calendar year / Inactive: 3Y / Disposition: Archives

**Rationale:** As the records contain the department committees’ activities, they are the proof of the committee’s contribution to organizational culture, which should be preserved. In case of consultations on previous records, a three-year retention period is recommended.

Citation: N/A

**Insurance claims documentation (ADM-30-01)**

Scope: Records related to insurance claims including uninsured loss payments documentation and reports of incidents that might lead to a claim**.**

Active: Resolution of claim or file closed (T) / Inactive: 5 Y / Disposition: Destroy

#### Rationale: Retain the records five years after an insurance claim is resolved. The records do not include claims with litigation so that there is no need to keep them more than seven years after the settlement of claims. The active period is various depending on insurance claims.

\* Note: Exclude claims resulting in litigation.

Citation:

* Insurance Act. R.S.O. 1990, c. I.8

**Policy and Procedures** (**ADM**-**40)**

Scope: Records related to administrative policies, guidelines related to department functions.

Active**:** SO (until superseded or replaced) / Inactive: 3 Y **/** Disposition: Archives

**Rationale:** The policies and procedures are an essential part of ATOZ, providing guidance for day-to-day operations and decision-making. This operational and administrative value is active as long as the policies and guidelines “assist the organization in performing either current or future work” (Spiteri, Week 5). Those records “should be preserved to provide adequate documentation of an organization's operations” made based on previous policies. (Spiteri, Week 5)

Citation: N/A

**Annual reports** **(ADM-50-01)**

Scope: Records related to the summaries of the Department’s main activities and achievements of the previous 12 months.

Active**:** Current academic year or calendar year/Inactive: 5Y  **/** Disposition**:**  Archives

**Rationale:** Retain the annual reports for five years because they are resourceful to discuss the organization’s prospects and assessments of the upcoming year and the following year too. Those records need to be preserved permanently because they have administrative value containing activities and achievements of the department. The records “have enduring value because they reflect significant historical events or document the history and development” of the department (Spiteri, 2019 week5).

Citation: N/A

Facilities Management (FAM)

This main function covers records relating to facilities including maintenance and renovations, extermination and pest control as well as waste management.

**Facilities Maintenance and Renovations (FAM-10)**

Scope: Records related to facilities such as construction/design projects, premises inspections, cleaning services, extermination and pest control, waste management, etc.

Active: until last action (T) / Inactive: 6Y / Disposition: Destroy

**Rationale**: Retain the records for six years covering those records in needs of different retention periods. The records of cleaning services can be retained for 1 or 2 years while the construction and design projects may need a longer retention period. The retention period for waste management is in line with the Environmental Protection Act requirement that an employer must “keep the daily records required by clauses (a) and (b) available for review by the Director, … for a period of at least two years after the current year”. (S.16 (5)).

Note: Transfer the records of construction and design projects to archives because project documents such as building plans provide a history of ATOZ campus.

Citation:

* Environmental Protection Act, RRO 1990, Regulation 347 -General - Waste Management. s.16(5)

Financial Management (FIM)

This main function covers records relating to finance including accounts payable, bank reconciliations, and purchase orders.

**Disbursement files (FIM-10-01)**

Scope: Records related to disbursement vouchers, and supporting records such as invoices, travel authorization.

Active: Current fiscal year / Inactive: 6 years / Disposition: Destruction

**Rationale:** Canada Revenue Agency (CRA) specifies that the records containing fiscal value such as ledgers, vouchers, cancelled cheques should be retained until the expiration of six years from the end of the last taxation year “to protect the organization against court action or to account for the expenditure of funds” (Spiteri, week 5).

Citation:

* Canada Revenue Agency. Keeping records;
* Canada’s Income Tax Act (R.S.C., 1985, c. 1 (5th Supp.)), s.230.4;
* Ontario Income Tax Act: Books and records (follows federal Income Tax Act).

**Bank reconciliations (FIM-20-01)**

Scope: Records related to cancelled or voided cheques, bank statements, cleared cheques, etc.

Active : Current fiscal year / Inactive: 6Y / Disposition: Destruction

**Rationale:** The retention period is based on the Income Tax Act which requires those fiscal records to be retained at least six years before destroying them securely.

Citation:

* Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b)
* Ontario Income Tax Act: Books and records (follows federal Income Tax Act)

**Purchase orders (FIM-30-01)**

Scope: Records related to the ordering and purchase by the department of a wide range of goods and services from external suppliers and organizations

**Active**: Current fiscal year / **Inactive**: 6 Y / **Disposition**: Destruction

**Rationale:** The retention period is based on Income Tax Act.

Citation:

* Income Tax Act (R.S.C., 1985, c. 1), section 230 (4)(b);
* Ontario Income Tax Act: Books and records (follows federal Income Tax Act).

Health, Safety, and Security (HSS)

This main function covers records relating to health, safety, and security including occupational health and safety, and security of premises.

**Accident, incident, occupational ill-health and hazard report forms (HSS-10-01)**

Scope: Records related to forms completed as notification of an accident or incident concerning the health and safety of staff.

Active: T (until last action) / Inactive: 15 years / Disposition: Destroy

**Rationale**: The Workplace Safety and Insurance Act (WSIA) requires that “the employer shall give the Board such other information as the Board may require from time to time in connection with the accident” (Section 21.1). According to the Occupational Health and Safety Act, the Minister of Labour inspector may require an employer to provide a copy of the written notice to a Director at the Ministry of Labour. Once an employer submits a notification of incidents to WSIB, they will issue a claim no. and status. The retention period is based on the Limitations Act, its ultimate limitations period.

Citation:

* Ontario Government. Limitations Act. Ultimate Limitation Periods;
* Workplace Safety and Insurance Act, 1997, S.O. 1997, c. 16, Sched. A. s.57 (1);
* Occupational Health and Safety Act (OHSA). R.S.O. 1990, CHAPTER O.1;
* Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40, / Disposal of Personal Information, RRO 1990, Reg 459

**Security of premises (HSS-20)**

Scope: Records pertaining to safety and security, Disaster Preparedness Plans, emergency focal points, building passes, etc.

Active: Current calendar year / Inactive: 5Y Disposition: Destruction

**Rationale**: The Occupational Health and Safety Act requires that employers in Ontario must comply with the Act regarding safety and security in the workplace. Therefore, it is important to update the records pertaining to security of premises annually. Retain those records for five years for consultation and destroy them securely.

Citation:

* Ontario. Ministry of Labour. Emergency Preparedness;
* Occupational Health and Safety Act, R.S.O. 1990, c. O.1 /s. 25(2). Duties of employers.

Human Resource Management (HRM)

This main function covers records relating to human resources including staff, payroll, income tax returns, training and development, and staffing and recruitment.

**Annual leave requests (HRM-10-01)**

Scope: Records related to requests for annual leave**.**

Active: Current calendar year (vacation entitlement year) / Inactive: 1Y

/ Disposition: Destruction

**Rationale:** The employment Standards Act of Ontario requires that all employers in Ontario should keep records of the vacation time earned since the date of hire but not taken before the start of the vacation entitlement year. As the records of vacation time should be retained for five years after they are made, the annual leave requests are destroyed after the retention period of one year.

Citation**:**

* Employment Standards Act. S.O. 2000. Keeping records.

**Staff files (HRM-20-01)**

Scope: Records related to individual staff members including: contracts, assignments missions, evaluations.

Active: Termination of employment / Inactive: 5Y/ Disposition: Destruction

**Rationale:** The staff files are retained for at least five years after the termination of employee. Employment Standards Act requires employee records to be retained for three years. The retention period of five years is recommended in case of a request. As the records contain personal information, it should be securely destructed.

Note: the records contain personal Information. FIPPA.

Citation:

* Employment Standards Act S.O. 2000, c.41, s.15(1), (5): Retention of records;
* Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40,

Disposal of Personal Information, RRO 1990, Reg 459

**Payroll and pension (HRM-30-01)**

Scope: Records related to the payroll history of individual staff members, including engagement, variation and termination of employment forms and details of the individual’s pension scheme membership and contributions.

Active: Current calendar year / Inactive: 6Y / Disposition: Destruction

**Rationale**: Income Tax Act requires the records including payroll to be retained at least six years after the year to which they relate. Employment Standards Act specifies that employee personal information shall be retained for minimum 3 years after the end of employment. A six-year of retention period is suggested.

Note: Exclude pension management and retired pension beneficiary.

Citation:

* Income Tax Act, R.S.C. 1985, c. 1 (5th Supp.) s.230 (4)(b);

•  Employment Standards Act S.O. 2000, c.41, s.15;

• Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40

**Tax year-end returns (HRM-30-02)**

Scope: Records related to annual summaries of individual employees’ taxable pay, detailing tax, national insurance, et. Payments for the year.

Active: Current fiscal year / Inactive: 6 Y / Disposition: Destruction

**Rationale**: Retain the records for 6 years for audit purpose which may be requested by CRA.

Citation:

* Canada Revenue Agency. Income Tax. Keeping records;
* Canada’s Income Tax Act (R.S.C., 1985, c. 1 (5th Supp.)), s.230.4.

**Consultant recruitment file (HRM-40-01)**

Scope: Records related to terms of reference, consultant’s profile and proposals, selection recommendations.

Active: Job position filled / Inactive: 2 Y / Disposition: Destruction

**Rationale**: The records are active as long as a job position is filled or cancelled. Retain those records for 2 years for future reference.

Citation: N/A

**Internship and volunteer program (HRM-40-02)**

Scope: Records related to the recruitment of interns and volunteers

Active: Completion of internship or volunteering / Inactive: 3Y / Disposition: Destruction

**Rationale**: Keep records of the recruitment of interns and volunteers for 3 years after the termination of internship and volunteering. The minimum period is based on Employment and Standards Act. The records contain personal information. FIPPA

Citation:

* Employment Standards Act, s.15 (1), (5): Retention of records;
* Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40,

**Staff recruitment files (HRM-40-03)**

Scope: Vacancy Announcements, applicants’ files, interview notes, written tests results, etc.

Active: Until vacancy filled / Inactive: 1 Y / Disposition**:** Destruction

**Rationale:** After vacancy is filled, keep the staff recruitment files for one year just in case some internal or external candidates may request for their written test results. The records contain personal information, so the minimum retention period considers also the Freedom of Information and Protection of Privacy Act.  **For successful candidates, file those records to staff files.**

Citation:

* Freedom of Information and Protection of Privacy Act, RSO 1990, c F.31 s.40

**Training files (HRM-50-01)**

Scope: Records related to training course administration, course evaluation and assessment, training delivery records, assessment records, statistics (regardless of training topic).

Active: Superseded or obsolete / Inactive: 3Y / Disposition: Destruction

**Rationale**: Retain the records for three years because the evaluation and assessment of previous training courses may be used for an upcoming course development.

Citation: N/A

Information and Technology Management (ITM)

The main function covers records relating to library, information technology, records management, hardware, and software.

**Documents and Records Management (ITM-10)**

Scope: Records related to retention schedules, accession control reports, records destruction authorization.

Active: SO (superseded) / Inactive: n/a / Disposition: Destruction

**Rationale**: When the records are superseded, they don’t have any purpose to be retained.

Citation: N/A

**Hardware and software services requests (ITM-20-01)**

Scope: Records related to hardware and software service requests

Active: T (After actions are completed) / Inactive: n/a / Disposition: Destruction

**Rationale**: When the services requests are completed, destroy the records. The records are transitory records, so they don’t need to be retained.

Citation: N/A

**Software licenses (ITM-20-02)**

Scope: Records related to software licenses.

Active: T (until software removed) / Inactive: 4Y / Disposition: Destruction

**Rationale**: The software licenses are active until the software are uninstalled or the end of license agreement. Retain the records for four years for a comparison with an upcoming software purchases or internal review.

Citation: N/A

**Library Science and Management (ITM-30)**

Scope: Records related to collection development, library cataloguing, library preservation, library reference, management of subscription databases.

Active: Current fiscal year / Inactive: 2Y / Disposition: Destruction

**Rationale**: As budget by fiscal year is allocated for library acquisitions to purchase library materials or resources, the activities of developing collection, cataloguing materials, and managing subscription are conducted within the fiscal year. Retain the records for two years because they may be used for any comparison for an upcoming acquisition.

Citation: N/A

**\*\*** Table of Retention Schedule is in the next page.

**Table of Records Retention Schedule**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Primary level | Second level | Record series (Third level) | Active | Inactive | Disposition |
| Administration (**ADM**) | Business Continuity Management:**10** (file by Subject) |  | SO | 5Y | D |
|  | Committees **:20** | Department committees: **01** (file by committees' title) | CY | 3Y | A |
|  | Legal Claims :**30** | Insurance claims documentation:**01** (file by claim no, or subject, and then year) | T | 5 Y | D |
|  | Policy, procedures :**40** (file by title of policies including supporting guidelines) |  | SO | 3Y | A |
|  | Reporting **:50** | Annual reports: **01**(file by Year (YYYY, MM, DD) | T | 5Y | A |
| Facilities Management (**FAM)** | Facilities Maintenance and Renovations:**10** (file by subject, then by year) |  | T | 6Y | D |
| Finance Management(**FIM)** | Accounts payable:**10** | Disbursement files:**01** (file by voucher form no. including supporting documents) | CFY | 6Y | D |
|  | Banking :**20** | Bank reconciliations:**01** (file by fiscal year) | CFY | 6Y | D |
|  | Purchasing :**30** | Purchase orders:**01** (file by purchase order no.) | CFY | 6Y | D |
| Health, Safety, and Security **(HSS**) | Workplace Safety and Insurance Board (WSIB):**10** | Accident, incident, occupational ill-health and hazard report forms: **01** (File by employee name and form no.) | T | 15Y | D |
|  | Security of premises **:20** (file by subject) |  | CY | 2Y | D |
| Human Resources Management (**HRM)** | Attendance and Leave Administration **:10** | Annual leave requests :**01** (file by date of request, YYYY, MM, DD) | T | 1Y | D |
|  | Employees Administration:**20** | Staff files : **01**( file by staff ID) | T | 5Y | D |
|  | Payroll Management: **30** | Payroll and pension :**01**(file by staff ID) | CY | 6Y | D |
|  |  | Tax year-end returns: **02**(file by tax year, and then employee ID) | CFY | 6Y | D |
|  | Staffing and Recruitment:**40** | Consultant recruitment files: **01**(file by consultant's name or company) | T | 2Y | D |
|  |  | Internship and volunteer program: **02**(file by intern or volunteer's name) | T | 3 Y | D |
|  |  | Staff recruitment files:**03** ( file by job ad's title or competition no. then by applicant's name) | T | 3 Y | D |
|  | Training and Development :**50** | Training files :**01(**file by course name, and then year) | SO | 3Y | D |
| Information and Technology Management (**ITM**) | Documents and Records Management :**10** (file by topic or subject) |  | SO | n/a | D |
|  | IT Services Requests :**20** | Hardware and software services requests: **01**(file by request title) | T | n/a | D |
|  |  | Software licenses: **02** (file by title of the software, then year) | T | 4Y | D |
|  | Library Science and Management**: 30** (file by subject) |  | CFY | 2Y | D |

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