SASKATCHEWAN BUILDING OFFICIALS ASSOCIATION INC.
www.sboa.sk.ca

Section 9 ADMINISTRATION

9.01 Records Control and Security

Approved: 2017-03-30

Latest Revision Date: 2017-11-21

Review Required: 2022

Intent

To set recordkeeping and file backup protocols to protect SBOA records from loss, damage, unauthorized access and tampering.

Policy and Procedures

Responsibilities

All Directors are responsible for recordkeeping (protocols, conventions, retention and disposition, archiving) and protection of records. In addition:

- Secretary holds overall responsibility for governance records and general records.
- Treasurer holds overall responsibility for financial records.
- Membership Chair holds responsibility for member records.
- Committee Chairs hold responsibility for committee records.
- Executive Secretary holds responsibility for Permanent File Storage (PFS) folder, PFS backup folder, Send to PFS folder and the File System Index (FSI).

All files that are not freely available to the public (such as anything distributed widely to members or posted on the SBOA website) is considered confidential information and must be kept confidential, unless written permission to release the information is given by the person who holds overall responsibility for the records.

The Board of Directors has authority to allow extraordinary access to files when warranted, and subject to suitable conditions.

See File System Index (FSI) ([form 10.19](#)) for access and editing authority, and additional details.

Recordkeeping Protocols

- Use online file sharing and backup application Dropbox. See folders on File System Index (FSI) ([form 10.19](#)).
- Convert all paper records (even those that need to be archived) to electronic records.
- Hold and store records in secure, protected locations with access controlled and limited to specified persons.
- Hold working paper and electronic records only as long as necessary in "working" locations.
- Send records to Permanent File Storage (PFS) by email to Executive Secretary that includes a clear description about where the records should be stored. The records may be attached to the email or

transferred to the online folder "Send to PFS." If a record is recalled from permanent storage, it will be a copy and the original file remains in PFS. If a record is a replacement, note this in the email. If a record is a different version and both are to be retained, the file name should end with v02, v03, v04 as appropriate.

- Store paper records that need to be archived with Executive Secretary. If it is necessary to recall a paper record, it must be signed out and signed back in. When storage space for paper records is all used, the Executive Secretary will notify Directors, and will make arrangements with the Secretary to send paper records to Saskatchewan Archives.
- Control access to electronic records using multi-level passwords, with only specified people able to access or modify passwords. Protect and do not share passwords.
- Notify the Executive Secretary to update the File System Index (FSI) when records do not have an appropriate place in the FSI.
- "WORK" folders on Dropbox are intended to be temporary holding spaces for records that are being developed or transitory records or records of interest to only one person. Records must be filed appropriately in suitable FSI compliant folders as soon as possible.
- Maintenance and clean-up is done by the person responsible for the folders. See File System Index (form10.30).

Recordkeeping Conventions

- Use the FSI for both paper and electronic files.
- Use the date format yyyy-mm-dd wherever possible, so that when files are sorted by name they will be chronological by year.
- Use consistent, descriptive, meaningful and easy to understand file names. For example:
  - o Executive Meeting Minutes 2016-10-12
  - o Annual Meeting Members Agenda 2016-10-13
  - o 2016 Fall Newsletter
  - o 2016 Financial Report
- When deciding the order of the elements in a file name, date first will usually be appropriate for events that are time specific and recurring. Event first will usually be appropriate for events that are infrequent or recurring specific events.
- Avoid descriptive terms regarding format or version (e.g. draft, memo) at the start of file names. Use underscore and v01, v02, v03, etc. and initials at the end of the name to indicate comments included until the record is final. When the record is final, dispose of all previous versions, unless it is necessary to retain a record of changes. Only the final or all versions may be sent to PFS. For example:
  - o Certification Brochure_v01
  - o Certification Brochure_v02
  - o Certification Brochure_v02_CG
  - o Certification Brochure_v02_ RS
  - o Certification Brochure_v03Certification Brochure_v04
  - o Certification Brochure 2017-01-15_final

Record Retention and Disposition

Send records to PFS frequently–do not wait until you have an insurmountable task. Clean out folders at regular, specified times (weekly, monthly, etc.) suitable for you. Once records have been sent to PFS, you do not need to retain them, except for convenience or as working copies.

Dispose of transitory records frequently. Transitory records have no ongoing operational, informational, evidential or historical value and should be disposed of as soon as you have finished with them. Transitory

records may be convenience copies, "fyi" notices, preliminary drafts which don't reflect or record significant steps in the preparation of a final record or record decisions, and working papers where the results have been written into an official record and which are not required to support it. If in doubt, save the record. ☐   Once per year, the person responsible for records must determine which records can be submitted to Saskatchewan Archives, and identify these records to the Executive Secretary for submission(see 9.02 Archives Guidelines).

All records are kept indefinitely in Permanent File Storage. The following folders (which are unlikely to be accepted by SK Archives) <u>may</u> be deleted after 6 years from end of applicable year or death of member:

- Finance>Annual financial [one folder per year]
- Member Records [one folder per member]
- Conference Committee> Conferences [one folder per conference]
- Education Committee> Courses [one folder per course]
- Education Committee>Exams [one folder per exam]
- Certification Committee> Applications [one file per applicant]
- Certification Committee>ACBOA Applications [one file per applicant]
- Communications Committee>Newsletter Development [one file per newsletter]

<u>Application</u>

SBOA Directors and Executive Secretary.

<u>Notes</u>

Based on information from ISO/SEC 17024:2012, York University, *The Non-Profit Corporations Act, 1995* Section 23.

"records" are information created, received, and maintained by an organization that relates to the operation of and services delivered by the organization, regardless of physical form, including documents, maps, electronic records, email, drawings, photographs, vouchers, papers, etc.

"transitory records" are records of temporary usefulness that are needed only for a limited period of time, to complete a routine task or to prepare an ongoing document. Also, exact copies of official records made for convenience of reference. These records are not required to meet statutory obligations or to sustain administrative or operational functions. Once they have served their purpose and, in the case of convenience copies the official record has been identified, these records should be destroyed in accordance with internal disposal procedures.

"recordkeeping" the maintenance and management of the history of SBOA activities done by entering data in ledgers or journals, putting documents in files, submitting records to permanent storage and archives, etc. as a knowledge resource to support effective decision-making and achieve results for members.