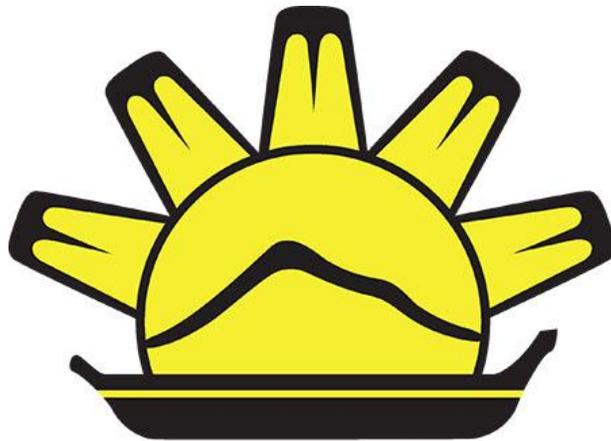


Statement of Policy and Procedure	
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Malahat Nation

Records Management Policy

Approved by Council on April 23, 2016



Malahat

1. Policy

Records are a special form of information that is created, received, and maintained by the Malahat Nation for business purposes or legal obligations, which enable and document decision-making, and support Malahat Nation reporting, performance and accountability requirements. Records must be created and collected, organized, retained, and safeguarded in a manner that enables their long term availability, understandability and usability.

2. Purpose

The purpose of the policy is to provide guidance on effective recordkeeping practices that enable the Malahat Nation to create and acquire; manage; and, protect the integrity of its records that support its decision-making, and support Malahat Nation reporting, performance and accountability requirements.

3. Scope

This policy applies to all Council members, members of the Finance and Audit Committee, Officers and employees of the Malahat Nation and any contractors or volunteers performing services on behalf of the Council. The direction provided in this policy applies to all records created and acquired by the Malahat Nation regardless of format (i.e., both electronic and hardcopy paper records).

4. Definitions

“classification” is the process of categorising records according to a predetermined hierarchy or scheme. Functional-based classification is the arrangement of records based on the business functions and activities of the Malahat Nation. This allows the Council to understand the records collected and created related to each business process / activity and how that record is used.

“information” is knowledge communicated or received and may be any documentary material regardless of communications source, information format, production mode or recording medium.

“information security” refers to the physical, electronic and policy instruments that are used to protect information from unauthorized access (protecting confidentiality), unauthorized use (protecting integrity), unauthorized modification (also protecting integrity) and unauthorized destruction (protecting availability).

“record” is a special form of information, and for the purposes of this policy refers to information created, received, and maintained by the Malahat Nation for business purposes or legal obligations,

which enable and document decision-making, and support Malahat Nation reporting, performance and accountability requirements. A record may be electronic or hardcopy paper based.

“recordkeeping” is a framework of accountability and stewardship in which records are created or acquired, captured, and managed as a vital business asset and knowledge resource to support effective decision-making and achievement of results for the Malahat Nation.

“repository” refers to a preservation environment for a record. It includes specified physical or electronic storage space and the associated infrastructure required for its maintenance. Business rules for the management of records in a repository need to be established, and there must be sufficient control for the resources to be authentic, reliable, accessible and usable on a continuing basis.

5. Responsibilities

(1) Council is responsible for:

- (a) Establishing and implementing documented procedures for records management within the Malahat Nation.

(2) The Chief Executive Officer is responsible for:

- (a) Implementing appropriate recordkeeping practices,
- (b) Ensure appropriate safeguards of the Malahat Nation’s records;
- (c) Ensuring compliance with the established records retention and disposition schedule and overseeing the disposition process; and
- (d) Ensuring that employees and any contractors or volunteers performing services on behalf of the Council are fully knowledgeable of their responsibilities as they relate to recordkeeping practices.

(3) Employees, contractors and volunteers are responsible for:

- (a) Complying with the established records management policy; and
- (b) Immediately reporting to their supervisor any potential breach related to compliance with the record keeping policy, including the incidents in which the safeguarding of records may have been compromised.

6. Procedures

Accountability

- (1) Each record shall have a designated steward that ensures the recordkeeping framework outlined in this policy is applied to all records. All employees, contractors, or volunteer that are in custody of a record must ensure it is managed in accordance with this policy.
- (2) Permanent records such as operations manuals, policies, and procedures will be reviewed and updated by the steward periodically, but at least every two years, or more frequently as required.
- (3) Records under the stewardship of an employee or any contractor or volunteers that is departing must be formally transferred to another employee through a knowledge transfer process. This process should include information on the types of records to be transferred, how the records are organized, in which repository the records are kept, and required safeguards.

Creation and Collection

- (1) All important activities and decision making processes of the Malahat Nation should be identified, including the records required to support those processes, to ensure accountability, preserve an audit trail, and protect the Malahat Nation from liability.
- (2) All information at its time of creation or collection should be assessed to determine if it supports Council's business purposes or legal obligations, and enables decision-making. If determined to be a record its management should comply with the procedures outlined within this policy.
- (3) The Malahat Nation's records shall be created using the most appropriate application or method.
- (4) The Malahat Nation's records shall contain all the information which is necessary to achieve the objectives for which each of them is created; yet their contents shall be limited to only what is necessary to achieve those objectives. This should include limiting the information collected through forms to only that which is required.
- (5) Whenever possible, the record shall contain information about one single function or activity so as to facilitate information classification, organization, retention and retrieval.
- (6) The Malahat Nation's records shall be legible, written in plain language and adapted to their specific audience.
- (7) Only one copy of each record should be created or collected. When creating or collecting a record, individuals should first check to see if the record is already in existence. In instances of multiple copies of the same record, copies should be securely disposed in accordance with the requirements of this policy.

Organization and Classification

- (1) A classification plan structure shall be implemented based on the Malahat Nation's functions and activities, with records stored in accordance with the activity and/or function that it supports. This classification plan should be used to support the filing system for both electronic records and hardcopy paper-based records.
- (2) Records should be subject to a consistent naming convention, with the name of the record including the Date (YYYY/MM/DD, Department Code, Title. Ex) BCR Registry: Chronological No. 2015/16-001 would identify the first BCR of the fiscal year 15/16, File Reference Number 001-LEG would identify the first BCR for the Legal Department, and the title would be the description of BCR.
 - (a) The title of the document should be short but meaningful.
 - (b) The title may contain multiple words, and should be ordered from most specific to less specific related to the business activity or function.
 - (c) Common words such as 'draft' or 'letter' should not be at the start of the title.
- (3) An official repository shall be identified and designated for each record, in which the record must be stored. The number of record repositories should be limited and be consistent to support the format and type of record.
- (4) Records should be made accessible, shared and re-used to the greatest extent possible, subject to technological, legal policy and security restrictions.

Maintenance, Protection and Preservation

- (1) Records must be protected and stored in the appropriate repositories in a way that preserves their long-term availability, understandability and usability.
 - (a) Backups should be taken of all electronic records on a regular basis and stored in a physical location separate from the location of the original records.
 - (b) Any records that are only in hardcopy paper-based format should be assessed to determine if they need to be scanned or if other physical security measures need to be taken (e.g. use of fire/water proof cabinets) to ensure their long term availability.
- (2) Records that contain personal information or information of a confidential nature related to the Council, or a third party, such as the confidential financial information related to a business, should be labelled as CONFIDENTIAL.
- (3) Confidential records should be protected with appropriate safeguards to ensure only those with a need to know will have access to the records:

- (a) For electronic records, confidential records should be protected with controls on the document itself (such as password protection) and other administrative controls, such as restricting access to the electronic repositories in which the record is stored. Confidential records should not be emailed 'in the clear' without appropriate protection.
- (b) For hardcopy paper-based records, confidential records should be stored in secure filing cabinets at all times unless being used, and transported in a secure manner if required to be offsite.

Retention and Disposition

- (4) The Malahat Nation records shall be retained for the period specified in the Appendix A and updated as necessary. They shall be disposed of in a manner that prevents their reconstruction (for paper based records) or recovery (for electronic records).

7. References and Related Authorities

- (1) The FMB's Financial Management System Standards
 - (a) Standard 19.0 Risk Management
 - (b) Standard 23.0 Records and Information
- (2) The FMB's Financial Administration Law Standards
 - (a) Standard 21.0 Records and Information

8. Attachments

Appendix A – Malahat Nation Records Class + Retention Schedule

Appendix A – Document Retention Periods

Record or information	Duration
General Malahat Nation governance records	
All Malahat Nation bylaws, amendments to the bylaws, the Malahat Nation constitution, and membership resolutions	Permanent
Appointments and terms of appointments	Permanent
Applicable legislation, agreements, funding arrangements, council commitments, land codes in force, financial administration codes for oil & gas monies management	Permanent
The Malahat Nation's Financial Administration Law	Permanent
The Malahat Nation's Property Taxation Law or By-law	Permanent
The Malahat Nation's Borrowing Law	Permanent
Minutes from the meetings of the Council and all council committees, annual reports, debenture records and council, committee and membership records, public notices, records of incorporation, corporate seal	Permanent
Legal files and papers	
Customer and supplier contracts and correspondence related to the terms of the contracts	7 years beyond life of contract
Contractual or other agreements (e.g., contribution, impact benefit, trust) between the Malahat Nation and others and correspondence related to the terms of the contracts	7 years beyond life of the contract
Papers relating to major litigation including those documents relating to internal financial misconduct	5 years after expiration of the legal appeal period or as specified by legal counsel
Papers relating to minor litigation including those documents relating to internal financial misconduct	2 years after the expiration of the legal appeal period
Insurance policies including product or service liability, council and officers liability, general liability, and third-party liability, property and crime coverage	7 years after the policy has been superseded
Documents pertaining to the purchase, sale or lease of property	Permanent
Documents pertaining to equity investments or joint ventures	Permanent
Human Resources	
Personnel manuals and procedures	Permanent
Organization charts	Permanent
Where there is a pension plan (excluding RRSP plans): <ul style="list-style-type: none"> ▪ Original plan documents; ▪ records of pensionable employee service and eligibility; ▪ associated personal information including name, address, social insurance number, pay history, pension rate 	7 years after the death of the employee or employee's spouse in the case of spousal eligibility
Letters of offer and individual contracts of employment	2 years after termination of the employee
Signed Code of Conduct obligations and signed Conflict of Interest declarations	2 years after termination of the employee
Attendance records	2

Record or information	Duration
Financial information such as payroll history including RRSP contributions, commission and bonus history	2 years after termination of the employee
Medical information	2 years after termination of the employee
Job descriptions	2 years beyond the period to which it applies
Performance assessments	2 years beyond the period to which it applies
Applications, resumes, and correspondence related to individuals not hired	2 years beyond the period to which it applies
Financial records	
Operations manuals, procedures, and internal control guidelines	Permanent
Signed annual financial statements and corresponding signed independent auditor reports	Permanent
Internal reports, including but not limited to: <ul style="list-style-type: none"> ▪ Reviews ▪ Annual operations report ▪ Special purpose reports ▪ Internal audit reports 	10 years
Accounting documentation, including but not limited to: <ul style="list-style-type: none"> ▪ General ledgers, general journals, financial records and supporting documentation ▪ Monthly and quarterly financial statements ▪ Monthly and quarterly management reports ▪ Month / Quarter / Year-end Financial Closing and Reporting work papers ▪ Financial institution account statements and reconciliations ▪ Cancelled cheques and cash register tapes ▪ Invoices ▪ Annual budgets ▪ Multi-year financial plans 	8 years
Asset management documentation, including but not limited to: <ul style="list-style-type: none"> ▪ Tangible capital asset register ▪ Reserve fund reports ▪ Life cycle planning ▪ Capital project budgeting ▪ Contract and tendering provisions 	8 years beyond completion of the project or asset utilization
If applicable, property taxation related documentation, including but not limited to: <ul style="list-style-type: none"> ▪ Property tax working papers ▪ Tax roll ▪ Tax filings 	8 years
Operational records	
Operations manuals, policies and procedures	Permanent
Original patents, trademarks, and copyrights	7 years after the expiration of the right
Customs documents	7 years

Record or information	Duration
Annual physical inventories	Permanent
Safety committee minutes, inspection reports and related action reports	10 years