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# **BRAMPTON LIBRARY**

## **Records Management Policy**

### **Definition of Terms**

- Records Management
- The discipline and organizational function of managing records to meet operational business needs, accountability and community expectations.
- Documents
- Refers to structured units of recorded information in hard or electronic copy form.
- Records
- Refers to recorded information, in any form, including data in computer systems, created or received and maintained by the Library.

### **Purpose**

Documents and Records are created both on paper and electronically to provide formal evidence of the business transactions of the Brampton Public Library Board. Their purpose is to capture, maintain and provide access to evidence of transactions over time, in accordance with accountability and business practices.

Regardless of the format, Records and information generated and captured on behalf of the Board are the property and asset of the Library. All information under the control of the Board must be managed and protected effectively, regardless of medium or format. Each service unit must manage information throughout its life cycle and comply with this policy and appropriate procedures.

All Records kept in office equipment or in corporate-owned computers are the property of the Board and are subject to the requirements of this policy.

The Library Board is governed by the Municipal Freedom of Information and Protection of Privacy Act and is required to maintain the integrity of its corporate records as established in the records retention paper and electronic schedule.

## Objectives

The application of Records management practices within the Library is intended to ensure that the Records and information in the custody of the Board and its employees are corporate assets and resources that are:

- Readily available and accessible for users to support strategic and operational decision-making processes.
- Available in the most timely and cost-effective manner.
- Held in an efficient and cost-effective manner.
- Secured and properly protected.
- Available to support the business recovery process.
- Only retained as long as required.
- Disposed of in accordance with approved retention policies.

## Classification of Records

The primary business functions within the Library are as follows:

<u>Function</u>	<u>Record Series</u>	<u>Description</u>
Administration	ADM	All Records regarding the administration of the Library, including administrative committees and meetings, arrangements with contractors, and vendors, and employee participation in external organizations and associations.
Board/Legal	BOL	All Records regarding the Board and legal matters, such as Library bylaws, resolutions, minutes of Board meetings, Board committees, contracts and agreements.
Branch Operations	LIO	All Records regarding daily Library operations, including catalogues, inventory lists, circulation information, etc.
Collection Development/ Library Systems	CDL	All Records regarding the selection, purchase, cataloguing and distribution of library materials throughout the Library system.
Computers and Telecommunications	CTC	All Records regarding computer and telecommunications hardware, software, requests for new equipment, systems design and documentation.
Equipment and Supplies	EAS	All Records regarding equipment and supplies.
Facilities Planning and Management	FAC	All Records regarding planning new and existing facilities within the Library system.

Finance	FIN	All Records regarding financial management, budgeting, accounting and all matters regarding the allocation and control of funds. This includes records on payroll, audit, expense payments, purchasing and financial reporting.
Human Resources	HUM	All Records regarding Library employees, such as their recruitment, promotions, performance, benefit plans administration, and union-related issues.
Labour Relations	LAR	All Records regarding contract negotiations and union/management relations, grievances, etc.
Public Relations/Marketing	PRM	All Records regarding the Library's relations with the public and the media, including advertising and special events, fund-raising programs, development of public relations and marketing materials and distribution of newsletters and announcements.
Risk Management	RSK	All Records regarding emergency planning and preparedness, incidents, insurance, etc.

### Records Retention Schedule

The Records Retention Schedule defines what Records are being managed, how long they need to be retained and is based on legal, compliance, business, operational and historical requirements.

Implementation of a Records Retention Schedule:

- Facilitates adherence to applicable laws by establishing retention periods, which satisfy Record-keeping requirements issued by federal, provincial and local legislatures, regulators and regulatory agencies.
- Helps identify obsolete or superseded Records.
- Leads to better use of office and file space by transferring older or infrequently referenced Records with continuing retention requirements to inactive Records storage.
- Based on statutory and regulatory requirements, as well as business needs and judgment, the Library decides how long to retain its Records, where to retain them and when and how to dispose of them. The purpose of a Records Retention Schedule is to document these decisions and provide instructions on which Records to retain and how long to keep them.

### Retention Schedule Codes

<b>Function Code</b>	Based on the business function within the Library: <ul style="list-style-type: none"> <li>• Administration</li> <li>• Board/Legal</li> <li>• Branch Operations</li> <li>• Collections Development/Library Systems</li> <li>• Computers and Telecommunications</li> <li>• Equipment and Supplies</li> <li>• Facilities Planning and Management</li> <li>• Finance</li> <li>• Human Resources</li> <li>• Labour Relations</li> <li>• Public Relations/Marketing</li> <li>• Risk Management</li> </ul>
<b>Record Series Code</b>	Numeric series code which can be applied to the Record series and file folder labels.
<b>Record Series</b>	Title of the Record series.
<b>Description</b>	A description of the Record types, which fall under the Record Series Code and Record Series Title.
<b>Filing</b>	The way in which the documents are filed.
<b>Active Retention/ Working Copies</b>	Designates the period for which the official Record should be maintained in the office before it is transferred to storage and the period for which copies should be retained.
<b>Inactive Retention</b>	Covers the period of time for which the “official” Record is in storage, which may be on-site or off-site.
<b>Total Official Record Retention</b>	The period for which the “official” Record must be retained to comply with regulatory requirements.
<b>Office of Record</b>	Designates which office within the Library system makes sure that the official copy is retained either on-site or off-site, to meet Records retention requirements. <b>NOTE:</b> It is not necessary for the Records to be kept in the office for the entire retention period if they are not required for ongoing business. They can be transferred from the filing cabinets to inactive or off-site storage.
<b>Retention Notes</b>	Provides details on whether or not the Record may contain information of historical interest. Certain Records, which are designated as historical, have long-term significance for the Library and should be reviewed prior to disposition. The evaluation of the historical value is determined at the file level, not at the individual document level, since removing documents from the file will destroy the integrity of the file.

### Abbreviations Used in Record Retention Schedule

<b>S</b>	=	Superseded. Assigned to records that are updated or revised at various times. When a record is updated the old version is replaced or superseded.
<b>E</b>	=	Event or end of activity which causes the retention period to start.
<b>C +</b>	=	End of the Current year + the retention period. Note: Records are kept until the end of the current year + however many years are required to meet the retention requirements. Note: Revenue Canada audits the year, not from the date of the creation of the Record.
<b>P</b>	=	Permanent. Records designated as permanent may be required for both corporate and historical reasons and are identified as permanent to ensure their ongoing access.
<b>X months</b>	=	Where the retention period is stated in months, the retention period starts on the date of the transaction. For example, if a Record is created in July and the retention period is three months, it can be destroyed in October.

### Changes to the Retention Schedule:

Any changes to the Records Retention Schedule, based on new or revised regulatory, legal, or operational requirements must be presented to the CEO for review and approval, to meet operational, tax, and legal requirements.

### Records Disposition

Records are disposed of in the normal course of business in accordance with the approved Records Retention Schedule. The Schedule is the basis for the disposition of the Records and should be followed, to ensure consistent Record keeping practices. Departments should not retain Records beyond the retention period, without a valid reason. Where Records are consistently required beyond the approved retention period, the retention period should be reviewed and, if necessary, changed. The Schedule should be revised accordingly.

Departments should review Records on an annual basis and prepare lists for transfer and disposition. Where Records are due for disposition, they should be listed on a Records destruction list. The list should be reviewed and signed off for destruction by the Department Manager, Senior Management, CEO, and the Board or any combination thereof.

### Inactive Retention

The official Records, which are no longer used on a routine basis, but nonetheless require additional retention until reaching the total required retention period stated on the Records

Retention Schedule, may be moved out of the filing cabinets and transferred to Inactive Records storage. It is critical that the files are organized and clearly labeled, so that employees understand the contents and will be able to accurately retrieve boxes sent to off-site storage. Accurate and complete labeling of boxes is extremely important for proper retention, easy retrieval and timely disposition.

### **The Official Record and the Office of Record**

In transacting day-to-day business, information copies are transmitted on both paper and electronically throughout the organization. One official copy of a Record series must be maintained in a medium, format and manner that ensure retention requirements will be fulfilled and information is accessible and retrievable throughout the Record lifecycle. Not all copies must be kept to meet the retention requirements. The official Record will, in most cases, be the most comprehensive and complete Record of a specified transaction, project or activity, and should be the copy containing the signature or seal, if applicable.

### **Historical Records**

Historical Records are those Records determined to have long-term value to the Library. They are unique to the Library, are irreplaceable and thus merit special protection to preserve the corporate memory. Videotapes, publications, minutes of meetings, etc., document many aspects of the Library's development and activities. Historical Records are identified in the Retention Notes column. Sometimes an entire Records series is not historical, but only a portion of the Records series (e.g. summary documentation). Historical Records are maintained for a variety of reasons:

- To document the establishment of the Board as an entity (e.g. minutes of meetings and by-laws).
- To capture the Library's policies.
- To document key historical events and milestones.
- To document the evolution of the Library system.

When reviewing Records for transfer or disposition, Record series designated as historical, should be reviewed for content prior to disposal. Note: The files are *not* reviewed document by document, but rather as entire files, so that the context of the information is maintained.

### **Legal Holds or Tax Audit Requirements**

There may be occasions where Records must be retained because tax audits have not been completed, or the Records are required to support a legal case. In such situations, the retention period is not changed for the entire Record series; but for those Records that are required for audit or legal purposes. Any such requirements for changes to the destruction date should be noted.

### **Information Copies**

Information copies in office files should be destroyed at the expiration of their retention periods, as defined on the Records Retention Schedule. No approvals are required for disposal of information copies of Records.

This policy will be reviewed annually.