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Records Management

1. PURPOSE

The purpose of this policy is to capture, maintain and provide access to evidence of transactions at Brampton Library in accordance with legislative requirements and to support the effective management and work of Brampton Library.

An effective records management program will ensure that information produced on behalf of Brampton Library is:

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

2. POLICY STATEMENT

All records created by the Chief Executive Officer (CEO), Directors or employees in the course of their duties on behalf of Brampton Library are retained for as long as they are required to meet the legal, administrative and operational requirements as set out in this policy, after which time they are either destroyed or transferred to storage. The final disposition (either destruction or transfer to storage) of records is carried out according to approved records schedules or with the approval of each Department Director or CEO.

It is the responsibility of the individual departments to ensure that the appropriate security measures are observed for maintaining records containing personal or other confidential information. Materials will be disposed of in a secure manner to ensure that such information is not disclosed.

While operational responsibility rests with the Directors of each Department, the Director, Business Management and Operations assists departments, provides advice to the Library and reports on compliance.

All employees must:

- 2.1. Manage information to facilitate equality of access and promote public trust, optimize information sharing and reuse, and reduce duplication, in accordance with legal and policy obligations;
- 2.2. Ensure that information created, acquired, or maintained to meet legislative, program, policy, and accountability requirements is relevant, reliable and complete;
- 2.3. Ensure that information is protected from unauthorized access;
- 2.4. Manage information, regardless of its medium or format, to ensure its authenticity, accuracy, integrity, clarity and completeness for as long as it is required;
- 2.5. Use electronic systems as the preferred means of creating, using and managing information;
- 2.6. Protect essential records to ensure the continuity of key services and business operations.

3. SCOPE

Records can take the form of physical or electronically recorded information. Regardless of format, all records generated on behalf of the Brampton Public Library Board, kept in office equipment, or in corporate-owned computers are the property of the Board and are subject to the requirements of this policy.

All records must be managed and protected effectively in compliance with the [Municipal Freedom of Information and Protection of Privacy Act](#).

Inactive Records will be reviewed annually.

4. DEFINITIONS

- 4.1. **Active Records** - records that are required for the day-to-day business of the Library
- 4.2. **Disposal/Disposition** - the decision regarding retention after a record is no longer considered active (i.e. is retained as permanent, archival, or destroyed)
- 4.3. **Destruction/Destroy** - the permanent elimination of a record within a record series as indicated by the records retention schedule (this could be done by shredding, or electronically deleting all versions of a file)
- 4.4. **Inactive Records** - records that have not reached their disposition date yet, but also are no longer needed on a regular basis and have therefore been moved to storage
- 4.5. **Non-Records** - recorded information that is not useful for Library purposes. Non-Records do not require a Record Series and can be deleted after they have been received. Examples include e-mails for lunch, information shared for general interest but not generated by the Library or a Library employee, and information received from an outside party that is not related to work done for/at/by the Library.

- 4.6. Permanent Records** - records that have been determined to have long-term value to the Library in terms of recording its corporate, service and cultural history. They are unique to the Library, irreplaceable and thus merit special protection to preserve corporate memory. They are maintained for a variety of reasons, including the documenting of the establishment of the Board as an entity, its policies, key historical events and milestones and the evolution of the Library system.
- 4.7. Record Series** - records that have been determined to be kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other defined commonality
- 4.8. Records** - recorded information, in any form (physical or electronic), that has been created or received and maintained by the Library
- 4.9. Records Retention Schedule** - a document that describes how each record series is being managed, how long the records need to be retained, and what the final disposition will be based on legal, compliance, business, operational and historical requirements
- 4.10. Transitory Records** - records that only have temporary usefulness and are not required to meet legislated requirements, set policy, establish guidelines and procedures, certify a transaction, or become a receipt or proof of a legal or financial operation. Examples of such records include duplicate copies, working documents, and notes from a meeting for which the reports and minutes have been finalized or adopted.

5. CHANGES TO THE RETENTION SCHEDULE

Any changes to the Record 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.

6. 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. Service Units 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.

Service Units 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 Record Destruction List. The list should be reviewed and signed off for destruction by the Director, Business Management and Operations and a second member of the Senior Management Team.

7. 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 to inactive records storage. A master list of all records stored off-site shall be maintained with the Finance Division.

8. PERMANENT RECORDS

Permanent Records are identified in the Retention Notes column. Sometimes an entire Record Series is not historical, but only a portion of the Records Series (ex. summary documentation). When reviewing Records for transfer or disposition, Record Series designated as permanent 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.

9. 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 ensures retention requirements will be fulfilled and information is accessible and retrievable throughout the Record lifecycle. 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.

10. RECORDS IN ELECTRONIC FORMAT

The management of electronic records including email correspondence is integrated into the Library's Records Management Policy, addressing content, organization, retention, disposition, and backup, etc. Procedures and practices with regards to electronic records will be regularly reviewed and updated as required, given the changing nature of technology.

11. REVIEW

To ensure that the classification scheme and retention schedule remains current and reflects changes in programs, organization structure, information retention requirements, record contents or media format, Managers of each Service Unit are responsible for formally reviewing their corresponding record series on an annual basis.

Managers of Service Units are also responsible for reviewing records on an annual basis to determine which records are due for disposition, and if any records need to be moved to inactive storage. See the Records Management Procedure for further details.

Appendix 1

Classification of Records

Function	Record Series	Description
Administration	ADM	All Records relating to 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 relating to the Board and legal matters such as Library by-laws, resolutions, minutes of Board meetings, Board committees, contracts and agreements.
Branch Operations	BRO	All records relating to daily Library operations, including catalogues, inventory lists, circulation information, etc.
Collection Development/ Library Systems	CDL	All records relating to the selection, purchase, cataloguing and distribution of library materials throughout the Library system.
Computers and Telecommunications	CTC	All records relating to computer and telecommunications hardware, software, requests for new equipment, systems design and documentation.
Equipment and Supplies	EAS	All records dealing with equipment and supplies.
Facilities Planning and Management	FAC	All records dealing with 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 the Library's employees, such as their recruitment, promotions, performance, benefit plans administration, and union related issues.
Labour Relations	LAR	All records relating to 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 dealing with emergency planning and preparedness, incidents, insurance, etc.