

ST. CATHARINES PUBLIC LIBRARY**POLICY**

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POLICY STATEMENT

The purpose of this policy is to outline provisions for the management of recorded information in all media formats within the St. Catharines Public Library in order to ensure economy and efficiency in the creation, maintenance, storage, retrieval, and disposal of records. In addition, to ensure the preservation of records' of archival value and ephemera, as well as providing for coordinated activities to support records management services in Library offices.

The policy of the Library with respect to Records Management is to:

1. Provide a standard records classification system that permits the efficient maintenance and retrieval of information to meet the administrative and operational needs of the Library;
2. Provide effective records management systems and services to ensure compliance with the provisions of the Municipal Freedom of Information and Protection of Privacy Act;
3. Provide for the retention of records for as long as they retain administrative, fiscal and legal value in the active and semi-active phases; for the efficient and prompt destruction of those inactive records not of archival value once the above values have ceased and all requirements of Library by-laws as they affect public documents have been met; and the archival preservation of those inactive records deemed to have enduring historical value;
4. Provide for the storage and retrieval of semi-active records;
5. Provide for ongoing training of staff involved in delivering the program;
6. Provide records management input into the planning and development of information systems designed to enhance information management;
7. Provide efficient use of micrographic and micro-imaging systems;
8. Provide for the transfer of archival records to the designated archival repository and their subsequent availability for research;
9. Provide specific protection for essential records;
10. Standardize the types of equipment and supplies used in maintaining records within Library offices;
11. Provide input into the design of existing or future Library offices;
12. Prevent the creation of unnecessary records, such as forms and reports; and

13. Provide advice and assistance to individual members of the Library in the effective management of their records.

SCOPE

This policy applies to all departments of the Library, to all records in all formats, created or received by the Library in the course of carrying out job-related responsibilities, and to all Library officers and employees who create, receive or maintain records as part of their work on behalf of the Library.

DEFINITIONS

Active record means records that are retained in the library and are required for the day-to-day business of the library.

Disposal/disposition means the decision regarding retention after a record is no longer considered active (e.g., retained as permanent, or destroyed).

Destruction/destroy means to eliminate permanently (e.g., through shredding) a record within a record series at a time indicated on the records retention schedule.

Inactive record means records that are no longer used but must be retained for their legal, fiscal, or administrative value.

Migration means to move data files from 1) one computer storage media to another, 2) from one software version to another as well as, 3) moving from one operating system to another operating system.

Permanent Records mean those records determined to have a long-term value to the library in terms of recording its corporate, service, and cultural history. They are maintained for a variety of reasons, including documentation of the establishment of the Board as an entity, its policies, key historical events and milestones, and the evolution of the library system.

Record means recorded information in any format and includes, but is not limited to, documents, business records, financial statements, personnel files, minutes, accounts, correspondence, memoranda, plans, maps, drawings, photographs, films.

Record Series means documents arranged in accordance with a filing system or 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.

Records Retention Schedule means a description of the record series that are being managed, how long they need to be retained, and what their final disposition will be based on legal, business, and historical requirements.

Transitory Record means any record that has temporary usefulness and is not required to meet legislated requirements, establish guidelines and procedures, set policy, certify a transaction, become a receipt, or provide evidence of legal, financial, operational or other decisions of the library. 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.

Vital records means those records needed to 1) resume or continue operations following a disaster, 2) to re-create the corporation's legal and financial status, and 3) to preserve the rights of the corporation, its employees and the public.

REGULATIONS

Canada Revenue Agency regulations

Employment Standards Act, 2000, SO, c. 41

Municipal Freedom of Information and Protection of Privacy Act, RSO 1990, c. M. 56

Occupational Health and Safety Act

Ontario Archives and Recordkeeping Act, 2006, SO 2006

Ontario Municipal Act 2001, 2001, SO 2001, c. 25

Public Libraries Act, RSO 1990, c. P. 44

RESPONSIBILITY

Responsibility for developing, implementing, and ensuring compliance with this policy rests with the CEO and the Executive Assistant, in cooperation with the staff of each department.

OPERATIONAL GUIDELINES

1. The records management process is the records lifecycle from active records creation or receipt of a document, through usage or distribution, inactive record storage and maintenance, to final disposition whether destruction or archival preservation of vital records.

Active Records Creation or Receipt

2. All records will be clearly labeled and marked and, to ease retrieval, no document shall be created without the appropriate file name chosen and indicated at the bottom of the document.

Usage or Distribution

3. In responding to requests to examine records, employees must observe the library's standards of confidentiality and accessibility.

Inactive Records Storage and Maintenance

4. Records shall be stored in such a manner to minimize risk of loss or destruction due to flood, fire, etc.
5. The CEO shall ensure that records are stored in a manner that provides access only to those in charge of the records.

6. Migration of data processes shall be constantly scrutinized to ensure that records can be readable for the duration of their retention periods.

Final Disposition

7. Each Library department is to review their records annually in the summer months of July and August, and follow the retention guidelines in the Records Retention Schedule.
8. Transitory records, unless they have become necessary for legal purposes or as otherwise provided for by law, will not be retained and may be destroyed at any time beyond their usefulness.
9. Active records will not be retained beyond the retention period without a valid reason.
10. Inactive records are disposed of in accordance with the approved Records Retention Schedule.
11. Vital records will be stored for maximum protection.
12. Records retention schedules and disposition will be consistent across all media, including digital records.
13. Where records must be retained for pending tax audits or legal issues, the retention period is not changed for the entire record series, but only for those records that are required for audit or legal purposes.
14. The destruction of records must be conducted in a secure manner, mindful of confidentiality requirements. The CEO as records manager has the authority to destroy all documents that have been retained beyond their retention period as outlined in the Records Retention Schedule.

IMPLEMENTATION

The CEO and the Executive Assistant will implement this policy. Management will develop and maintain a Records Retention Schedule as part of the Records Management Procedure.