

# RECORDS AND INFORMATION MANAGEMENT POLICY

## Introduction

The records management program will include the following elements:

- 1.1. A sitemap of record organization
- 1.2. Procedures outlining classification and handling of records.
- 1.3. Records Retention and Disposition Schedule (RRDS) for all recorded information.
- 1.4. Digitization guidelines.

## Intent

The Alberta Library (TAL) keeps orderly and timely records of the business of the company in compliance with federal and provincial legislation and regulations, and with the needs of TAL.

## Selection Criteria

Documents that are considered necessary to retain include any that support or show reasoning for decisions made that affect the business of TAL, or that relate to financial matters. Additional material may be retained that document the history of TAL.

## Definitions

“Legal Holds” the temporary suspension of record destruction processes and the preservation of relevant records in their current form, which are subject to the *Evidence Act*, *Limitations Act*, and *Income Tax Act*.

“Permanent records” records whose value does not diminish over time and that are retained because of administrative, legal, fiscal, or historical value.

“Providence” documented proof that digitized records are accurate representations of the original documents.

“Records” paper, electronic (including e-mail), recordings (audio and video), and any other information related to the business activities of TAL.

“Records management” the application of systematic control of recorded information that is required for the administration and operation of TAL (RM).

“Records Retention and Disposition Schedule” (RRDS) is an established timetable for maintaining TAL records.

## Policy

1. All records created and received by the Board of Directors (the Board) and employees in the course of their duties on behalf of TAL are the property of TAL.
2. Employees leaving or changing positions within TAL are to leave all records with TAL.
3. Board members must confirm with the TAL CEO that they have returned or destroyed all their confidential TAL records on the completion of their terms of office on the Board.
4. TAL will maintain a records management program to effectively manage its recorded information and records from their creation or receipt to their ultimate preservation, digitization, or destruction.

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5. All records, existing or newly created or received, will be included in the Records Retention and Disposition Schedule (RRDS) used to determine the retention and disposition of records.
6. TAL stores its paper records in locked cabinets in a locked office. All digital records are stored in SharePoint, with cloud backups managed by Microsoft. The back-ups exist only for risk management, not to fulfill retention requirements.
7. Any copies made of any record can be destroyed as long as the original is maintained for its full lifecycle set in the RRDS. Copies cannot be retained for longer than the period set in the RRDS.
8. The normal retention period set in the RRDS would be suspended in the event of legal holds, litigation, government investigations, or audits.
9. Employees will ensure that all information necessary to TAL's business functions that is received or transmitted by email is integrated into TAL's record system as a part of daily work tasks. E-mails are otherwise considered transitory records.
10. All Teams chat logs are considered transitory records.
11. The CEO:
  - a. Is given authority by the Board for the destruction of the records in accordance with the RRDS.
  - b. Is responsible for the secure storage, confidentiality, and the proper and complete destruction of the records disposed of under this policy.
  - c. Has the discretion to retain records, including records of archival value, longer than the period provided for in the RRDS and will provide written approval of retention of the relevant records to be kept.
  - d. Will institute a legal hold and suspend the destruction of all relevant records in the case of legal action or external audit until the litigation or audit is complete.
  - e. Is able to delegate any of these tasks to TAL employees.
12. Procedures will outline the implementation of the preservation and destruction of records.
13. For digitization of records:
  - a. An appropriate file directory structure must be maintained to establish the legitimacy of a record including the context in which it was created.
  - b. A record of digitization that verifies the completion of each scan and establishes provenance must be maintained.

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- c. The Library and Archives Canada guidelines for digitization of records and Optical Character Recognition will be used for all scanned documents.
  - d. The CEO and Finance Manager will determine the documents needed to digitize; the act of digitization will be delegated.
14. Should TAL be dissolved and is no longer in operation, the Provincial Archives will be contacted for potential final storage of permanent records and other documents, as outlined in the RRDS and the RM Procedures.

### RELATED DOCUMENTS

- *Risk Assessment and Mitigation re Digitization*
- *Digitization Procedures*
- *Records Management Procedures*
- *Records Retention and Disposition Schedule*

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