



## **General**

### **Records Management**

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Amended:

Next Review: January 2020

Note:

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### **Policy Statement:**

The Corporation of the City of Burlington requires that all records in its custody or control be managed in a systematic and logical manner according to the approved Uniform File Plan and Records Retention By-law to meet all obligations within applicable legislation including the Municipal Freedom of Information and Protection of Privacy Act.

### **Scope:**

This policy applies to records in all formats within the City's custody and control including active, inactive and permanently retained/archival records holdings.

This policy governs expectations for staff and management in roles directly responsible for records management as well as those who create and consume records during the course of their duties at the City.

### **Objectives:**

The Records Management policy is to achieve:

- Good faith retention of records needed to meet administrative and operational requirements.
- Retention of records needed to meet statutory obligations.

  
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- Permanent retention of records of archival or historical significance in order to enhance the corporate memory of the City of Burlington and the collective memory of the community.
- Effective creation, retrieval, and maintenance of current records.
- Security of vital records.
- Regular, authorized destruction of records that have reached their scheduled retention periods pursuant to the City of Burlington’s Records Retention By-law.
- Improved flow of information throughout the organization.
- Improved accountability and transparency of decision making.
- Ability to respond efficiently to information requests from the public, council and staff.
- Demonstration and documentation of compliance with applicable laws, regulations and standards.

**Definitions:**

For the purpose of this policy, unless otherwise stated, the following definitions shall apply:

<b>Term</b>	<b>Definition</b>
<b>Record</b>	<p>Means any record of information however recorded, whether in printed form, on film, by electronic means or otherwise, and includes,</p> <p>a) correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof, and</p> <p>b) any record that is capable of being produced from a machine readable record under the control of the institution by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution.</p> <p>(from MFIPPA)</p>
<b>Records Management</b>	The systematic control of all records from their creation or receipt to their ultimate disposition either by physical destruction or transfer to an archives.
<b>Records Lifecycle</b>	The span of time beginning with a record creation or receipt and


  
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Term	Definition
	ending with final disposition (either destruction or permanent retention).
<b>Inactive Records</b>	Those records no longer required to carry out the administrative or operational functions for which they were created or received but must be kept for administrative, fiscal, legal, or historical purposes in accordance with the approved records retention schedules pursuant to Records Retention By-law.
<b>Records Retention Schedule</b>	A timetable that governs the life span of a record from its creation or receipt, through active use within an office and retention in off-site storage, to destruction or transfer to an archives/permanent storage approved by City Council and the City's external auditor.
<b>Uniform File Plan</b>	Arrangement/categorization of records that provides a uniform structure for naming and storing files and documents.

## Principles:

Records and record keeping are the building blocks to ensuring an organization's decision-making and implementation processes are traceable and transparent to those who need or have authority to request the information. The following are the key principles followed for an effective records management policy:

### Accountability

Senior management will ensure the records management policy and procedures used to guide staff are adopted and reviewed regularly, program responsibility is delegated to appropriate staff and program audits are addressed. All users and authors of corporate records will be accountable for ensuring that their records management obligations are satisfied throughout the records management lifecycle.

### Integrity

The corporation will strive to protect the informational assets of the City so that they can be accessed, used and distributed as required in accordance with relevant legislation, by-laws, policy and leading practices. The records management program is constructed so the records and information generated or managed by or for the corporation have a reasonable guarantee of authenticity and reliability.



## **Transparency**

The City operates in the service of its customers and the public in general. Information that can be made available to staff and the public should be made available whenever practical. The processes and activities of the corporate records management program will be documented in an understandable manner and be available to all personnel and interested parties.

## **Efficiency**

The records management program will emphasize the efficient and economical use of City resources dedicated to records management activities.

## **Effectiveness**

Leading practices, flexibility and performance measurement will be incorporated into the records management program.

## **Protection**

Records that are private, confidential, privileged, or essential to business continuity and disaster recovery will be identified and protected with appropriate security measures.

## **Availability**

Records will be maintained in a manner that ensures timely and efficient retrieval of reliable information when it is needed.

## **Retention**

The corporation will maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational and historical requirements.

## **Disposition**

The corporation will provide secure and appropriate disposition for records that are no longer required to be maintained in accordance with applicable laws and corporate policies.

(Principles are based upon Generally Accepted Recordkeeping Principles from ARMA International – [www.arma.org/garp](http://www.arma.org/garp))

## **References:**



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The Corporation of the City of Burlington requires that its records be managed in a systematic and logical manner according to:

- the corporate Uniform File Plan,
- the Records Retention By-law,
- Municipal Freedom of Information and Protection of Privacy Act,
- Applicable provincial and federal legislation.

## **Roles:**

### **Accountable:**

The Information Management & Archives Coordinator is the position answerable for the timely review, updating and dissemination of the policy to the functional areas.

### **Responsible:**

Staff with records responsibilities through-out the organization will be performing the work to achieve the policy's goals.