

Records Management

Approved by: Vice President, Legal,
Compliance, Security
Last Reviewed: February 2019

Purpose

This policy establishes requirements and associated accountabilities for the management of recorded information in accordance with legislation and outlines the roles and responsibilities associated with BCLC's Records Management Program.

SCOPE

This policy applies to all BCLC employees and Contractors.

CONTEXT

All Records created or received by BCLC in the transaction of business, or the conduct of its affairs, are considered Government Information. As such, BCLC identifies and manages Records, regardless of the form or medium, in accordance with the *Information Management Act*, British Columbia, and the Government of British Columbia's [Recorded Information Management Manual](#). The *Information Management Act*, also requires government bodies, including BCLC, to create and maintain Government Information that is an adequate record of the government body's decisions.

BCLC retains and disposes of Government Information in accordance with Information Schedules. Information Schedules, when properly followed, make certain that Active and Semi-Active Records are retained for the period of time required to meet legal, operational, audit, fiscal and other requirements of government. An Information Schedule also identifies Records with enduring value and provides for their transfer to government archives. Finally, Information Schedules provide for the timely destruction of Inactive Records when they are no longer required to support BCLC's functions.

In managing Records, employees and Contractors are required to comply with statutory requirements for access to information and protection of privacy under the *Freedom of Information and Protection of Privacy Act*, British Columbia, (FIPPA) and direction provided in BCLC's [Privacy Policy](#) and [Managing Freedom of Information Requests](#) policy. Requirements associated with the classification of information are contained in BCLC's [Information Classification](#) policy and must also be observed.

POLICY STATEMENT

BCLC has established a Records Management Program to make certain that BCLC is in full compliance with provincial legislation, improve operational and administrative efficiency, reduce risk and manage Records as valuable organizational assets. The Records Management Analyst is designated as BCLC's Records Officer in accordance with government requirements.

Records Management

All employees and Contractors have a role in the Records Management Program and are responsible for managing Records in their custody. If a Record is required for ongoing legal, fiscal, audit, administrative or operational purposes, it must be transferred to a shared Record Keeping System suitable for retention of ongoing Records. All Records that are required to be retained must be retained by the Office of Primary Responsibility. If a Record meets the criteria for a [Transitory Record](#), it should be disposed of by the employee or Contractor as soon as it is no longer required, provided it is not subject to a Records Holds.

In support of the Records Management Program, each director is required to appoint at least one Records Lead for their Organizational Unit. Depending on the size of the Organizational Unit, additional Records Leads may be required. The Records Management Team provides ongoing support and resources to the Records Lead(s) to assist them in managing the Records of the Organizational Unit.

All employees appointed as their Organizational Unit's Records Lead will be provided with training by the Records Management team so that Records Leads can keep current in all aspects of their responsibilities.

POLICY DETAILS

Duty to Document Decisions

In accordance with the *Information Management Act*, employees and Contractors need to create and keep complete and accurate Records to adequately document their decision-making and work activities in accordance with government directives and guidelines. This applies to Records in all formats that provide the best evidence of business activities, transactions, policy or decisions. Decisions must be documented in a format that is capable of being saved to a shared electronic Recording Keeping System. For greater clarity, text or instant messaging must not be relied upon as the Record of a business or other decision where a record of the communication is required to be retained.

Email

A Record's content and context determines whether it is a Transitory Record, not its format or storage medium. There is therefore no single retention for all email. If an email, or other Record, is essential to understanding BCLC business, e.g., how a particular decision was reached, then the Record is non-transitory and must be kept.

Employees and Contractors are asked to pay attention to emails that protect financial, legal and other rights of BCLC and of persons directly affected by BCLC actions. This includes emails that contain information about executing policies, decisions and actions, legal advice, personnel matters, contract and bid information. Emails that are required for ongoing purposes must be transferred to a shared electronic Record Keeping System. The [Managing Email Guideline](#) provides additional guidance for

Records Management

employees and Contractors in this regard.

Service Provider Records

Records of BCLC's casino, community gaming and bingo service providers (Service Providers) and lottery retailers are Government Information if they fall within BCLC's mandate to conduct and manage gaming on behalf of the B.C. Government. As such, all Service Provider and lottery retailer contracts must contain provisions regarding the custody, control, retention, disposition, use and security of, and access to, those Records.

Storage

Each Organizational Unit must maintain a shared electronic Record Keeping System. Active Records must be stored in a manner that ensures they are accessible to the Records Lead of the Organizational Unit, either in a paper file or on their Organizational Unit's shared electronic Record Keeping System. Storing Records in employee-specific network drives or email folders does not satisfy this requirement. Additional guidance on the proper use and maintenance of a shared electronic Record Keeping System can be found in BCLC's [Managing Electronic Record Keeping Systems Guideline](#).

BCLC uses government-approved records centres for the off-site storage of its Semi-active Records.

Final Disposition of Records

The disposition of Inactive Records is in accordance with the applicable Information Schedule and can occur by:

1. Transferring the Record to the government archives – Records identified within the Information Schedule as requiring full or select retention must be retained and remain accessible until they are transferred to the legal custody of the government archives.
2. Physical destruction – Destruction of Records that are eligible to be destroyed must be in accordance with BCLC's [Records Destruction Procedure](#).

Approval is required from Records Management prior to the destruction of any Inactive Record. This does not apply to Transitory Records as all employees and Contractors are authorized to dispose of Transitory Records as soon as their business use ends, unless the Transitory Record in question is subject to a Records Hold.

Records Holds

A Records Hold requires employees and Contractors to suspend the disposition of all Records within the scope of a specific legal or business matter. A Records Hold supersedes the Information Schedule, and Records subject to the Records Hold must be preserved even if the applicable retention period under the Information Schedule has expired, or is set to expire while a Records Hold is in place. This includes Transitory Records not yet destroyed at the time the need for a Records Hold is identified.

Records Management

BCLC's Records Hold Procedure must be followed in all circumstances where a Records Hold is required and provides further details about how a Records Hold is communicated to employees and Contractors.

Employee Transition

Employees and Contractors are responsible for properly managing Records in their custody prior to their departure from BCLC or when changing roles within BCLC. Records created or received in the course of BCLC business are and remain the property of BCLC and the Government of British Columbia. In circumstances where the departure of an employee or a Contractor occurs with short notice, the employee's manager or the Contractor's BCLC contact is accountable for making certain the records are managed properly. Procedures outlined within BCLC's [Managing Information due to Changes in Employment](#) procedure must be followed.

ROLES AND RESPONSIBILITIES

Records Management is responsible for:

- Providing training and support to the Records Lead;
- Assisting with the transfer of Records to offsite storage;
- Acting as liaison with the Government of British Columbia;
- Authorizing final disposition of Inactive Records; and
- Co-ordinating, developing, and implementing a Records Management Program that makes certain that Records Leads have the resources, procedures and training they need to maintain Records in all media.

Directors are responsible for:

- Appointing the Records Lead;
- Providing the Records Lead with support and sufficient resourcing to effectively manage the Records of their Organizational Unit; and
- Maintaining a shared electronic Record Keeping System for the Organizational Unit that is organized and administered in accordance with the *Information Management Act* and policy requirements.

Records Leads are responsible for:

- Training staff in their designated Organizational Unit on the Records Management Program and the use of Information Schedules;
- Ensuring Records in their Organizational Unit are classified in accordance with applicable Information Schedules, transferred to offsite storage, and destroyed in accordance with ARCS and ORCS;
- Acting as the Organizational Unit's key contact for the Records Management Program; and

Records Management

- Providing ongoing assistance and advice to employees in their Organizational Unit on properly managing the Records in their custody.

All BCLC employees and Contractors are responsible for:

- Documenting their work by ensuring non-Transitory Records are filed in their Organizational Unit's shared electronic Record Keeping System;
- Completing all Records management training that may be provided by their Records Lead or Records Management;
- Properly managing Records in their custody in accordance with applicable Information Schedules; and
- Seeking assistance or direction from the Records Lead when uncertain about the proper management of Records.

DEFINITIONS

Active Record – means a Record that is in current use and needs to be retained and maintained in office space and equipment close to users.

Contractor – means an individual engaged to provide professional services to BCLC with access to BCLC systems and information.

Government Information – has the meaning ascribed to it within the *Information Management Act*. As at the date of this policy, government information means recorded information created or received by a government body in connection with government business and the following are some of the types of information that are identified within the definition:

- Information that must be held by the government body by law;
- Information that documents a decision by a government body respecting a course of action that directly affects a person or the operations of the government body;
- Information that documents or supports the government body's organization, policies, procedures; transactions or operations; or
- Information created or received by the government body that has archival value.

Inactive Records – means a Record that is no longer required for ongoing business. These are Records that are ready for final disposition.

Information Schedule – means a prescribed timetable that governs the life cycle of a Record from creation, through active use within an office, retention in off-site storage during its semi-active period, to final disposition when it becomes inactive and includes the approved [Administrative Records Classification System](#) (ARCS), [Operational Records Classification System](#) (ORCS), and other [special schedules](#).

Records Management

Office of Primary Responsibility – means the Organizational Unit that has primary responsibility for maintaining the official master copy of the Records in order to satisfy operational, financial, legal, audit and other requirements.

Organizational Unit – means an entity within BCLC that operates as a distinct function, such as a department, project team or committee.

Record – has the meaning ascribed to it in the *Interpretation Act* and, as at the date of the policy, includes books, documents, maps, drawings, photographs, letters, vouchers, paper and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise.

Records Hold – is the process BCLC uses to preserve all forms of relevant Records that are reasonably anticipated as being required for legal or business purposes such as, litigation, arbitration, audits, FOI requests, government investigations and operational events. It includes an obligation to identify, locate and maintain information that is relevant to specific, predictable and identifiable legal or business matters.

Records Lead – means the designated employee from each Organizational Unit who will be the primary Records Management contact. This role requires in-depth knowledge of the Organizational Unit's Records and access to that knowledge.

Record Keeping System – means a filing system in which Records are captured, protected, retained and destroyed in accordance with approved retention schedules (e.g., files shares and SharePoint sites).

Semi-active Record – means a Record that is used only occasionally and therefore need not be maintained in the office space and equipment of BCLC. Semi-active Records still retain administrative, operational, fiscal, audit or legal value for BCLC.

Transitory Record – means a Record of temporary usefulness that is only required for a limited period of time for the completion of a routine action or the preparation of an ongoing Record. Transitory Records are not required for financial, legal, audit or other statutory purposes.

RELATED MATERIAL

Records Destruction Procedure

Records Hold Procedure

Managing Electronic Record Keeping Systems Guideline

Managing Email Guideline

Records Management

POLICY OWNERSHIP

Contact Position	Records Management Analyst
Policy Owner Position	Director, Information Management
Approving Body	Vice President, Legal, Compliance, Security

REVISION HISTORY

Version Number	Approval Date	Approved by	Amendment
3.0	Feb 26, 2019	Vice President, Legal, Compliance, Security	Additional direction added related to the duty to document decisions. Definitions were updated to align with the <i>Information Management Act</i> . Certain direction related to a Records Hold was removed as it is now contained within the Records Hold Procedure.
2.1	Oct 31, 2016	Director, Information Management	Legislative references were updated to the <i>Information Management Act</i> , and the definition for a record was revised to align with the <i>Interpretation Act</i> .
2.0	Mar 30, 2016	Vice President, Corporate Security and Compliance	Major revisions made to all sections of the policy to reference the Records Management Program and to include associated policy direction and assign roles and responsibilities.
1.0	Feb 2, 2009	President and CEO	Inaugural document.