



TOWN POLICY

POLICY NUMBER: 1701

REFERENCE:

Council 771.09.90
Council 046.02.18

ADOPTED BY:

Town Council
19 September 1990
7 February 2018

PREPARED BY: Legislative Services

DATE: 7 February 2018

TITLE: RECORDS MANAGEMENT POLICY

POLICY STATEMENT

Advances in the Town’s information technology strategies and changes in the electronic world now affect records and document management. With the advent of the Town’s official electronic records management system, the need for a specific Records Management Policy addressing non-electronic and electronic records and information has become apparent.

2. DEFINITIONS

- 2.1 **“Archival Records”** An archival record is a record that has been reviewed for permanent retention because of its historical, fiscal, legal, operational or administrative value.
- 2.2 **“Retention Schedule”** This schedule describes the records under the custody and control of the Town of Strathmore, specifies how long the records must be kept as they progress through the phases of their life cycle, and what their final disposition will be at the end of their life cycle.
- 2.3 **“Convenience Copy”** means a printed or stored copy of the official record used for ease of reference that is not altered from the master records. Such records are transitory in nature and can be discarded when no longer useful.
- 2.4 **“Disposition”** refers to actions taken with regard to Town Records that have reached the end of their life cycle. This could be destruction, or permanent retention.
- 2.5 **“Electronic Document Management System” (EDMS)** EDMS is a software system for organizing and storing different kinds of digital documents.

- 2.6 **“Electronic Record”** An Electronic Record is information that is recorded or stored on any medium in or by a computer system or other similar device and can be read, reproduced, or perceived by a person or a computer system or other similar device.
- 2.7 **“Electronic Signatures”** An Electronic Signature consists of one or more letters, characters, numbers or other symbols in digital form incorporated in, attached to or associated with an electronic document.
- 2.8 **“Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c. F-25, as amended (FOIPP)”** Alberta legislation, which provides the public with a right of access to Records held by the Town of Strathmore as a public body and protects the privacy of personal and sensitive information.
- 2.9 **“Naming Conventions”** Naming conventions for Documents and Records are a set of standard rules and formats to assist in their subsequent retrieval and handling.
- 2.10 **“Official Record”** The most complete record of an action, transaction or decision. It is the records that you rely on to take action and make decision. The official record is the complete record maintained in the electronic system.
- 2.11 **“Personal Information Bank”** A Personal Information Bank (PIB) is a directory list of the types of personal information held by the Town as a public body.
- 2.12 **“Record”** A Record is information in any form and includes notes, images, audiovisual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
- 2.13 **“Transitory Documents”** Transitory documents are document that have temporary usefulness and are only required for the completion of a routine action, or the preparation of another document or record.
- 2.14 **“Vital Records Program”** A Vital Records Program identifies and protects records containing vital information necessary for an organization to continue its key functions and activities in case of an emergency/disaster.

3. OVERALL PROGRAM

- 3.1 The Records Management Program ensures that all information assets, regardless of media or format, will be managed in a cost effective and efficient manner, while fulfilling all legal, archival, operational and fiscal requirements.

3.2 The records management program incorporates the following functions:

- Manage physical, electronic and inactive boxes
- Easy retrieval and search
- Email integration for emails that are declared records
- Class and metadata
- Consistent naming conventions
- Identification of vital records
- Retention Schedule and legal holds
- Permissions including deletion of records and access
- Workflows
- Version control and duplicate entries

4. RESPONSIBILITIES

Chief Administrative Officer

4.1 The CAO approves the Records Management Procedure and Retention Schedule.

4.2 The CAO must authorize the destruction of original copies of records as outlined in the Records Management Procedure.

Department Heads

4.3 All Department Heads are responsible for ensuring that each Town department is adhering to the Records Management Policy and Procedure.

4.4 All Department Heads are responsible for approving applicable Notice of Eligibility for Destruction of Records Requests.

Manager of Legislative Services

4.5 The Manager of Legislative Services is responsible for overseeing the Records Management Program including retention of records, destruction of records, security and storage of records and the classification and maintenance of all vital records.

All Employees

4.6 All Employees must ensure that Town records are placed in the Town's official electronic records management system to ensure that records are protected and not destroyed or removed from the custody and control of the Town.

4.7 All Employees are responsible for maintaining and filing of all documents created. Employees must not remove records in the custody and control of the Town from Town premises unless such removal is required to conduct Town business.

- 4.8 All Employees must abide by the Records Management Procedure attached hereto which provides direction and guidance for the organization on all records management procedures.

5. ELECTRONIC RECORDS

- 5.1 Electronic records, including e-mails are handled in the same manner as paper records. The class structure and retention schedule should be followed when handling electronic records and e-mails in the identical way that paper records are handled. Any changes to the class structure in the EDRMS will be done by a change management form.

6. SECURITY

- 6.1 All records must be handled in a secure manner. Wherever possible, file cabinets shall be locked after regular business hours. Any records containing personal or confidential information must be kept under lock and key.
- 6.2 Security has been built into the records management software program to ensure appropriate access for staff. A change management form must be used for any changes to security in the EDRMS.

7. STORAGE

- 7.1 Responsibility for the security and storage of all Town documents shall be the jurisdiction of the Manager of Legislative Services. The orderly and guaranteed safe storage of Town documents shall be provided by the implemented filing systems, the identification and protection of essential records, archival documents and the fire protection of records as necessary.

8. RECORDS RETENTION AND DISPOSITION

- 8.1 To protect the interests of the Town, it is important to ensure that records are destroyed in an appropriate and secure manner. An annual date for the disposition process will be December 31st of each year. All confidential records authorized for disposal shall be physically destroyed, i.e. shredded.
- 8.2 The Disposition process will have the following steps:
- a) The Notice of Eligibility for Destruction of Records Requests shall be distributed on December 1 of each year to each Department Head.

- b) Each Department Head that receives a Notice of Eligibility can approve or reject the notice.
- c) After approval from the Department Head, the CAO will authorize all Notice of Eligibility for Destruction of Records.
- d) After CAO authorization is given, the Manager of Legislative Services will arrange for destruction of all authorized records. A certificate signed by the Manager of Legislative Services shall attest to the time and place of the destruction of the Records, and contain a detailed list of the Records destroyed.
- e) Legislative Services shall keep an index of:
 - Records destroyed and all certificates and authorizations;
 - Records retained longer than the period provided in the schedule;
and
 - Records retained permanently.
- f) The certificate and the index shall be retained by the Town on a permanent basis.

9. END OF POLICY

