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**SECTION: Municipal Government**

**NO: MU-IN-08**

**REFERENCE: Information Management**

**Date: April 22, 2024**

**Next Review Date:  
April 2026**

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**TITLE: PAPER RECORDS MANAGEMENT PROCEDURE**

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## **1.0 PURPOSE**

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- 1.1 The purpose of the paper records management procedure is to ensure that paper records (physical records) are systematically and efficiently managed and protected from their time of creation or receipt (records life cycle) until their ultimate disposition in support of the Corporation's business interests and risk management initiatives, and in compliance with applicable Federal, Provincial and Municipal legislated record-keeping requirements. This procedure will also adhere to the Corporate Records and Information Management Policy, Records Retention By-law and Schedule, other related Corporate Policies and Procedures and the historical/archival needs of the Corporation.
- 1.2 This procedure advises City employees, management staff and Council of their responsibilities regarding management of paper records.
- 1.3 All documents and records created are the property of The Corporation of The City of Dryden.
- 1.4 To identify the procedure for requesting paper records held within the Paper Records Management Program.
- 1.5 To support the safeguarding of the Corporation's legal position by ensuring the record's integrity and authenticity can be demonstrated beyond reasonable doubt.

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## **2.0 SCOPE**

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2.1 The following are subject to this policy:

- (a) All paper records created, received and maintained by any department as evidence of transactions of business and legal obligations;
- (b) City of Dryden employees (regular, part-time, casual or contract);
- (c) City of Dryden members of Council;
- (d) City of Dryden Boards and Agencies (Library Board, OPP Police Services Board, Museum Advisory Board); and,
- (e) Contractors, Agents and Consultants.

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## **3.0 DEFINITIONS**

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**See Appendix "A" of the Corporate Records and Information Management Policy**

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## **4.0 GUIDING PRINCIPLES, PROCEDURES & RESPONSIBILITIES**

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4.1 The Paper Records Management procedure:

- (a) Ensure that all paper records created on behalf of the City of Dryden are declared to be corporate records and managed in accordance with the Records and Information Management Program, retention schedule, and applicable legislation and regulations;
- (b) Ensure that paper records with open access are shared as corporate knowledge, thereby improving efficiency and productivity;
- (c) Ensure that corporate records in an individual's custody or control (office of record), including Council members, are accessible and retrievable for the entire period set out in the retention schedule;

- (d) Ensure all requests for records follow the Request for Corporate Records section 5.0;
- (e) Provide efficient and prompt disposal of records when their administrative, legal, and fiscal value has ceased and all requirements of the City of Dryden by-laws have been met, while preserving those records of enduring value to the City;
- (f) Ensure no records are destroyed, deleted or erased without proper authority and only in accordance with the approved retention schedule;
- (g) Ensure compliance to the approved corporate file classification system (TOMRMS) and File Plan;
- (h) Prevent the creation of unnecessary records, including forms, directives and reports;
- (i) Ensure that transitory information or non-records are disposed of as soon as their use has expired to limit the volume of unnecessary information within the City;
- (j) Provide for the storage and retrieval of inactive records;
- (k) Provide for ongoing training of staff involved in delivering and using the records management program;
- (l) Provide for the preservation of corporate history;
- (m) Ensure that filing and storage space is economically utilized;
- (n) Ensure that vital and archival records are protected in the event of a disaster and that staff turnover does not affect the corporate memory or its records; and,
- (o) Ensure the safeguarding of the Corporation's legal position by following all records management, retention and disposal policies and procedures to ensure integrity and authenticity beyond reasonable doubt.

4.2 Any paper document containing information that documents the business of the City must be filed into the City approved paper-based record management system with a designated records series with an applicable retention schedule.

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## **5.0 REQUEST FOR CORPORATE RECORDS**

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- 5.1 The requester must request in writing on the approved request form to the Office of Record (official holder of the document) and provide as many details as possible for the document they are looking for; details should include name of document or content description, type of document, year or approximate date of occurrence and any other details that will assist in the location of the document.
- 5.2 The requester must provide their name and purpose of the request; the purpose is required to determine if the request is in response to possible litigation which may require a legal hold being placed on the document.
- 5.3 The requester must indicate the approximate date or time frame of when they require the document by.
- 5.4 For corporate records held by the Administration Department, requests should go to the Records & Legislative Coordinator who will make the decision whether the request needs to go to the Clerk or designate depending on each request's unique set of circumstances.
- 5.5 For all other departments the request should go through the department manager or supervisor.
- 5.6 Members of Council requesting records must use the approved request form and submit the request to the Clerk or designate.

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## **6.0 ACCESS AND SECURITY**

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- 6.1 Records and information shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of The City of Dryden.
- 6.2 No employee shall remove information or records that are not available in the public domain from the premises of the City of Dryden without the explicit permission of their Director, the City Clerk or CAO.

- 6.3 No employee shall provide information and records that are not in the public domain to the public without explicit permission from the City Clerk (Freedom of Information Coordinator).
- 6.4 No employee shall disclose personal information of any City of Dryden employee or customer, associate or any other person whatsoever.
- 6.5 Records storage areas shall at all times be protected against unauthorized access.

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## **7.0 ROLES & RESPONSIBILITIES**

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- 7.1 The City Clerk has the overall responsibility for management of all information in The Corporation of The City of Dryden including the management of paper records.
- 7.2 The Records & Legislative Coordinator is responsible for administering the Records and Information Management Program, including the management of paper records.
- 7.3 The Senior Management Team and Department Managers will be responsible for becoming familiar with the Records and Information Management Program and this procedure. Managers will lead by example and ensure all their staff is aware of their responsibilities and obligations. Managers will ensure compliance with this policy and address non-compliance.
- 7.4 Departmental Champions will be responsible for assisting staff in the coordination of departmental activities as they relate to the management of paper records and this procedure.
- 7.5 Employees will familiarize themselves and comply with this procedure and any other related policies and procedures.

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## **8.0 COMPLIANCE AND VIOLATIONS**

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- 8.1 Compliance with the Paper Records and Information Management Policy under the guidance of the Records and Information Management Program and Records Retention Schedule, will ensure efficient storage, access to and disposal of records, and compliance with the Municipal Act, 2001, the Municipal Freedom of Information and Protection of Privacy Act, all other applicable legislation and the City's Records Management By-laws, Policies and Procedures.
- 8.2 Users found to be acting in contravention to this policy shall be dealt with according to the City's Code of Conduct Policy (HR - CO - 01) and (HR - DI - 01) Discipline Policy.

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## **9.0 RELATED DOCUMENTS / SYSTEMS:**


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- 9.1 Documents related to the Paper Records Management Procedure:
- (a) Corporate Records and Information Management Policy
  - (b) Retention By-law & Schedule
  - (c) Records Disposition Procedure and Forms
  - (d) File Classification System (TOMRMS) and File Plan
  - (e) Vital Records Policy
  - (f) Paper Records Request Form
  - (g) Legal Hold Form

History			
<b>Draft Date:</b>	June 2010	<b>Final Draft Date:</b>	September 2011
<b>Approval Date:</b>	July 16, 2012	<b>Approved by:</b>	By-law 3979-2012
<b>Amendment Date:</b>	April 22, 2024	<b>Approved by:</b>	CAO
<b>Amendment Date:</b>		<b>Approved by:</b>	
<b>Amendment Date:</b>		<b>Approved by:</b>	
<b>Amendment Date:</b>		<b>Approved by:</b>	

See Attached Forms:

Request for Records  
Request & Return of Records  
Legal Hold

 <b>DRYDEN</b>		<b>City of Dryden Records Management Request for Records Form</b>
Date:		
To: Records & Legislative Coordinator		
Requester Name:		
Requester Department:		
Requester Phone Number:		
Purpose for Request:		
<b>Record Requested (description of records):</b>		
Name of Document:		
Content of Document:		
Type of Document: (Letter, Report, Policy, etc)		
Document Application: (Excel, Word, PDF, Email, etc)		
Year or Approximate Date:		
Other Details to assist in locating document:		
Date Document Required By:		
Signature of Requester:		





Records or copies of records approved for release must be initialed by the person releasing the records and initialed again when records are returned.

Initial

[illegible]



## City of Dryden Records Management

### Legal Hold Form

**Legal Hold** – a legal hold is an action taken on records to ensure that they are not dispositioned as part of their normal retention schedule life and are kept possibly beyond their scheduled date of destruction. Records under legal hold are protected from any possible destruction until the hold is lifted.  
***This signed form must be forwarded to the City Clerk.***

Date:
Department:
Department Contact:
Department Phone:

Purpose of Legal Hold:

Description of Records:	File Plan Class Code:	Date of Records From:	To:

Manager Approval Name:	Signature:	Date:
City Clerk Approval Name:	Signature:	Date:
Records and Legislative Coordinator:	Signature:	Date:

#### Legal Hold Released:

Explanation:	Description of Records:	Class Code	Disposal Date:
City Clerk Signature - Approval to Release Records:		Date	
Records and Legislative Coordinator Signature:		Date:	