



CITY POLICY

SECTION: Municipal Government

NO: MU-IN-04

REFERENCE: Information Management

Date: March 24, 2025

**Next Review Date:
March 2027**

TITLE: CORPORATE RECORDS AND INFORMATION MANAGEMENT

POLICY STATEMENT

It is the policy of The Corporation of The City of Dryden to have a corporate-wide records and information management program that maintains, protects, retains and disposes of records in accordance with operational needs, governmental regulations, fiscal and legal requirements, historical and reference purposes. This policy will support business continuity and provide necessary accountability to preserve the Corporation's memory.

1.0 PURPOSE

- 1.1 The purpose of the records and information management policy is to ensure that records and information are systematically and efficiently managed and protected from their time of creation or receipt until their ultimate disposition (records life cycle) 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 policy will also adhere to the Records Retention By-law, Corporate Policies and Procedures and the historical/archival needs of the Corporation.
- 1.2 The policy also provides a framework for incorporating records and information management principles into The Corporation of The City of Dryden's day-to-day operations and for deploying a corporate Records and Information Management Program to manage the Corporation's records and information.
- 1.3 This policy advises City employees, management and members of Council of their roles and responsibilities regarding records and information management.

2.0 OBJECTIVES

2.1 This policy is established to achieve the following:

- (a) To make all City of Dryden employees aware of The Corporation of The City of Dryden's Records and Information Management Policy and Records and Information Management Program;
- (b) To ensure that the City of Dryden's investment in records and information management is used in the most productive manner to the greatest possible benefit of the City of Dryden;
- (c) To ensure that all City of Dryden records are identified and retained as corporate records and shared as corporate knowledge, thereby improving efficiency and productivity;
- (d) To ensure that the City of Dryden's 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;
- (e) To file records within either a paper based Records Management System or the Electronic Document Records Management System (as applicable) based upon the approved classification system;
- (f) To dispose of records in the normal course of business according to Council approved records retention schedules; and,
- (g) To support the safeguarding of the Corporation's legal position by ensuring the record's integrity and authenticity can be demonstrated beyond reasonable doubt.

3.0 SCOPE

3.1 The following is subject to this policy:

- (a) All information and records created, received and maintained by any department/unit as evidence of transactions of business and legal

This policy is subject to any specific provisions of the Municipal Act, or other relevant legislation or Union agreement.

obligations. This includes records in any medium (electronic, paper, flash drives, disks, video, pictures, maps, etc.);

- (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, Dryden Police Services Board, Museum Advisory Board); and,
- (e) Consultants, Contractors and any custodians of City records and information.

4.0 DEFINITIONS

See Appendix "A" Glossary of Terms and Definitions - attached

5.0 RECORD MANAGEMENT GUIDING PRINCIPLES

- 5.1 Records, whether or not created or stored on City-owned equipment, may be subject to disclosure under the Municipal Freedom of Information and Protection of Privacy Act or as a result of litigation, and as such must be properly retained (legal hold). However, prior to such disclosure, The City of Dryden evaluates all requests for information submitted by the public for compliance with the provisions of the Act or other applicable law.
- 5.2 Emails or documents that are sent or received using a non-City of Dryden address but which relate to official City business constitute official City Records. In these cases, normal record keeping requirements must be observed.
- 5.3 The Records and Information Management policy shall:
 - (a) Ensure that any record created on behalf of The City of Dryden is declared to be a corporate record and managed in accordance with the Records Management Program, retention schedule, and applicable legislation and regulations;

- (b) Ensure that information and records in an employee's custody or control (office of record) are accessible and retrievable (index and location of records) for the entire period set out in the retention schedule;
- (c) Provide efficient and prompt disposal of information and 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;
- (d) Provide efficient use of electronic records management systems and ensure no records are stored exclusively on any employees' hard drive;
- (e) Ensure compliance to the corporate file classification system and File Plan;
- (f) Prevent the creation of unnecessary records, including forms, directives and reports;
- (g) Ensure that transitory information or non-records are disposed of as soon as their use has expired to limit the volume of unnecessary information stored on the City's systems;
- (h) Provide for the storage and retrieval of inactive records;
- (i) Provide for ongoing training of staff involved in delivering and using the records and information management program;
- (j) Provide for the preservation of corporate history;
- (k) Ensure that no records are destroyed, deleted or erased, including e-mail, without proper authority and only in accordance with the approved retention schedule;
- (l) Ensure that filing and storage space is economically utilized; and,
- (m) Ensure that vital and archival records are protected.

5.4 Any document containing information that is evidence of the business of the City must be moved to the City's EDRMS system or be printed and filed into other City approved paper-based record management system, with a designated records series with an applicable retention schedule.

5.5 Components of an effective Records Management Program include:

- (a) Policy and Procedure Management;
- (b) Electronic Documents Records Management System (EDRMS);
- (c) Records Retention By-law and Schedule;
- (d) E-mail Management;
- (e) Archives Management;
- (f) Active and Inactive Records Management;
- (g) Vital Records Protection and Management;
- (h) Electronic Equipment Records Management;
- (i) Disaster Recovery Planning;
- (j) Digital Imaging Program;
- (k) Forms Management;
- (l) Document Types Inventory;
- (m) Annual Disposition and Purge Program; and,
- (n) Records Management Training.

6.0 ACCESS AND SECURITY

- 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 any 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 (Municipal 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 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata for all records in the EDRMS.
- 6.6 Records storage areas shall at all times be protected against unauthorized access.
- 6.7 Access to server rooms and storage areas for electronic records media shall be protected against unauthorized access.

7.0 ROLES & RESPONSIBILITIES

- 7.1 The City Clerk has overall responsibility and control for management of information in The City of Dryden including the records management program in accordance with the Municipal Act, 2001.
- 7.2 The Corporate Records Management Coordinator shall be responsible for:
 - (a) Administering the records and information management program;
 - (b) Establishing policies and standards;
 - (c) Establishing and implementing records retention programs;
 - (d) Providing education and training to users;
 - (e) Reviewing annually the retention schedule, policies and procedures;
 - (f) Initiating and coordinating annual file purges; and,
 - (g) Maintaining the EDRMS including digital imaging functions.

The Records Coordinator will coordinate with departments the process of storing all records according to the records and information management policy and procedures. The Coordinator will provide updates to the City Clerk on developments in the legal and statutory environment that may impact on the record keeping and records management practices of the City. The Coordinator shall perform periodic audits, checks and reviews on the EDRMS.

- 7.3 The Manager of Information Technology shall be responsible for the technical requirements of the EDRMS, backing up the system on a regular basis and providing maintenance of the existing systems and support in the development of new systems. The Manager will troubleshoot issues and if required, be the liaison with vendor technical support groups.

- 7.4 The Senior Management Team and Department Managers shall be responsible for becoming familiar with the records and information management program and assist in the coordination of departmental activities as they relate to information and records management. Managers shall enhance accountability, transparency and improvement of service delivery by ensuring sound information and records management practices are implemented and maintained. Managers will lead by example and ensure all their staff is aware of their responsibilities and obligations. Senior Management and Department Managers shall ensure compliance with this policy and address non-compliance.
- 7.5 Departmental Champions (liaisons) shall be responsible for assisting staff in storing electronic records in the EDRMS according to records management policies and procedures. The champions shall coordinate departmental activities as they relate to records management and inform the Records Management Coordinator of any changes, additions, suggestions or challenges their department faces in the implementation and day-to-day operations to be performed according to the records and information management policies and procedures.
- 7.6 Employees shall familiarize themselves and comply with this policy and related policies and procedures. Designated employees will be responsible for using the EDRMS in their day-to-day operations.
- 7.7 Human Resources shall advise the Records Management Coordinator of any changes to the employment list such as new employees, terminated employees or transfers between departments. A list of current employees shall be provided to the Records Management Coordinator periodically and at the end of each year in order to validate the users in the EDRMS and update the database if required.

8.0 COMPLIANCE AND VIOLATIONS

- 8.1 Compliance with the Corporate Records and Information Management Policy under the guidance of the Records and Information Management Program and Records Retention Schedule, shall ensure compatibility between the paper system and the electronic records system (EDRMS), 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 and applicable By-laws.

This policy is subject to any specific provisions of the Municipal Act, or other relevant legislation or Union agreement.

- 8.2 Users found to be acting in contravention to this policy shall be dealt with in accordance with the City's Code of Conduct Policy (HR - CO - 01) and (HR - DI - 01) Discipline Policy.

9.0 RELATED DOCUMENTS / SYSTEMS:

- 9.1 Documents related to the Records and Information Management Policy & Program:

- (a) Appendix "A" Glossary of Terms and Definitions
- (b) Retention Bylaw & Schedule
- (c) E-Mail Policy
- (d) Acceptable Use of Electronic Communications Policy
- (e) Council Use of Electronic Communications Policy
- (f) Vital Records Policy
- (g) Records Disposition Procedure & Forms
- (h) Electronic Equipment Records Disposal Procedure & Form
- (i) Paper Records Management Procedure & Request Form
- (j) Social Media Policy
- (k) Freedom of Information & Protection of Privacy Policy
- (l) Document Naming Protocol
- (m) City of Dryden Classification Scheme and File Plan
- (n) Open Text, Kofax and Autostore Operational Manuals

- 9.2 Records Classification System – Primary Subjects:

- | | |
|---------------------------------------|----|
| (a) Administration | AD |
| (b) Councils, Boards & By-laws | CO |
| (c) Development & Planning (incl ED) | DP |
| (d) Environmental Services | EN |
| (e) Finance and Accounting | FI |
| (f) Human Resources | HR |
| (g) Information Management | IM |
| (h) Justice | JU |
| (i) Legal Affairs | LE |
| (j) Media & Public Relations | ME |
| (k) Protection & Enforcement Services | PR |
| (l) Recreation & Culture | RE |
| (m) Social & Health Care Services | SO |
| (n) Transportation Services | TR |
| (o) Unclassified | UN |
| (p) Vehicles & Equipment | VE |

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History			
Draft Date:	December 2009	Final Draft Date:	May 2012
Approval Date:	July 16, 2012	Approved by:	By-law 3979-2012
Amendment Date:	February 24, 2021 March 24, 2025	Approved by: Approved by:	CAO CAO



Appendix "A"

SECTION: Municipal Government

NO: MU-IN-04 – "A"

REFERENCE: Information Management

Date: March 24, 2025

**Next Review Date:
March 24, 2027**

**TITLE: GLOSSARY OF TERMS AND DEFINITIONS FOR CORPORATE
RECORDS AND INFORMATION MANAGEMENT**

1.0 PURPOSE

- 1.1 The purpose of this glossary is to provide a standard and promote knowledge within the organization relating to the terms used in corporate records and information management policies, procedures, guidelines, and activities.

2.0 DEFINITIONS

Active Records - are records that are referred to and used on a regular basis and easily accessible and deemed by the applicable department to be current.

Archives/Archiving - is a repository for records that have been appraised for permanent or long term retention. It is the removal of information from an active or production environment (system) and transfer to another lower-cost media along with an index for long-term preservation at an offline (usually offsite) location.

Backup - is an exact copy of the data, the operating system, and the application data that is created only as a precaution in case the original data is lost or destroyed due to an unforeseen event such as a natural or man-made disaster.

Champion - is the person responsible for a department's records and information management program, including file organization and maintenance, records transfer and records disposition; and for maintaining contact with the Records Management Coordinator.

Classification System/Scheme - is the system by which records are arranged in a logical and systematic order to preserve records with ease of retrieval.

Control of Records - this is the individual or department that has the overall responsibility for original records for a particular record series and may be referred to as the owner of the records or the Office of Record.

Controlled Vocabulary - is a list of standardized terminology, words, or phrases, used for indexing and information retrieval usually in a defined consistent format; also referred to as naming protocols or naming conventions.

Corporate Record - a corporate record is information recorded on a tangible medium (paper or electronic are examples) and intentionally retained and managed as evidence of an organization's activities, events or transactions for business, legal, regulatory and/or historical purposes. In addition, records are the memory of the organization, the raw material for decision making and the basis for legal defensibility. Examples could include but are not limited to:

- (a) Memoranda/Letter;
- (b) Corporate Policy;
- (c) Resolutions and By-laws;
- (d) Contracts and Agreements;
- (e) Video Tapes and Films;
- (f) Council Agendas and Minutes;
- (g) Record Emails;
- (h) Corporate Reports;
- (i) Personnel records such as Overtime Approval Forms, Absence Reporting Forms, etc.;
- (j) Correspondence received by representatives of the Corporation; and,
- (k) Correspondence sent by representatives of the Corporation.

Corporation - means The Corporation of The City of Dryden.

Custodian of Records - is the individual or department that has City records in their physical possession and is responsible for their safekeeping and lifecycle management according to the applicable retention schedule.

Destroy - refers to the destruction of records without any copy being retained, generally through confidential shredding. In electronic records this means records are considered destroyed when a definitive obliteration beyond any possible reconstitution is performed.

Digital or Electronic Records - are created whenever someone generates e-mail messages or uses word processing, database, spreadsheet or presentation software to enter data. Electronic records are also created when existing paper or other records are scanned and digitized to convert them into digital format.

Disaster Recovery - provides an orderly process following a disaster which clearly identifies the vital records and information that should receive priority during the salvage period.

Disposal Form - is the form used to authorize the destruction of records and to provide documented evidence of the destruction.

Disposition Notice - a notification from the Records Management Coordinator for the destruction of records once the retention period has expired and the record has fulfilled its legal, fiscal or historical value.

Disposition - the final fate of a record. There are only two (2) potential dispositions available to records - they are either destroyed or permanently retained, in accordance with the applicable Retention Schedule.

Document - is an individual item of written information in any form (paper or electronic) which constitutes the smallest unit of filing. This includes traditional paper letters, memos and reports as well as electronic formats such as word processing documents, spreadsheets, emails and databases. Documents become records when they meet the definition of a "record".

Document Imaging - is the process of capturing electronically scanned images of paper documents and records to preserve the document or record and maintain the ability for rapid search and retrieval.

EDRMS - means the designated corporate Electronic Document Records Management System.

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Electronic Records Management - is the capture, storage, access and tracking of digital documents and records.

Email - a note or memorandum that is electronically prepared and distributed to one or more persons. It may or may not be converted to a paper Corporate Record by virtue of being printed from its electronic form.

Email Management - the storage, retention management for and archiving of messages contained in corporate or government email systems.

File - a set of related documents and records (regardless of format) organized and kept together.

File Classification Scheme/System - a system that arranges the records of the corporation's business activities in a logical manner, breaking down activities from broad to narrow topics. It also identifies the division/unit (Office of Record) responsible for the management of each group or series of the corporation's records.

File Plan - a file plan specifies how records are organized hierarchically in a records management environment. A file plan is similar to a collection of containers/folders; a container/folder represents a holding place into which you place records related to a common subject or theme. File Plans are also used for defining records security and retention rules against these containers/folders. File Plans can be paper or electronic or both.

Fiscal Value - the value attributed to a record series involving financial transactions.

Historical or Archival Value - the value attributed to a record series that documents the organization's accomplishments and will aid future researchers with an interest in the organization; also provides evidence of organizational structure, procedures and transactions.

Inactive Records - are those records on any media that are accessed, referred to and used infrequently but that must be retained according to the retention schedules to meet operating needs or legal requirements.

Legal Hold - 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.

Legal Value - the value inherent in records that provide legal proof of business transactions and activities.

Lifecycle Management - means applicable retention rules are applied to records through a formal process in which pre-defined retention/disposition rules and policies are applied against all declared records so only the relevant records are deleted at the appropriate time.

Medium (Media) - the physical form of recorded information. Includes paper, film, magnetic tapes and disks, CDs, sticks, thumb drives, memory cards, etc.

Metadata - data about data. For a document, that is data such as its author, name, creation date, department, document year, type or any other information that can be associated with it. This data is entered into fields on the electronic profile forms.

Municipal Freedom of Information Coordinator - person (or position) who has been designated by Council and charged with the responsibility of overseeing the administration of the FIPPA/MFIPPA Act; and coordination of freedom of information and privacy activities. This includes complying with the Act and ensuring that personal information held by the organization is accurate, up to date and collected, used and disclosed only as authorized. (FIPPA = Freedom of Information and Protection of Privacy Act; MFIPPA = Municipal Freedom of Information and Protection of Privacy Act)

Naming Protocols or Conventions - a list of standardized terminology, words, or phrases, used for indexing and information retrieval usually in a defined consistent format; also referred to as controlled vocabulary.

Non-Record - a record which does not constitute a Corporate Record. Examples include, but are not limited to:

- (a) An email that documents something one would ordinarily have discussed over the telephone – such as confirmation of a meeting date or place, advising that someone is or will be absent from the office, provision of the correct spelling of a word, a thank-you for doing something, etc.
- (b) A document which does not contain any material relevant to the business of the Corporation; for example, an unsolicited advertisement from an outside agency.
- (c) Any email or document on which the recipient was copied or blind-copied - because the originator (Office of Record) and/or the direct recipients will be responsible for the retention of the original record.

- (d) Any attachment to an email. Although the attachment itself may constitute a Corporate Record, it is not considered part of a Record Email. The creator of the attachment is the person responsible for ensuring it is appropriately retained. Recipients of attachments are not responsible for retaining them for any retention period.
- (e) Duplicate copies of records used for information or convenience only.

Office of Record - identifies the division (or department or unit within a division) that is considered to be the official holder of the original records for that particular record series.

Permanent Record - an official business record that legally must be kept indefinitely or one considered to be so valuable or unique in documenting the fiscal, legal, administrative or operational history of the City that it is never destroyed but it may be placed in storage.

Physical (Paper) Records Management - means that the same underlying recordkeeping processes are applied to manage the organization's traditional physical (paper) records. Tracking individual records and managing physical storage space are part of Physical Records Management.

Policy - Council approved rules that direct staff in making consistent decisions; organized into a Municipal Policy and Procedure Manual.

Primary Heading - the highest level of classification in the classification scheme.

Procedure - a procedure relating to the direct delivery of programs and services usually governed by policy which has been approved by Council.

Public record - a record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

Purge - the process of examining files to determine what records are no longer required to be retained and then disposing of them in a secure manner.

Records Coordinator - the individual responsible for coordinating all records and information management activities within an organization including the development of policies and procedures and the setting of objectives for the organization's Records and Information Management Program; and works with department champions to ensure that the recorded information is systematically managed.

Record Email - an Email which constitutes a Corporate Record. Examples include:

- (a) An Email that responds to a business-related question or series of questions.
- (b) An Email created as a note-to-file.
- (c) Any business related Email is a Record Email for the person who created it, and for any person who directly received it, but not for those who are copied on it, blind-copied on it, or who receive it as a forward from someone else.

Records Management - is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. Records management encompasses the policies, standards, systems, procedures, operations, space, equipment, supplies, and staff necessary to manage recorded information.

Records Series - a group of identical or related records that are used, filed, and disposed of in the same way.

Retention Schedules - a timetable that authorizes and provides for the transfer, disposal or permanent retention of all Corporate Records. Retention Schedules are approved and adopted by by-law of Council.

Retention Period - the period of time that a Corporate Record must be retained before disposition. Retention Periods are listed on Retention Schedules.

Secondary Heading - the second level of the classification scheme.

Security - records shall at all times be protected against unauthorized access for confidential or private information (Municipal Freedom of Information and Protection of Privacy Act) and to protect against tampering to safeguard their authenticity and reliability as evidence of the business.

Signing Authority - a person responsible for the operation and management of a division or department and designated by an office of record with authority to approve the relocation, destruction or retention of records.

Statutes - references to laws, as amended from time to time, that are applicable within the Province of Ontario.

Superseded - an official record that is kept for an indefinite period until it is replaced by an updated official record and then it is destroyed.

Taxonomy - a structure used for classifying items into a hierarchy of categories and subcategories.

TOMRMS - The **O**ntario **M**unicipal **R**ecords **M**anagement **S**ystem; a complete classification/indexing system for managing records and retention based on current legislation; includes a citation table referencing statutes and regulations.

Transitory Documents - documents that have a very short term use and significance that are not part of an organization's official records management system. The "non-record" or "transitory" documents can be disposed of with little or no written authorization once their immediate usefulness has passed.

Tertiary Heading - the third level of classification in the classification scheme (usually the file series level).

Vital Records - are those records that are essential for the organization to operate and the records that are necessary to meet legal, ethical and moral obligations to the people (constituents, public clients, customers) served by the organization. Vital records may also be defined as records, which in the event of disaster, would be required to continue business and operations with the least amount of financial loss or inconvenience.

History			
Draft Date:	May 2011	Final Draft Date:	June 2012
Approval Date:	July 16, 2012	Approved by:	By-law 3979-2012
Amendment Date:	Feb 24, 2021	Approved by:	CAO
Amendment Date:		Approved by:	
Amendment Date:		Approved by:	