



8(a)

STAFF REPORT

TO: Municipal Council
FROM: Erin Hartley, Deputy CAO
APPROVED BY: Warren MacLeod, CAO
DATE: November 9, 2022
SUBJECT: **Records Management Policy**

ORIGIN

2021-22 budget approval for implementing an electronic records management system.

RECOMMENDATION

Be it resolved that Council of the Municipality of the District of Shelburne approve the attached Records Management Policy as presented.

BACKGROUND

The Municipality of Shelburne approved funds from this year's budget to move from paper to electronic records management. Laserfiche software has been purchased and installed for staff including the Association of Municipal Administrators of Nova Scotia (AMANS) classification scheme and retention schedule. This electronic records management system is in place.

A Records Management Coordinator has been hired to implement this project. Her training component is now complete, all software is in place and staff are beginning to transition to the new system.

DISCUSSION

A Records Management Policy related specifically to the AMANS system is necessary to have clear and concise guidelines for record retention, management and destruction.

The attached policy outlines definitions, the management system, compliance, designated officer, adoption of the AMANS manual, integrity and authenticity of records, authorization to amend, record disposal or destruction, as well as the repeal of the former Destruction of Records Policy.

This policy was circulated to Council via email on November 2, 2022 as per MGA requirements.

Once this policy is approved, the process of moving from paper to electronic filing will begin moving more quickly with the ability to destroy paper copies of documents so there is no need to transport them to the new municipal building.

This will be a lengthy process. The plan is to work department by department to ensure adequate training and a reasonable comfort level of staff. Maintaining the quality and reliability of the new records management system is the primary goal, timeline and production are secondary.

ATTACHMENTS

Draft Records Management Policy



PURPOSE

1. It shall be the policy of the Municipality of the District of Shelburne to have a clear and concise policy which outlines records management.

DETAILS

2. This Policy may be cited as the Records Management Policy.
3. In this policy:
 - a. **Council** means the Council of the Municipality;
 - b. **Designated Officer** means the person designated and authorized by the Chief Administrative Officer (CAO) of the Municipality. In the absence of formal authorization this would be the Records Management Coordinator;
 - c. **Manual** means the AMANS Records Management Manual as amended from time to time;
 - d. **Record** includes books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by graphic, electronic, mechanical or other means, but does not include a computer program or any other mechanism that produces records;
 - e. **Records Management System** means the electronic system used by the Municipality to manage the records of the Municipality from record creation through to records disposal.
 - f. **Records Schedule** is a descriptive listing of records indicating the:
 - Primary / secondary titles and classification number;
 - Length of time each record shall be retained from date of creation or capture through active and semi-active use;
 - Method of disposition; ie. secure destruction or permanent archival retention.

Records Management System Established

3. The Records Management System currently used by the Municipality is authorized.

Compliance with the Records Management System

4. All records in the custody and control of the employees of the Municipality are the property of the Municipality. All records of the Municipality must comply with the Records Management System and this policy. All employees, management and Council of the Municipality must comply with this policy.

Designated Officer

5. The Designated Officer is responsible for the management and maintenance of the Records Management System.

Adoption of the Manual

6. The Designated Officer is authorized to adopt and maintain the Manual as part of the Records Management System. Records of the Municipality must be created, accessed, maintained and disposed of only as provided by the Manual. The Manual includes a Records Retention Schedule that prescribes the period of time that records are kept to meet the operational, legal, regulatory, financial or other requirements of the Municipality. The Records Retention Schedule also provides instructions as to the manner and time of the disposition of a record.

Integrity and Authenticity Maintained

7. The Records Management System must maintain the integrity and authenticity of records made or kept in the usual and ordinary course of business.

Authorization to Amend Manual

8. The Designated Officer is authorized to amend the Manual, consulting the AMANS Records Management Committee where such amendments impact or change the records schedule.

Disposal by Designated Officer

9. When the Designated Officer determines that the retention period for a given record described in the Records Retention Schedule has ended, the Designated Officer may allow the record to be destroyed or otherwise disposed of in accordance with the instructions outlined in the Records Retention Schedule and in consultation with stakeholders within the organization as detailed below:
- a) Destruction actions must always be formally authorized, allowing for staff to intercede if specific issues such as a government investigation, audit, freedom of information access request, litigation or legal claim require that destruction must be halted.
 - b) Records pertaining to any actual or pending government investigation, audit, freedom of information access request, litigation or legal claim should not be destroyed. There should be processes to impose a "legal hold" when specific requirements arise;
 - c) Records destruction should be undertaken in a manner that preserves the confidentiality of records, including the privacy of information about individuals;
 - d) All copies of records that are authorized for destruction, including security, preservation and backup copies, should be destroyed as soon as reasonably possible;
 - e) Records should be maintained to document the destruction actions. Certificates of destruction are generally provided by service agencies, and these are retained permanently, along with information about the records series title, date range and date of destruction; and
 - f) Records that are required by any enactment to be kept, and all minutes, bylaws, policies and resolutions of Council shall not be destroyed.

REPEAL

10. The Destruction of Records Policy approved by the Council of the Municipality of the District of Shelburne on February 27, 2017, is hereby repealed.

THIS IS TO CERTIFY that the Council of the Municipality of the District of Shelburne duly passed the policy respecting Records Management Policy on the ____ day of _____, 2022.

SIGNED this _____ day of _____, 2022

WARDEN PENNY SMITH

CHIEF ADMINISTRATIVE OFFICER, WARREN MACLEOD

Approved by Council: _____

Effective Date: _____