

 M O N C T O N	POLICY	Owner Department: City Clerk
	Records Management Policy	
Effective Date: November 3, 2014	Last Reviewed Date: January 1, 2018	
Approving Authority: Moncton City Council	Replaces No.: Policy 0225	

1. Policy Statement

This policy provides a framework for the management of all City of Moncton (the City) Records regardless of format, throughout its lifecycle. Records are of fundamental importance to an efficient, effective, open and transparent government. This policy will support a culture of informed decision making, transparency, and accountability with regard to the City’s information assets.

2. Purpose

A systematic approach to the management of Records of an organization is essential for their protection and preservation as evidence of past actions. A Records management system results in a source of information about business activities that can support subsequent activities and business decisions, as well as ensuring accountability to present and future stakeholders.

The management and safekeeping of all Records, is very important to maintaining the “official memory” of the City. Records must be authentic, readily accessible, protected and properly destroyed at end of their lifecycle. As such, this policy provides the following protocols to ensure municipal Records are secure, compliant with applicable legislation, and accessible to present and future users.

3. Policy Objective

The objective of the policy is to ensure the effective management of Records throughout their lifecycle.

4. Definitions

Accountability means that individuals and the municipality are responsible for their actions and may be required to explain them to others.

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Data means a collection of numbers, characters or symbols represented in a structure which once manipulated can become information to create Records or Non-records.

Digital corporate repository means the storage location for electronic records that are managed according to a scheduled lifecycle.

Disposition means the processes by which Records are managed at the end of their lifecycle.

Electronic information management system means the software application used to manage electronic and paper Records.

Information Lifecycle means the lifecycle of information from its creation or reception to its destruction.

Information Management Committee means an internal committee that provides recommendations on information management for the City.

Legal Hold means an affirmative act by an organization to prevent the destruction of Records and Non-records.

Metadata means the data describing context, content and structure of Records and information.

Municipal Record Authority (MRA) means the official guide for the management of municipal Records within the province of New Brunswick. The MRA provides:

- a suggested framework for the organization and description of records;
- approved retention and disposition schedules for those records.

Non-record means any information that does not support the business continuity of the municipality or provides evidence of business transactions and decisions.

Record means any information that supports business continuity of the municipality or provides evidence of business transactions and decisions regardless of physical or electronic file format.

Examples of these types of Records include, but are not limited to:

- prepared or received by any department pursuant to an Act of the Legislature or in connection with the transaction of public business;
- preserved or appropriate for preservation by a department;
- containing information on the organization, functions, procedures, policies or activities of a department, or other information of past, present or potential value to the Province.

Records and Information Management (hereinafter "RIM") means a field of management involving the administration of all business records through their lifecycle.

Retention schedule means a timetable that describes the lifespan of a Record during its information lifecycle.

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Structured information means any information ordered in a defined and previously known format so humans and /or applications handling that information know where to find it.

Un-structured information means any information that has no identifiable structure or organized format of any kind.

5. Applicability

This policy applies to all employees, elected officials and representatives of the City, contractors, citizen members of committees, and volunteers acting on behalf of the City of Moncton.

The City is subject to the following laws as it relates to Records management:

- Archives Act, S.N.B. 1977, c.A-11.1 as amended
- Electronic Transactions Act, S.N.B. 2011, c.145 as amended
- Evidence Act, R.S.N.B. 1973, c.E-11 as amended
- Local Governance Act, S.N.B. 2017, c. 18
- Official Languages Act, S.N.B. 2002, c.O.0.5 as amended
- Personal Information Protection and Electronic Documents Act, R.S.C. 2000, c.5 as amended
- Public Records Act, S.N.B. 2011, c.212 as amended
- Right to Information and Protection of Privacy Act, S.N.B, 2009, c.R-10.6 as amended

6. Roles and Responsibilities

1. Councillors shall:

- a. Adhere to this policy;
- b. Be accountable for all Records created for or on behalf of, the City as related to their position;
- c. Seek the assistance of the RIM Coordinator if unsure how to proceed regarding issues related to Records; and
- d. Report any violations or concerns regarding the management of Records to the RIM Coordinator in a timely manner.

2. City Manager & General Managers shall:

- a. Support the development and application of RIM policies throughout City; and
- b. Ensure resources are available for the effective implementation of RIM systems and operations.

3. The Records & Information Management Coordinator (hereinafter RIM Coordinator) shall:

- a. Be responsible for all aspects of Records management within the City, including the design, implementation and management of Records, and for training Record Keepers on Records management systems and procedures;
- b. Provide policies, standards and guidelines for RIM systems at the City;
- c. Be responsible for Records transfer to the provincial Archives; and
- d. Be responsible for the development and maintenance of Records security models and protocols.

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4. Directors & Managers shall:

- a. Ensure that employees comply with RIM policies;
- b. Support effective organization of information resources; and
- c. Address all concerns and issues brought forward by Employees with regard to RIM, including notifying the RIM Coordinator as needed.

5. The Director of Information Systems shall:

- a. Ensure information system resources are available for the effective implementation and maintenance of RIM technological infrastructure; and
- b. Maintain adequate technological infrastructure to ensure the integrity and security of all electronic Records for the City.

6. The Records Keepers shall:

- a. Upload all electronic Records into the corporate repository;
- b. File paper Records in Service Area file cabinets;
- c. Act as a Records management liaison for their Service Area;
- d. Bring any Records management issues in the Service Area to the Information Management (IM) Committee;
- e. Provide guidance to Service Area employees on Records management accountabilities and best practices;
- f. Participate on the IM Committee; and
- g. Liaise with the RIM Coordinator to carry out the disposition of corporate Records.

7. Employees shall:

- a. Adhere to this policy;
- b. Be accountable for all Records created for or on behalf of, the City as related to their position;
- c. Regularly identify and place electronic Records in a designated folder on the Service Area common drive;
- d. Regularly identify and place physical Records in a designated area according to the Record Keeper;
- e. Seek the assistance of the Record Keeper or RIM Coordinator if unsure how to proceed regarding issues related to Records; and
- f. Report any violations or concerns regarding the management of Records to their Director in a timely manner.

8. The Information Management Committee shall:

- a. Meet monthly to discuss any issues with information management in the City;
- b. Maintain the corporate repository by ensuring successful access and retrieval of Records;
- c. Assist in the development of information management guidelines and best practices;
- d. Champion Records management policy, standards, and guidelines in their Service Area; and
- e. Act as the RIM resource for their respective Service Area.

7. Retention Schedule

See NB Municipal Records Authority 2011.

8. Records Storage

Physical Records will be stored and maintained in the originating Service Area in one common location. Offsite storage needs shall be authorized by the RIM Coordinator.

Electronic Records will be stored in the digital corporate repository; fully compliant with the MRA retention schedule with appropriately applied metadata. All electronic Records will be managed and controlled by the City of Moncton.

The City makes use of various software databases which house structured information. Records created within these databases shall be maintained therein so long as these systems can meet legislated Records management requirements. If the software cannot meet these requirements, arrangements will be made to move the Records residing in the databases into the digital corporate repository.

9. Records Security

See Information Security Policy. *(To be developed)*

10. Procedures

1. Records Classification

The classification of electronic Records occurs when the record is uploaded into the digital corporate repository. Classification will be based on metadata choices corresponding to the Municipal Records Authority. This scheme will be modified as needed to suit the needs of individual Service Areas. Physical Records will be classified according to the MRA.

2. Digital Corporate Repository Searches

All City employees will have the ability to search and retrieve Records. Electronic Records can be retrieved through the search functions of the digital corporate repository. Please see Information Security and Access Policy for more information on accessing Records subject to a security classification.

3. Disposition

Each Service Area record keeper will be responsible for determining which Records are eligible for destruction or to be transferred to the Provincial Archives based on the applicable retention in the MRA.

Physical Records - Destruction

The City of Moncton Records Destruction Form (Appendix A) is also located on the “Intranet” under “Corporation/Forms/Administration” and shall be used for all Records eligible for destruction. The Service Area record keeper shall complete the form and present to the RIM Coordinator for review. The destruction form will then be signed by the Service Area Director and will be returned to the RIM Coordinator where it shall be maintained as an audit log for all destroyed City Records.

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Physical Records will be destroyed by shredding to render documents unreadable. For Records in other physical formats, arrangements will be made with a vendor to render this information immutable. The destruction of physical Records shall occur on an annual basis, unless otherwise stated by the RIM Coordinator.

Physical Records - Transference

Service Area record keepers shall make arrangements with the RIM Coordinator for the pickup of Records eligible for transfer to the Provincial Archives. The transfer of physical Records will be completed in accordance with Provincial Archives Records Transfer List. Records transfers will be carried out on an annual basis depending on the volume of Records to be moved. The RIM Coordinator will notify Service Area record keepers of the transfer deadline well in advance of the Records transfer to ensure ample time to prepare the Records Transfer List. A log of all City of Moncton Records transferred to the Provincial Archives shall be maintained by the RIM Coordinator.

Electronic Records - Destruction

The RIM Coordinator will be automatically notified on an annual basis for Records eligible for disposition in the digital corporate repository. A listing of Records eligible for destruction or transference to the Provincial Archives will be provided to Service Area Directors for review. Service Area Directors shall approve or reject disposition of their Service Area Records. No record shall be destroyed or transferred without the expressed written consent of the Service Area Director. Electronic Records will be destroyed using the destruction tools from the digital corporate repository. Every effort will be made to ensure there is no trace of the destroyed record at the server level. Assistance from Information Systems will be required to ensure the complete destruction of electronic Records.

Electronic Records - Transfer

The RIM Coordinator will transfer electronic Records to the Provincial Archives in accordance with the Provincial Archives of New Brunswick's Guidelines for Transferring Digital Records.

4. Legal Holds

The disposition of any record shall be suspended immediately upon any indication from Legal Services that any investigation or litigation is pending, threatened or anticipated. Records involved in such an event shall be placed in a legal hold until otherwise instructed by Legal Services. Disposition may resume upon the conclusion of the investigation, litigation or proceeding.

11. Monitor and Review

This policy shall be subject to evaluation by the Internal Auditor within 2 years of the approval date. This evaluation shall include a review of the effectiveness of Records management processes, including roles and responsibilities, electronic classification structure, security protocols, disposition and protection of personal information.

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The Records Information Management Coordinator shall conduct regular, random reviews of records management processes at his/her discretion.

12. Administration and Contact

City Hall

655 Main St., Moncton, NB E1C 1E8

Telephone: 506.853.3550

Email: info.clerk@moncton.ca

Appendix "A"



RECORDS DESTRUCTION FORM / FORMULAIRE POUR LA DESTRUCTION DES DOCUMENTS

DEPARTMENT: _____

RECORDS DESCRIPTION/ DESCRIPTION DES DOCUMENTS	DATES OF RECORDS/ DATES DES DOCUMENTS	SCHEDULE NUMBER/ NUMÉRO DE CALENDRIER

REVIEWED BY / EXAMINÉ PAR: _____
APPROVED BY / APPROUVÉ PAR: _____
DATE DESTROYED / DATE DE DESTRUCTION : _____

2015-03-04