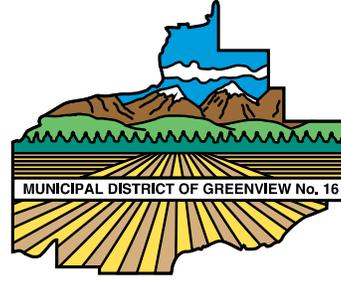


Records and Information Management**Policy No: 1029****Effective Date: Feb 25, 2019****Motion Number: 19.02.188****Supersedes Policy No: NA****Review Date:**

Purpose: The purpose of the Records and Information Management (RIM) Policy is to set the direction for managing information regardless of the format of Greenview's records; paper, digital and digital information systems.

Digital records are the official records of Greenview.

Greenview has adopted an approach to manage its records and information management program to ensure that records are created according to the business needs and business processes; adequately document the business activities in which they take part; are accurate and complete records of their activities; document policy formation and managerial decision making; provide transparency of record processes.

DEFINITIONS

Audit means the systematic review of recorded information activities for compliance with policies, procedures, and controls are established and complied with to meet all financial, operational, legal, and regulatory obligations.

Control means having the power or authority to manage, restrict, regulate, or administer the use or disclosure of a record. As per FOIP Act.

Business Records See Records

Destruction (Records) means the process of expunging records beyond any possibility of reconstruction and viewing.

Digital Information System means one or more computers; its software, peripherals, terminals, human operations, physical processes, and information transfer, that form an autonomous whole, capable of performing information processing and/or information transfer. Includes databases, ERP systems, GIS, etc.

Digital Record means a record that is carried by an electrical conductor and requires the use of electronic equipment to be understood.

Digitization means the process of rendering a paper record into an electronic image.

Documentary Evidence means recorded information admitted as evidence in legal proceedings

Electronic image means a source document that can be used to generate an intelligible reproduction of that document. In the case of paper source document, an intelligible reproduction means that:

- The reproduction is made with the intention of standing in place of the source document;
- The interpretation of the reproduction, for the purposes for which it is being used, gives the same information as the source document; and,
- The limitations of the reproduction (e.g., resolution, tone, or hues) are well defined and do not obscure significant details.

Electronic Records Management System (ERMS) means an information system primarily designed to assist in managing recorded information related to recordkeeping practices from inception to disposition of records.

Legal Hold means a process to preserve all forms of potentially relevant records when litigation is reasonably anticipated or underway.

Metadata means “data about data” structured information about a record’s characteristics (context, content, and structure) which helps to identify and manage that record.

Quality Assurance Program means a set of procedures based on the specifications of the ERMS which allows for monitoring and assessing its quality.

Records means information created, received, and maintained as evidence and as an asset, in pursuit of legal obligations or in the transaction of business.

Records Classification means the process of analyzing and determining the content and context of a record and selecting the function; the activity and transaction under which it will be filed and assigning the relevant metadata.

Source Document means an original from which a copy is made.

Transitory Records means copies or drafts of information retained elsewhere or records that will not be required as evidence of business activities. Have short-term value and which are:

- Not an integral part of functional classification system;
- Not required to sustain functional classification system;
- Not regularly filed under in the functional classification system;
- Not required to meet statutory obligations; and,

- Recorded only for the time required for completion of actions or ongoing records associated with them;
- Transitory records may be disposed of when they are no longer of value.

RESPONSIBILITIES

Records Management Coordinator Responsible for the Records and Information Management (RIM) Program records from their creation and preservation through to disposal.

Ensure that the RIM Program and the ERMS comply with the RIM policy, practices and procedures; the law, and national and industry standards so that the system will always produce and/or store records admissible as evidence.

Works with IT staff to integrate records management into Greenview’s usual and ordinary course of business, and to maintain that integration.

Maintain and amend the RIM Administration and Procedures manual with the support of IT staff so that it continuously reflects the exact state of the records system and can stand as evidence of the system’s compliance with the law and standards.

Identify the Records Management Coordinator responsibilities with respect to records quality assurance and for monitoring compliance with the support of IT staff.

Departments Support the implementation of the RIM Program across Greenview.

Users Ensure that all records are included in the ERMS.

REQUIREMENTS

The digital record is the official record of Greenview and are an integral part of its usual and ordinary course of business.

Records are managed in accordance with this policy the RIM Administration and Procedures Manual and the Records Retention and Disposition Schedule Bylaw; and complies with applicable provincial and federal laws, national and industry standards.

Greenview has adopted the Generally Accepted Recordkeeping Principles to manage its information. In addition, this policy establishes the role of ERMS in the delivery business processes at Greenview.

Accountability

The RIM policy establishes the position of the Records Management Coordinator who with the support of IT staff is responsible for:

- The records and information management;
- Maintaining and amending the RIM policy, RIM Administration and Procedures manual and retention schedule;
- Integrating records and information management into the organization's usual and ordinary course of business;
- Quality assurance and for monitoring compliance and auditing for the creation, capture, management of authentic, reliable, and useable records that possess integrity, use, destruction, and preservation of records for as long as they are required;
- Maintaining the integration to continuously reflects the exact state of the digital records and digital information system so they can stand as evidence; and,
- Conduct periodic audits to verify compliance; and,
- Delivering record and information management training.

Transparency

The processes and activities of the RIM Program are documented in a manner that is open and verifiable and is available to personnel and appropriate parties.

- Transparency of information processes and the adequacy of records systems are maintained throughout the active life of the information;
 - Authentic;
 - Reliable;
 - Useable records; that,
 - Protect the integrity of those records for as long as they are required.
- Records and all information created or received by employees are the property of Greenview and should be managed as assets in compliance with all applicable laws, regulations, and standards.

Integrity

The RIM Program shall be constructed so the records and information generated or managed by or for Greenview have a reasonable and suitable guarantee of authenticity and reliability.

- Records are created, classified, scheduled, maintained, stored, and retrieved according to Greenview's policies and procedures and any applicable legislation.
- Employees create records, according to the business needs and processes that adequately document the business activities in which the employees are participants:
 - Supports the continuing conduct of business;
 - Complies with the regulatory environment;
 - Provides necessary accountability;

- Accurate and complete records of their activities;
- Document decisions, policy formation and business activities;
- Ensure transparency of record / business processes; and,
- Store all records in the ERMS system.

In addition, external service providers shall comply with this RIM policy and procedures and this provision shall be included in any contractual document or service standards and signs a confidentiality and privacy protection agreement or is otherwise contractually bound to protect Greenview from any breach of confidentiality or privacy.

Protection

The RIM Program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, or essential to business continuity.

- Policy dictates that an appropriate level of protection to records and information that are private, confidential, privileged, or essential to business continuity;
 - The chain of custody of the records is defined, when appropriate.
- Protect information against inappropriate or inadvertent information disclosure or loss incidents; and,
- Audit information is regularly examined, and continuous improvement is undertaken.

Compliance

The RIM Program shall be constructed to comply with applicable laws, regulations, and other binding authorities, as well as Greenview's policies and procedures.

The ERMS is created and maintained to comply with the procedures manual, provincial and federal laws, and national and industry standards.

Periodic audits shall be conducted to verify compliance.

Availability

Greenview shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

Greenview backup systems are not considered records until they are used for recovery purposes.

Retention

Greenview shall maintain its records and information for an appropriate time, considering: administrative; legal and regulatory, fiscal, privacy, operational, and historical requirements.

The retention schedule shall be constructed in such a manner that:

- Facilitates the implementation of the retention and disposition schedule within the ERMS;
- Authorizes the disposition of source documents that have been imaged and captured in the ERMS system;
- All records and information assets destruction should be authorized by the Records Management Coordinator and business unit manager subject to the Records Retention and Disposition Schedule and the Records Legal Holds procedure.

In the event of the termination of business processes the records will be transferred to the Records Management Coordinator who will ensure their retention and disposition is in accordance with the records retention schedule.

Disposition

Greenview shall provide secure and appropriate disposition for records that are no longer required in accordance with the Records Retention and Disposition Schedule Bylaw.

- Records are maintained, stored, and preserved for the period of their usefulness to the organization and, if appropriate, to external stakeholders such as archival institutions and auditors;
- Electronic information is expunged, not just deleted, in accordance with retention policies.

DESIGN OF THE SYSTEM

Greenview has adopted a functional classification system which arranges records based upon the business functions performed by Greenview and its related work processes. This process is described in detail in the RIM Administration and Procedures Manual and also applies to digital information systems.

Use

The RIM Program has been adopted for use by all departments and agencies of Greenview.

Management

The RIM Program falls under the purview of Corporate Services.

Training

RIM Program and ERMS training will be provided by the Records Management Coordinator.

REVIEW

The RIM Policy and RIM Administration and Procedures Manual should be reviewed every three years.