

Title: Records Management

Policy No: 1029

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Purpose: The purpose of this policy is to establish a framework to manage records of all formats efficiently and effectively.

This policy establishes the Records Management Program to facilitate good record keeping practices that aims to foster accountability and transparency.

This policy will ensure that Greenview's official records are maintained, preserved, and disposed of in accordance with fiscal, operational, legal, and regulatory requirements.

This policy provides guidance to manage Greenview's records to ensure accordance with applicable legislation established by the Government of Alberta and Canada for the benefit of present and future generations.

1. DEFINITIONS

- 1.1 **Audit** means the systematic review of recorded information activities for compliance with policies, procedures, and controls are established to meet all financial, operational, legal, and regulatory obligations.
- 1.2 **Control** means having the power or authority to manage, restrict, regulate, or administer the use or disclosure of a record.
- 1.3 **Destroy** means the process of expunging records beyond any possibility of reconstruction and viewing.
- 1.4 **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.
- 1.5 **Digital Record** means a record that is carried by an electrical conductor and requires the use of electronic equipment to be understood.
- 1.6 **Digitize** means the process of rendering a paper record into an electronic image.
- 1.7 **Disposition** means the final retention action carried out on a record. This may include destruction, deletion, secure destruction or deletion, or transfer for archival review or to a third party.

- 1.8 **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:
- A) The reproduction is made with the intention of standing in place of the source document;
 - B) The interpretation of the reproduction, for the purposes for which it is being used, gives the same information as the source document; and,
 - C) The limitations of the reproduction (e.g., resolution, tone, or hues) are well defined and do not obscure significant details.
- 1.9 **Electronic Records Management System (ERMS)** means an information system designed to assist in managing recorded information related to recordkeeping practices from inception to disposition of records.
- 1.10 **Employee** means a person employed by Greenview, in any capacity.
- 1.11 **Exceptions** means records that must be retained in their original paper format:
- A) Contracts/agreements with wet signatures.
 - B) Land purchases, sales, leases, and transfers.
 - C) Bonds.
- 1.12 **Greenview** means the Municipal District of Greenview No. 16.
- 1.13 **Legal Hold** means a process to preserve all forms of potentially relevant records when litigation is reasonably anticipated or underway.
- 1.14 **Metadata** means “data about data;” structured information about a record’s characteristics (context, content, and structure) which helps to identify and manage that record.
- 1.15 **Quality Assurance** means a set of procedures based on the specifications of the ERMS which allows for monitoring and assessing its quality.
- 1.16 **Record** means information in any form includes notes, images, audio-visual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers, and any other information that is digitally created, written, photographed, recorded, or stored in any manner, but does not include software or any mechanism that produces records.
- 1.17 **Records Classification** means the process of analyzing and determining the content and context of a record and selecting the function, activity and transaction under which it will be filed and assigning the relevant metadata.
- 1.18 **Source Document** means an original from which a digital record is made.
- 1.19 **Substantive Record** means a record that is created, received, distributed, controlled, or maintained by Greenview. The record provides documentary evidence of the activities, rights, obligations, and responsibilities and is judged to hold administrative, fiscal, legal, enduring, and personal information value.
- 1.20 **Transitory Record** means recorded information that has short-term, immediate or is judged to hold no administrative, fiscal, legal, enduring, and personal information value to the organization and will not be needed in the future.

- 1.21 **Vital Record** means records essential to resumption or continuation of operations after an emergency or disaster; records necessary to recreate Greenview's legal and financial position; and/or necessary to preserve the rights of Greenview, its employees, customers, and ratepayers.

2. POLICY STATEMENT

- 2.1 Greenview recognizes that records are valuable corporate assets, and that access, preservation and security must be ensured throughout a record's life cycle. Effective records management contributes to the overall operation and decision making of the municipality by maintaining records deemed to have fiscal, legal, regulatory, administrative, operational, evidentiary, or historical value.
- 2.2 This policy establishes the Records Management Program which sets direction to achieve efficient and effective records management practices that support service delivery and programs, fosters informed decision making, facilitates accountability, integrity, protection, compliance, availability, retention, disposition, and transparency.
- 2.3 This policy establishes the Records Management Manual which sets direction to employees for the capture, management, retrieval, storage, access, security, disposition, and destruction of records throughout a records lifecycle.
- 2.4 Greenview declares that records created, captured, received, controlled, or maintained are the property of Greenview and not the property of its employees.
- 2.5 Greenview declares that the ERMS, known as FileHold, is the official recordkeeping repository for all Greenview's substantive digital records.
- 2.6 Greenview declares that Greenview's substantive digital records shall be imported into Greenview's ERMS.
- 2.7 This policy declares that digital records entered in Greenview's ERMS are the official records of business.
- 2.8 This policy applies to all records, regardless of format, created, or received during business transactions in all aspects of organizational business and all business applications used to create and store records.
- 2.10 This policy applies to all Greenview employees who create, capture, receive, control, or maintain records for Greenview.
- 2.11 Greenview declares that substantive digital records shall not be filed in the following digital storage areas:
- A) Outlook or personal email accounts.
 - B) Personal, Network Drives and desktops.
 - C) SharePoint.
 - D) Greenview Webpage.
- 2.12 This policy applies to records that may be maintained in digital information systems which operate outside of the ERMS, yet also function as record keeping systems. They therefore require compliance with legislative obligations and standards of practice. Whenever

possible, these other digital information systems shall interface with the ERMS, or if appropriate, their records will be integrated into the ERMS.

3. PROCEDURE

- 3.1. Greenview has adopted the Generally Accepted Recordkeeping Principles to manage records that facilitates accountability, integrity, protection, compliance, availability, retention, disposition, and transparency.
- 3.2. Records shall be managed and comply in accordance with this policy and applicable provincial and federal laws, national and industry standards.
- 3.3. Records deemed an Exception shall be digitized and imported into the ERMS by the responsible department. The original paper record shall be promptly forwarded to the Records Management Coordinator.
- 3.4. Care and attention shall be paid to aging Greenview digital information systems and what will happen when a system is full or no longer useable. Should a database or other electronic records repository be the only source of specific records, then prior to decommissioning that system, all the relevant records within that system must be converted to more current technology to continue access and retention of those records.
- 3.3. Records deemed as Vital records shall be identified and preserved.
- 3.4. Records of historic value shall be preserved and may be forwarded to an approved archival agency.
- 3.5. In the event of litigation or an official Freedom of Information Protection Privacy (FOIP) request, a legal hold status shall be declared halting the destruction of records, organization wide.

4. COUNCIL RESPONSIBILITIES

- 4.1 Review and update this policy in accordance with the policy review schedule.
- 4.2 Support the Records Management Program.

5. ADMINISTRATION RESPONSIBILITIES

- 5.1 Chief Administrative Officer
 - A) Recognize that records are valuable corporate assets.
 - B) Provide leadership and support for the Records Management Program.
 - C) Authorize the destruction of records in compliance with the Records Retention Bylaw.
- 5.2 Directors and Managers
 - A) Recognize that records are valuable corporate assets.
 - B) Support the implementation of the Records Management Program across Greenview.
 - C) Are responsible for the records in the care of their department.
 - D) Appoint a representative, within their department, to sit on the Records Management Team.
 - E) Ensure departmental compliance with this policy.
 - F) Ensure employees are aware of their obligations to manage information appropriately.
 - G) Are responsible for approving departmental records destruction requests.

- H) Support the Records Management Coordinator to oversee the Records Management Program.
- I) Support the Records Management Coordinator in the designation and training of end-users.

5.3 Records Management Coordinator

- A) Administer the Records Management program.
- B) Administer the Records Management Team.
- C) Maintain and update the Records Management policy.
- D) Maintain and update the Records Management Manual.
- E) Ensure that the Records Management Program complies with the Records Management policy, practices and procedures, national and industry standards to ensure the program and ERMS always produces and/or stores records admissible as evidence.
- F) Ensure quality assurance, monitoring compliance and auditing for the creation, capture, management of authentic, reliable, and useable records which possess integrity, and the use, destruction, and preservation of records for as long as they are required.
- G) Determine what, if any, security classification or designation levels need to be attached to records.
- H) Ensure the timely destruction of records that are no longer required.
- I) Notify departmental managers of their duty to approve record destructions.
- J) Provide guidance in determining whether records and information or other material have an operational, fiscal, administrative, or informational/ historical value and must be protected from deterioration or loss.
- K) Provide a means of managing physical records.
- L) Arrange for the transfer of records designated as having historical value to the appropriate archival agency.
- M) Work with business units and departments to establish communication and training programs for records management.
- N) Create and conduct records management training.

5.4 Greenview Employees

- A) Comply with this policy and the records management manual.
- B) Create and maintain complete and accurate records which will serve as evidence of decisions, transactions, and business activities, while ensuring the quality, authenticity, and reliability of records.
- C) Work cooperatively and diligently to correct errors in records and reduce the risk of recurrence.
- D) Comply with the file classification system and retention periods.
- E) Ensure substantive records they create, receive, or control are accurately digitized and imported into the ERMS.
- F) Enter applicable metadata for each record imported into the ERMS.
- G) Follow naming conventions.
- H) Ensure records in their custody are protected from inadvertent release, damage, or destruction.
- I) Ensure records are not removed from Greenview premises unless such removal is required to conduct Greenview's business.
- J) Promptly return information to Greenview when the purpose for which the information was removed from Greenview premises has ended.
- K) Ensure that upon employment exit or transfer, all records in their custody are transferred to a supervisor or successor. This includes all physical, digital and email records.
- L) Ensure that transitory records in their care are destroyed when no longer required.