

MUNICIPALITY OF THE COUNTY OF ANNAPOLIS <b>POLICY AND ADMINISTRATION MANUAL</b>	<b>AM – 1.5.4</b>
Section <b>MUNICIPAL ADMINISTRATION</b>	Subject <b>Records Management Policy</b>

## 1.0 Purpose

Records management is an integral component to a municipality's operation and has become a necessity for municipalities due to changes in legislation. The Association of Municipal Administrators of Nova Scotia has developed a Records Management Manual which combines a standard classification system and records retention and disposal schedule for municipal records. The Manual establishes levels of responsibility to reduce duplication and to designate accountability for records.

## 2.0 Authority

Subsection 34 (1) of the *Municipal Government Act*, as amended.

## 3.0 Interpretation

In this policy:

- 3.1 “**Council**” means the council of the Municipality of the County of Annapolis;
- 3.2 “**County**” means the Municipality of the County of Annapolis;
- 3.3 “**Designated Officer**” means the person designated and authorized by the Chief Administrative Officer of the County of Annapolis to act on behalf of the Municipality of the County of Annapolis to manage and maintain the Records Management System;
- 3.4 “**Manual**” means the AMA Records Management Manual, third edition, as amended from time to time;
- 3.5 “**Municipality**” means the Municipality of the County of Annapolis;
- 3.6 “**Office of Primary Responsibility (OPR)**” means the office that has primary responsibility for a category of records or holds the master / official file copy of any record or series of records. The OPR maintains the official master copy of the records in order to satisfy operational, financial, legal, audit and other requirements. This includes signing off on the destruction of records designated as being under his / her care and control.
- 3.7 “**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;
- 3.8 “**Records Management System**” means an electronic or paper-based system used by the County to manage the records of the Municipality of the County of Annapolis from record creation through to records disposal;

## 4.0 Compliance with Records Management System

- 4.1 The Records Management System currently used by the County is authorized.

## 5.0 Authorization of Records Management System

- 5.1 All records in the custody and control of the employees of the County are the property of the Municipality of the County of Annapolis. All records of the County of Annapolis must comply with the Records Management System and this policy. All employees and management of the Municipality must comply with this policy.

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## **6.0 Designated Officer**

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

## **7.0 Adoption of the Manual**

- 7.1 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.

## **8.0 Integrity and Authenticity Maintained**

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

## **9.0 Levels of Responsibility – Office of Primary Responsibility**

- 9.1 The Records Management System identifies levels of responsibility for all information holdings. There are two levels:
- Level 1: Service Group / Department Office of Primary Responsibility
  - Level 2: Other Offices
- 9.2 The Office of Primary Responsibility ensures the authenticity and integrity of the master records (record designated as official copy). The Office of Primary Responsibility also reduces retention of duplicate records held in “other offices.”
- 9.3 Each service group shall have a designated person responsible for the records within their service group / department (designated by Directors or Managers).

## **10.0 Authorization to Amend Manual**

- 10.1 The Designated Officer is authorized to amend the Manual.

## **11.0 Disposal by Designated Officer**

- 11.1 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:
- (1) The destruction actions must always be 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. A sample records destruction approval form is included in *Appendix B – Forms and Samples to the Manual*;
  - (2) 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;

