




CITY OF HAMILTON
CORPORATE SERVICES DEPARTMENT
City Clerk's Office

TO:	Chair and Members Audit Finance and Administration Committee
COMMITTEE DATE:	September 22, 2022
SUBJECT/REPORT NO:	Records & Information Management Policy (FCS22057)
WARD(S) AFFECTED:	City Wide
PREPARED BY:	Lisa Barroso, Manager, Corporate Records and FOI (905) 546-2424 Ext. 2743
SUBMITTED BY: SIGNATURE:	Andrea Holland City Clerk, Office of the City Clerk 

RECOMMENDATION(S)

- (a) That the Records & Information Management Policy, attached as Appendix "A" to Report FCS22057, be approved; and,
- (b) That the request for 2 FTE's to support the administration of the policy, be referred to 2023 budget deliberations for consideration.

EXECUTIVE SUMMARY

The City is responsible for managing information assets created or received through the provision and management of City services. The purpose of the Records & Information Management Policy is to provide expectations and requirements regarding the creation and life cycle management of records and information in the custody, or under the control of the City. The policy defines responsibilities and authorities in order to establish and maintain a records and information management discipline at the City. This is to ensure that records and information can be made available for decision-making, program and service delivery, and Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) requests while being protected and disposed of (retained and preserved or destroyed) in accordance with relevant legislation, regulations and policies. Once the Policy is approved, operational support and training will be provided to staff.

FINANCIAL – STAFFING – LEGAL IMPLICATIONS

Financial: Two FTE's are requested in the Records and FOI section of the Clerk's office in order to support and educate staff in our legislated requirement to retain and preserve records and to establish and maintain retention periods for the City's records. The total cost of the FTE's is \$184,000.

Staffing: Staff resources are required in order to provide training, advice and measure policy compliance across the organization to support good records and information management principles. Currently, staff resources within the Office of the City Clerk manage operational day to day records management of corporate records within the custody of the Office only and do not have the capacity to provide extended consultation time with divisions and departments help them manage their records.

The new positions would be responsible to advise, consult with, and guide employees to help divisions and departments to comply with the RIM Policy and procedures to effectively manage records. Additionally, the positions would be responsible for the development and delivery of records management training for staff and Council; create and disseminate Records and Information practices, for example, standardizing the digitization of records, employee onboarding and off-boarding processes and managing electronic records growth.

HISTORICAL BACKGROUND

Over the years the concept of records management has expanded to information management as the types and formats of information captured and recorded, has evolved. While the City has been successful in managing its paper records program, managing its structured and unstructured databases, electronic records, like email has presented challenges.

POLICY IMPLICATIONS AND LEGISLATED REQUIREMENTS

The *Municipal Act, 2001, S.O. 2001, c. 25* as amended requires the City to retain and preserve the records of the municipality and its local boards in a secure and accessible manner and provides that the City establish retention periods during which the records of the municipality and local boards of the municipality must be retained and preserved.

The *Municipal Freedom of Information and Protection of Privacy Act (MFIPPA), R.S.O. 1990, c. M.56*, as amended provides the general right of access to certain records and personal information under the control of the City, subject to stipulated exemptions to

that right. It also requires the City to develop and maintain an inventory of its information holdings as a means of organizing information for the purpose of general access, and specifies how the City can collect, use, disclose, retain and dispose of personal information and personal information banks.

The Records & Information Management Policy was developed based on municipal best practices and the Association of Records Managers and Administrators (ARMA) principles of managing electronic and paper records and electronic records systems.

RELEVANT CONSULTATION

This policy has been developed in consultation with the Electronic Documents and Records Management Systems (EDRMS) Committee, which consists of staff representatives from across the organization as part of Information Governance work. It has also been reviewed and endorsed by the Senior Leadership Team.

ANALYSIS AND RATIONALE FOR RECOMMENDATION

As a best practice, the Records & Information Management Policy outlines the organization's commitment to managing, retaining and preserving the information assets of the municipality.

The City's ability to deliver efficient and effective services depends upon accurate, up-to-date information that can be readily accessed as needed. The management of public information is an integral part of effective administration and governance and results in sound decision-making, efficient and effective customer service, managing business information and resources, meeting legal and accountability requirements, documenting significant events and preserving historic and culturally important records.

The policy has been developed to establish a common understanding and a clear corporate direction in the area of Records and Information Management practices. Through the implementation of this policy, the City commits to integrating information management practices with business planning and service delivery; invest in training and awareness to improve collaboration; protect personal and confidential information; and enable technology to support and improve the management of information. A Records and Information Management Policy is an essential building block of an information governance program.

This policy does not apply to the personal, political and constituency records held by Members of Council. Having said that, records created or received by Members in their capacity as members of a Committee of Council or when acting at the specification of

Council, form part of the official records of the City and are subject to the *Municipal Freedom of Information & Protection of Privacy Act*. Attached as Appendix B is a Fact Sheet developed by the Information & Privacy Commissioner of Ontario regarding Councillor Records. Over the coming weeks, staff will meet with members who have decided to leave office to ensure their Corporate Records are retained.

ALIGNMENT TO THE 2016 – 2025 STRATEGIC PLAN

Our People and Performance

Hamiltonians have a high level of trust and confidence in their City government.

APPENDICES AND SCHEDULES ATTACHED

Appendix A – Records & Information Management Policy

Appendix B – [Information & Privacy Commissioner Fact Sheet re: Councillor Records](#)