

HALIFAX

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Item No. 1
Halifax Regional Council
July 21, 2020

TO: Mayor Savage and Members of Halifax Regional Council

SUBMITTED BY: Original Signed
John Traves, Q.C., Director, Legal & Legislative Services

Original Signed by 
Jacques Dubé, Chief Administrative Officer

DATE: April 2, 2019

SUBJECT: Information Management – Records of the Office of the Auditor

INFORMATION REPORT

ORIGIN

August 4, 2015 motion of Halifax Regional Council requesting a staff report with respect to the information management of the records of the Office of the Auditor General (OAG).

LEGISLATIVE AUTHORITY

Halifax Regional Municipality Charter:

Section 38(1) : The Council may adopt a policy for the management and destruction of records.

Sections 49-54 regarding the Auditor General

Administrative Order 2015-001-GOV, the Corporate Information Management Administrative Order

BACKGROUND

In accordance with section 38(1) of the Charter, Regional Council enacted Administrative Order 2015-001-GOV, the Corporate Information Management Administrative Order. The Administrative Order applies to the records and information assets of municipal business units, including those of former municipal units. Under the Administrative Order, business unit is defined as a service unit of the Municipality, including a department, committee, Council, community council, or other body of persons, whether incorporated or unincorporated, providing that all members are (a) appointed by the Council, or (b) in the discharge of their duties, public officers or servants of the Municipality in a business unit designated by

the CAO as a business unit for the purposes of the Administrative Order. The OAG is not considered, or been designated, a business unit for the purposes of the Administrative Order.

The Administrative Order also guides the municipality's information management program and provides a foundation for the development of information management policies, procedures, and educational materials, including the creation of the new Records Retention Plan (RRP).

At the time the Administrative Order was approved, Regional Council also approved a motion requesting a staff report with respect to the information management of the records of the OAG.

DISCUSSION

Since that time, Corporate Information Management (CIM) has consulted with staff in the OAG and has concluded that the Office, while not subject to the Corporate Information Management Administrative Order, is nevertheless managing its records in compliance with the municipality's information program. Processes and procedures are in place to ensure appropriate records management practices are followed. Their administrative records (e.g., finance and human resources records) are being managed in accordance with established procedures similar to other municipal business units. The final reports of the OAG are delivered to the Audit and Finance Standing Committee and Regional Council and are therefore captured and managed through these bodies.

The OAG also has an effective file management system in place, including the use of naming conventions and a coherent filing structure. They have robust security procedures for both paper and electronic records, including secure facility access, locked filing cabinets, and encrypted network drives. In 2017, the OAG transitioned from a paper-based to an electronic audit management system (TeamMate) to store and manage their audit files.

Through the preparation of this report, key staff in the OAG have been made aware of the CIM program, the advisory services available, and the implementation of the new RRP. This relationship will be maintained, and CIM will provide the OAG with advisory services upon request.

FINANCIAL IMPLICATIONS

No financial implications as this is an Information Report.

RISK CONSIDERATION

There are no risk considerations associated with this report.

COMMUNITY ENGAGEMENT

In preparation of this report, no community engagement was undertaken.

ENVIRONMENTAL IMPLICATIONS

Not Applicable.

ALTERNATIVES

Regional Council could direct staff to propose amendments to AO2015-001-GOV to explicitly acknowledge the records of the OAG and provide clear direction on how these are to be managed.

ATTACHMENTS

N/A

A copy of this report can be obtained online at halifax.ca or by contacting the Office of the Municipal Clerk at 902.490.4210.

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