

**Halifax Regional Municipality  
Administrative Order Number 2015-001-GOV  
Respecting Corporate Information Management**

**BE IT RESOLVED AS AN ADMINISTRATIVE ORDER** of the Council of the Halifax Regional Municipality under the authority of the *Halifax Regional Municipality Charter*, as follows:

**Short Title**

1. This Administrative Order may be known as Administrative Order No. 2015-001-GOV, the *Corporate Information Management Administrative Order*.

**Application**

2. This Administrative Order applies to the records and information assets of business units of the Municipality, including the records and information assets of former municipal units of the Municipality.

3. (1) This Administrative Order does not apply to personal or political records of elected officials of the Council.

(2) If this Administrative Order conflicts with another enactment or contract, the enactment or contract shall prevail to the extent of the conflict;

**Interpretation**

4. In this Administrative Order,

(a) “accession” means the formal acceptance into custody by the Municipality of a record, and the recording of such acceptance;

(b) “alienation” means the transfer of custody and control of records and information assets, whether or not such records have completed the records life cycle, to an entity or person not governed by this Administrative Order;

(c) “archival record” means a record that is no longer required by the Municipality for current operations, legal, auditor, or financial requirements but which has been appraised as having enduring legislative, historical, informational, evidential, research or other value;

(d) “business unit” means:

(i) 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 this Administrative Order; or

(ii) for the purposes of HRM's File Plan, the office of primary responsibility for official records in the custody and control of the business unit;

(e) "copies/duplicates" means copies and duplicates of records in any format that are made and preserved only for mass distribution, convenience or reference, providing that nothing has been altered, added or deleted since their creation;

(f) "CAO" means the Chief Administrative Officer of the Municipality, or his or her delegate;

(g) "Chief Financial Officer" means the Chief Financial Officer of the Municipality, or his or her delegate;

(h) "Chief Information Officer" means the Chief Information Officer of the Municipality, or his or her delegate;

(i) "Council" means the Council of the Municipality;

(j) "deaccession" means permanently removing records from the holdings of the Municipal Archives.

(k) "destroyed" means the recorded information has been shredded, deleted or otherwise obliterated so it cannot be retrieved;

(l) "disposition" means that a record has been destroyed, transferred to the Municipal Archives or transferred to another entity as a result of organizational changes or new legislative requirements;

(m) "file plan" means a comprehensive classification scheme and description for official records of a business unit, including a records retention schedule governing the records life cycle from creation or receipt of the records through to their disposition;

(n) "head" means:

(i) the director or managing director of a business unit of the Municipality,

(ii) chair or presiding officer of a committee, Council, community council, or other body of persons of the Municipality, or

- (iii) the person designated by the CAO as the head of a business unit;
- (o) “HRM’s File Plan” means the compilation of all business unit file plans;
- (p) “information asset” means a definable piece of information stored in any manner, which is recognized by the Municipality as having value;
- (q) “information governance” means the specification of decision rights and an accountability framework to encourage desirable behaviour in the valuation, creation, storage, use, archival retention and deletion of information assets, and includes the processes, roles, standards and metrics used by organizations to ensure the effective and efficient use of information assets in achieving their goals;
- (r) “information management” means the coordinated and consistent application of legislation, strategies, policies, and practices used to manage records and information assets throughout the life cycle of the information, from planning and systems development to disposal or long-term preservation.
- (s) “Manager of Corporate Information Management” means the Manager of Corporate Information Management of the Municipality, or his or her delegate;
- (t) “Municipal Solicitor” means the Solicitor of the Municipality, or his or her delegate;
- (u) “Municipality” means the Halifax Regional Municipality;
- (v) “non-government record” means recorded information that does not provide evidence of a business transaction, action, decision, obligation or right of the Municipality, including emails containing personal conversations and documents used for general research;
- (w) “office of primary responsibility” means the business unit with the responsibility for maintaining the authoritative version of a specific series of records that support the functions and operations of such unit;
- (x) “official record” means the record of information, in any form or media, that:
  - (i) is designated in the file plan to serve as the Municipality’s official record of a transaction, action, decision, obligation or right;
  - (ii) serves as the most complete, final, accurate and authentic record of the Municipality; and
  - (iii) serves as the best source of evidence;
- (y) “record” means a record of information in any form including:

(i) books, documents, maps, plans, machine readable records, drawings, photographs, letters, vouchers and papers, sound recordings, videotapes, microfilm, electronic files, electronic mail transmissions, databases and spreadsheets, and

(ii) any other information that is written, photographed, recorded or stored in any manner and that is produced or received by the Municipality, such as official records, non-government records, copies, duplicates, and transitory records;

(z) “record life cycle” means the stages of activity from creation or receipt of a record up to and including its final disposition; and

(aa) “transitory record” means records:

(i) of temporary usefulness which are not an integral part of a record series within a file plan; and

(ii) that are not required for evidence or to complete the official record, including preliminary drafts, input documents, such as paper document created for the purpose of entering the information into a database, notes, calculations and drafts used in the preparation of reports and other documents.

### **Purposes**

5. The purposes of this Administrative Order are to establish a corporate information management policy for the Municipality to:

a) apply information governance and information management to the records and information assets of the Municipality throughout their entire life cycle;

b) vest the records and information assets of the Municipality in the custody and control of the business units; and

c) ensure that the records and information assets of the Municipality are managed to support the daily business of the Municipality, preserve corporate memory and meet legal requirements.

### **Roles and Responsibilities**

6. (1) The CAO shall:

(a) consider for approval all proposed file plans and corporate records and information management policies, procedures, guidelines and standards;

(b) designate and establish classes of records for the purpose of retention, destruction or permanent preservation of the records of the Municipality

(c) make policies, procedures, and guidelines and establish standards respecting any matter or thing that in the opinion of the CAO are necessary to effectively carry out the intent and purpose of this Administrative Order; and

(d) ensure that the records and information assets of the Municipality are managed to facilitate re-use, sharing and access to information, transparency, and the protection of privacy.

(2) The CAO may:

(a) establish procedures for the management of records, including the creation, use, disposition, retention, storage, and permanent preservation of records; and

(b) designate business units for the purposes of this Administrative Order.

7. The head of a business unit having custody or control over records shall:

(a) prepare one or more file plans that:

(i) describe, classify and index all official records in the custody or under the control of the business unit;

(ii) govern the record life cycle of the official records in the custody or under the control of the business unit;

(iii) provide precise retention periods for official records in the custody or under the control of the business unit; and

(iv) establish whether each class of official record in the custody or under the control of the business unit is to be permanently preserved, destroyed or otherwise alienated from the custody and control of the business unit;

(b) authorize the final disposition of official records in the custody or under the control of the business unit in accordance with the applicable approved file plan;

(c) ensure all proposed file plans of the business unit are reviewed by the Municipal Solicitor, the Chief Financial Officer and the Manager of Corporate Information Management in advance of requesting that the CAO approve the proposed file plans;

(d) ensure that the approved file plan(s) for the official records in the custody or under the control of the business unit are current and comply with the operational, legislative, legal, financial, audit, and historical requirements applicable to those records of the Municipality; and

(e) ensure that information management principals of records retention, protection of privacy, and the availability of information to meet service requirements, are considered in the development of all new or significantly changing projects, programs, services or systems of the business unit.

8. Managers and supervisors of a business unit shall apply approved file plans to the records and information assets in the custody and control of the business unit and protect and maintain records in the custody and control of the business unit to ensure that the records are:

- (a) usable, legible and accessible;
- (b) available for archival selection and appraisal where identified as having archival value;
- (c) authentic, reliable and trustworthy as evidence;
- (d) maintained in formats, media and conditions that ensures retention and preservation in accordance with approved records retention and disposition schedules and applicable legislation;
- (e) disposed of in accordance with approved file plans when they are no longer required;
- (f) organized and captured in the business unit's recordkeeping system;
- (g) protected against unauthorized access or destruction;
- (h) accessible to anyone who is authorized to access them; and
- (i) systematically retained or disposed of in accordance with approved file plans.

9. All employees or members of a business unit shall:

- (a) classify official records in accordance with approved file plans;
- (b) transfer official records not regularly used to the Municipal Records Centre where they will await their final disposition;
- (c) promptly dispose of copies, duplicates, non-government records, non-records and transitory records that are not required for legal, audit or operational purposes; and
- (d) comply with this Administrative Order and any approved records and information management file plans, policies, procedures, directives, standards and guidelines of the Municipality.

10. The Chief Information Officer shall:

(a) ensure that information management principles and practices are incorporated into all new and modified electronic systems considered for use by the Municipality prior to the development of such new and modified electronic systems; and

(b) implement, support, and maintain all new and modified electronic systems adopted by the Municipality to ensure that records are:

(i) accessible;

(ii) protected against unauthorized access or destruction; and

(iii) preserved so they can be transferred to the Municipal Archives or destroyed in accordance with approved file plans.

11. The Municipal Solicitor shall:

(a) provide legal advice to business units on the management of records and information assets;

(b) review all proposed file plans of business units for compliance with legal and legislative requirements and advise the CAO as to whether the file plans do or do not comply with legal and legislative requirements; and

(c) establish a legal hold process to protect from premature destruction or alteration, records and information assets in all formats and media, that are the subject of a subpoena, pending or actual litigation, or are otherwise required for another legal or legislative purpose.

12. The Chief Financial Officer shall:

(a) provide financial advice on the management of records and information assets; and

(b) review all proposed file plans of business units for compliance with financial and audit requirements and advise the CAO as to whether the file plans do or do not comply with financial and audit requirements.

13. The Manager of Corporate Information Management shall:

(a) develop policies, procedures, guidelines and standards to enable business units to manage records and information assets in compliance with this Administrative Order;

(b) review all proposed file plans of business units for compliance with corporate information management standards and to identify records for archival preservation and advise the CAO as to whether the file plans comply with corporate information management standards and identify records for archival preservation; and

(c) preserve all disposition notices and certificates of destruction and archival accession and de-accession records.

### **Municipal Records Centre**

14. The Municipal Records Centre shall be the central storage repository for records that are no longer actively being used by business units, but must be retained for legal, legislative, financial, audit, or operational reasons.

15. The Municipal Records Centre shall receive, catalogue, store, protect, and provide access to records stored in the facility, provide secure destruction of records and information assets, and retain certificates of destruction.

### **Municipal Archives**

16. The Municipal Archives shall be the permanent repository for archival records of business units of the Municipality and former municipal units.

17. The Municipal Archives shall, within all applicable legal restrictions and physical limitations, identify, acquire, preserve, protect and provide access to archival records in the custody and control of the Municipal Archives.

18. The Municipal Archives will take such measures as are necessary to accession, deaccession, appraise, arrange, describe, preserve and provide access to archival records within all applicable legal restrictions and physical limitations of the records.

19. The Municipal Archives may consider the acquisition of external records when such acquisitions will supplement the archival record of the Municipality.

20. Records that have been identified as having archival importance to the Municipality shall be transferred to the care and control of the Municipal Archives in accordance with applicable file plans and policies of the Municipality.

21. Except as otherwise directed by Council or the CAO, the Municipal Archives shall have the care and control of the records of a business unit that concern obsolete functions of the business unit, for the purposes of identifying and acquiring archival records for permanent storage.



### **General – File Plan**

22. The Municipality adopts the Association of Municipal Administrators (AMA) Record Management Manual to serve as the starting point upon which the Municipality will develop its file plans.

23. The Association of Municipal Administrators (AMA) Record Management Manual, version 3.1, shall continue to be the approved file plan of a business unit until such time as a file plan that supersedes the Association of Municipal Administrators (AMA) Record Management Manual is approved for use by the business unit in accordance with this Administrative Order.

24. No file plan or corporate records and information management policy, procedure, guideline or standard shall come into effect until approved by the CAO.

### **General - Destruction**

25. No person shall destroy, transfer to the Municipal Archives or alienate the official records of the Municipality except in accordance with an applicable file plans or procedures approved in accordance with this Administrative Order.

26. No records of the Municipality shall be destroyed if they are required for actual or potential legal, legislative or audit purposes.

27. Records which have been authorized for disposition shall be destroyed or transferred in a manner that preserves the confidentiality of any confidential information that they may contain.

28. Copies, duplicates, non-government records, and transitory records shall be destroyed according to established operational business rules.

29. A deaccessioned record may be destroyed, repatriated to its original owner, sold with the proceeds going to an appropriate revenue account of the Municipality, transferred to another organization or exchanged for a more useful record.

### **Repeal**

30. The following Administrative Orders are repealed:

a) Administrative Order Number Thirteen, the Pre-Amalgamation Administrative Records Administrative Order; and

b) Administrative Order Number Thirty One, the Corporate Records and Information Management Administrative Order.

Done and passed in Council this 4<sup>th</sup> day of August , 2015.

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Mayor

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Municipal Clerk

I, Cathy Mellett, Municipal Clerk of Halifax Regional Municipality, hereby certify that the above noted Administrative Order was passed at a meeting of Halifax Regional Council held on August 4, 2015.

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Cathy Mellett, Municipal Clerk

Notice of Motion:

June 2, 2015

Approved:

August 4, 2015