

TOWN OF LOCKEPORT
POLICY STATEMENT

Policy # GG – 021
Revision Date:

Records Management Policy

Effective Date: Nov. 14, 2016

Title

1. This policy may be cited as the “Records Management Policy.”

Interpretation

2. In this policy:

(1) “Council” means the council of the **Town of Lockeport**;

(2) “Designated Officer” means the person designated and authorized by the Town Clerk/Treasurer to act on behalf of the **Town of Lockeport** to manage and maintain the Records Management System;

(3) “Manual” means the AMA Records Management Manual, second edition, as amended from time to time;

(4) “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;

(5) “Records Management System” means an electronic or paper-based system used by the **Town of Lockeport** to manage the records of the **Town of Lockeport** from record creation through to records disposal;

Records Management System Established

3. **The Records Management System currently used by the Town of Lockeport is authorized.**

Compliance with Records Management System

4. All records in the custody and control of the employees of the **Town of Lockeport** are the property of the **Town of Lockeport**. All records of the **Town of Lockeport** must comply with the Records Management System and this policy. All employees and management of the **Town of Lockeport** must comply with this policy.

Designated Officer

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

Adoption of the Manual

6. The Designated Officer is authorized to adopt and maintain the Manual as part of the Records Management System. Records of the Town of Lockeport 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 **Town of**

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Lockeport. The Records Retention Schedule also provides instructions as to the manner and time of the disposition of a record.

Integrity and Authenticity Maintained

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

Authorization to Amend Manual

8. The Designated Officer is authorized to amend the Manual.

Disposal by Designated Officer

9. 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;

(3) Records destruction should be undertaken in a manner that preserves the confidentiality of records, including the privacy of information about individuals;

(4) All copies of records that are authorized for destruction, including security, preservation and backup copies, should be destroyed as soon as reasonably possible; and

(5) Records should be maintained to document the destruction actions. Certificates of destruction are generally provided by service agencies, and these are retained permanently, along with information about the records series title, date range and date of destruction

10. Records that are required by any enactment to be kept, and all minutes, by-laws, policies and resolutions of Council shall not be destroyed.

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Town Clerk/Treasurer's Annotation For Official Policy Book

Date of Notice to Council Members
of intent to consider (7 days minimum): November 4, 2016

Date of passage of current Policy: November 14, 2016

I certify that this Policy was adopted by Council as indicated above.

Joyce Y. Young
Town Clerk/Treasurer

November 15, 2016
Date