

Council Policy No.:	CP2026-060
Council Policy Name:	Records Management Policy
Date Approved by Council:	April 18, 2017
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Related SOP, Management Directive, Council Policy, Forms	Archives Policy Archival Preservation Policy Replevin of the City of Kawartha Lakes Records Policy

Policy Statement and Rationale:

The records and information holdings of The Corporation of the City of Kawartha Lakes are valuable corporate assets needed to support effective decision making, meet operational requirements, protect legal, fiscal and other interests of the City, and to adhere to the requirements of the Municipal Act, 2001 as amended and the Municipal Freedom of Information and Protection of Privacy Act, 1990 as amended.

The City manages its information holdings through a records management program that is administered by the Manager, Corporate Records and Archival Services as delegated by the City Clerk.

All City records deemed corporate records that have been received or created by any City employee fall into the custody and control of the Corporation and are the property of the City.

The retention of records is dependent on the subject matter and not the format in which the records are stored. The Records Management By-law, including the Records Retention Schedule and the Records Retention Policy will be applied to all records in the custody and control of the City – including electronic records (i.e. e-mails, files saved on staff computers and networks, files saved on external drives, text messages, voice mails, etc.).

Objectives:

A records management program applies systematic controls and standards to the creation, security, use, retention, conversion, disposition and preservation of recorded

information. A standardized records management program allocates sufficient resources to:

- a. manage the information from creation through to disposal and destruction to meet all legislated requirements for recordkeeping, including but not limited to those of the Municipal Act, 2001, S.O. 2001, c. 25 and the Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56;
- b. manage information holdings, making them readily available for decision making and to satisfy information access requests, including those made under the Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56;
- c. protect the integrity and authenticity of records so that they may be relied upon as evidence of organizational activity and administrative decisions of the city and thereby meet legal, evidential and accountability requirements;
- d. ensure that records are appropriately protected and are not destroyed or removed from the custody and control of The Corporation of the City of Kawartha Lakes unless authorized by the City's Records Retention Schedule, or through contractual agreement;
- e. ensure the identification and preservation of archival and permanently valuable records;
- f. ensure the timely, secure, thorough, and environmentally sound destruction of records that have surpassed their retention and hold no information of enduring value;
- g. promote organizational efficiency and economy through sound recordkeeping practices, including reducing storage costs through the use of records storage centres and appropriate technologies; and,
- h. establish and define accountability, responsibility and roles, as appropriate to level of involvement with records management.

Authorities:

Section 254 of the Municipal Act states a municipality shall retain and preserve the records of the municipality and its local boards in a secure and accessible manner.

This policy applies to local boards, agencies, and Committees of Council to the extent necessary to ensure that appropriate records management, retention, and disposal

processes are in place. Responsibility for the establishment, implementation, and maintenance of such process's rests with those entities and not with the City.

Administration:

By-Laws 2026-093 and 2001-04 of the Corporation of the City of Kawartha Lakes designates Council as the head for the purposes of the Municipal Act, 2001.

By-Laws 2026-093 and 2001-05 of the Corporation of the City of Kawartha Lakes delegates the powers and duties described in section 228 of the Municipal Act, 2001 to the City Clerk.

Scope:

This policy is intended to govern the ways in which the City of Kawartha Lakes retains and disposes of its records section 254 of the Municipal Act, 2001 and is applicable to all municipal employees.

Definitions:

“Active Record” means a record that is referred to and used on a regular basis, and one where a retention period has not yet been applied

“Access” means the opportunity of finding, consulting or approaching documents or information.

“Act” means the Municipal Act, 2001, S.O. 2001, c. 25.

“Disposal” means the transfer of records, especially noncurrent records, to their final state, either destruction or transfer to Archival Services.

“Department” means either an administrative unit of the City.

Policy:

All records created or received by an employee of The Corporation of the City of Kawartha Lakes in the course of official business are subject to the City's records management practices and procedures.

It is the responsibility of every City employee holding or maintaining City records to deliver all such records to their successors or to the City Clerk upon leaving office or employment.

Transfer of original City records into the possession of private organizations or individuals is prohibited except for the purposes of microfilming, imaging, duplication,

format conversion, binding, conservation, or other records management and preservation procedures, or where authorized by by-law, legislation or contractual agreement.

1. Ownership of Records and Information

- a. Records created or accumulated by Council Members acting in their political or constituency capacity are not corporate records where these records are stored and managed separately from corporate records.
- b. Records in the custody of consultants, contractors, and private service providers performing work for the City may be under the control of the City and subject to the Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56.
- c. Records created by volunteers or part-time workers performing work under the direction of a City employee are corporate records subject to this Policy and to the provisions of the Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56.
- d. Records created or received by City employees, with the exception of the employee's personal records, are considered Corporate records and are under the ownership of the City.

2. Changes of Custody, Control or Ownership

- a. When physical custody of original corporate records is transferred to another institution not covered by this policy, a protocol agreement must be in place. The agreement must identify the records in question, define the rights retained by the City and ensure that the records will be managed in accordance with government legislation, by-laws, regulations, policies, standards and records schedules. Protocol agreements may contain the following provisions:
 - i. the City may restrict access to or the disposition of records transferred or those created after the transfer;
 - ii. new records created or documentation added to existing records may change retention;
 - iii. records must be returned to the City once they are no longer required or if the information is requested by the City; and
 - iv. intellectual property rights (such as patents, copyright, etc.) must be retained by the City.

3. Information Security

- a. Security measures must be implemented to ensure that records are created, acquired, updated, handled, used, transmitted, transported, filed stored and destroyed in a manner appropriate to their sensitivity. These security measures must ensure the integrity of the records, protect sensitive information and personal information from unauthorized access or disclosure and protect vital records from damage or loss.

4. Records Classification System

- a. The Ontario Municipal Records Management System (TOMRMS), as amended, is used as the City's records classification system and retention schedule as per Records Retention By-law 2026-093.

5. Retention and Disposition of Corporate Records

- a. All corporate records will be retained and disposed of according to the Council-approved Corporate records schedule.
- b. In order to reduce the use of office space and file equipment, inactive physical records will be stored in records centres coordinated by the City Clerk's Office.
- c. Employees will use a Corporate approved CityHub/SharePoint electronic documents and records management system to store and manage electronic records not already stored in other approved database applications.
- d. In accordance with the approved retention schedule, final disposition action will take place in a timely manner at the end of the retention period for each record series.

6. Transitory Records

- a. After a final record has been produced and incorporated into the regular filing system, the working materials involved may become superseded or obsolete transitory records and may be destroyed unless otherwise legislated or specified in the records retention schedule.
- b. Working materials which are required for ongoing legal, fiscal, audit, administrative or operational purposes are not transitory records.
- c. Transitory records that are the subject of ongoing legal proceedings or a request under the Municipal Freedom of Information and Protection of

Privacy Act, R.S.O. 1990, c. M.56 must not be destroyed until after the legal proceeding or request has been completed and all possible appeals have been resolved.

7. Records Management Training

- a. The objective of training is to enable City staff to implement, use and maintain standardized systems for managing their record holdings.
- b. Training must be appropriate to the level of involvement with recordkeeping systems. This involves basic training for all employees and specialized training for smaller groups.
- c. Training topics may include the following:
 - i. principles of recordkeeping;
 - ii. information management terminology and processes;
 - iii. security of information holdings;
 - iv. access rights and privacy protection;
 - v. management of special types of records (e.g. transitory records, special media, etc.);
 - vi. classification of records;
 - vii. records search and retrieval;
 - viii. records retention and disposition schedules; and,
 - ix. file operations and records storage.

8. Destruction of Records

- a. Destruction of records may occur at the end of a record's life cycle as described in the approved records retention schedule.
- b. Records shall be destroyed using a method appropriate to their medium and to their content. Methods of destruction include but are not limited to deletion, garbage, shredding, and paper recycling.
- c. Destruction operations must maintain the confidentiality of information and protect the privacy of individuals whose personal information may be contained in the records. Records containing confidential and/or personal

information shall be destroyed through a process that achieves definitive obliteration of information.

- d. Records must be destroyed promptly following the expiration of approved retention periods. Exceptions to this planned destruction process include records still required for the ongoing functions of a municipal program, records that are the subject of a request under the Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56, and records required for ongoing legal, auditing, historical, or financial purposes.

Revision History:

Proposed Date of Review:

Revision	Date	Description of Changes	Requested By
0.0	May 19, 2026	Update Policy, Update Policy Number (formerly CP2021-029)	