Information Management Accountability Policy

Policy No. CIMS 003
Version No. 1.0
Approval Date: July 3, 2012

City Clerk’s Office
### An Information Management Policy

<table>
<thead>
<tr>
<th><strong>Subject:</strong></th>
<th>Information Management Accountability Policy</th>
<th><strong>Policy No:</strong> CIMS 003</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Keywords:</strong></td>
<td>Information management, data, accessibility, open government, principles, accountability, transparency, records, documents, framework</td>
<td><strong>Version No:</strong> 1.0</td>
</tr>
<tr>
<td><strong>Issued by:</strong></td>
<td>City Clerk’s Office</td>
<td><strong>Effective:</strong> July 3, 2012</td>
</tr>
</tbody>
</table>

### Contact Information:

**Director, Corporate Information Policy**

Tel: (416) 397-0736

**Corporate Information Management Services**

13W City Hall
100 Queen St. W,
Toronto, Ontario M5H 2N2
Table of Contents

1. Introduction 1
2. Purpose 1
3. Application 2
4. Policy Statement 2
5. Policy Outcomes 2
6. Roles and Responsibilities 2
7. Definitions 5
8. Compliance 6
9. Related City Policies and Guidelines 6
10. Policy Approval 6
11. Policy Review 7
12. Authority 7
1. Introduction

Open and accountable government requires high ethical standards and a set of defined roles and responsibilities for public officials. The City of Toronto commits to having appropriate policies, and practices that ensure transparency in the management of public information and the commitment to making information available to the public.

The public expects access to the City's information and the protection of their privacy. City divisions expect information to be current and accurate. And City managers expect information to be timely, correct and managed responsibly throughout the information lifecycle.

Accurate, useable and accessible information supports open, transparent and accountable local government by improving customer service and program delivery.

This means that the City will:

- Integrate record keeping practices with service delivery;
- Integrate Information Management practices with performance management;
- Invest in greater Information Management awareness training and communication to change the culture to one of collaboration and sharing.

Some examples of Information Management accountability are:

- TMMIS (Council and committee information accessible live and on-demand);
- Management meeting decisions are documented and accessible to staff;
- Dinesafe provides information to the public describing conditions found in food premises

The Information Management Accountability Policy is an output of the City's Information Management Framework which supports the development of Information Management policies, practices, standards and directives. The framework is structured to align with the Mayor/Council priorities of a more accountable and accessible government and commits the City to managing information as a valuable corporate asset. The Information Management Frameworks consists of four principles:


2. Purpose

The purpose of this policy is to establish clear accountability statements for the management of information within the City to promote:
3. **Application**

This Policy applies to all City of Toronto divisions and offices. The policy does not apply to Elected Officials, Accountability Officers or agencies of the City.

4. **Policy Statement**

All employees share responsibility for the proper management of information.

As a critically valuable resource, it is recognized that information must be managed reliably to improve City programs and services in the same manner and given the same consideration as other valuable corporate resources.

The City will create an executive champion group responsible for Information Management, and implement accountability structures related to Information Management practices.

The Information Management Accountability Policy is the over-riding policy within the City’s Information Management policy structure.

5. **Policy Outcomes**

a) Governance structures, mechanisms and resources are in place to ensure the continuous and effective management of information that underpin the tenets of Open Government.

b) City staff and services are able to provide access to relevant, trusted, useable, comprehensive and timely information.

6. **Roles and Responsibilities**

**Executives:**

City Manager will:
• Ensure that there is continued oversight to the Information Management Accountability Policy:

• Designate the City Clerk to create an executive champion group that will include Deputy City Managers (DCM) and other executives of the City.

Deputy City Manager(s) will:

• Ensure divisional programs and services within their cluster integrate Information Management requirements into development, implementation, evaluation, and reporting activities;

• Coordinate and prioritize enterprise and divisional Information Management strategies, enablement technologies, and funding models;

• Ensure that an Information Management Plan for each division in their cluster is developed and implemented;

• Ensure performance of the divisional Information Management Plans are monitored and annually reported;

• Ensure information is shared and accessible to the greatest extent possible, while respecting security and privacy requirements.

City Clerk will:

• Create executive champion group including the DCMs, Executive Director of Human Resources, Chief Information Officer (CIO), Medical Officer of Health and City Solicitor.

• Lead the corporate development and implementation of Information Management policy to foster a culture of collaboration and information sharing;

• Enable Information Management best practices to promote open government;

• Provide services to City programs and Divisions to assist in the management of information including legislative requirements under City of Toronto Act (COTA), 2006, the Municipal Freedom of Information and Protection of Privacy Act and other relevant statutes;

• Preserve and provide access to the City’s documentary heritage; and,

• Lead corporate Information Management training and awareness.

Chief Information Officer will:

• Enable the management of information through the development of enterprise architecture, standards, risk management and security, technology solutioning and sustainment;

• Operationalize Information Management policy and standards in technology;

• Enable technology measures to implement Open Government;

Medical Officer of Health will:
• Be accountable for the Information Management practices affecting personal health information in Toronto Public Health, as a Health Information Custodian identified in the Personal Health Information Protection Act, 2004.

Executive Director, Human Resources will:

• Collaborate with City Clerk's Office to develop a culture of collaboration and information sharing through the delivery of Information Management training and awareness programs.

Division Heads will:

• Establish, measure and report on a divisional Information Management Plan;
• Manage information in accordance with MFIPPA, PHIPA and other legislation;
• Ensure proactive and routine disclosure plans are up to date, accessible and communicated to line management and staff and available to the public;
• Ensure that decisions and decision-making processes are appropriately documented and communicated to account for and support the continuity of divisional operations;
• Designate a management-level staff member to represent the division as an Information Management Liaison and collaborate with City Clerk’s Office;
• Identify and make available data sets in compliance with the City’s Open Data Policy, [http://wi.toronto.ca/intra/clerks/cco_policies.nsf/FCB753C4FCBC50F38525798B004CBB81/$file/open_data.pdf](http://wi.toronto.ca/intra/clerks/cco_policies.nsf/FCB753C4FCBC50F38525798B004CBB81/$file/open_data.pdf);
• Manage records and information in compliance with the City’s records retention By-laws and the Responsible Record-Keeping Directive, [http://wi.toronto.ca/intra/clerks/cco_policies.nsf/FCB753C4FCBC50F3852579D500553288/$file/responsible_record_keeping_directive.pdf](http://wi.toronto.ca/intra/clerks/cco_policies.nsf/FCB753C4FCBC50F3852579D500553288/$file/responsible_record_keeping_directive.pdf); Approve all Divisional Records Retention Authorization Forms (RRAF) for the disposition of Divisional records;
• Ensure that all information managed respects user agreements, licensing conditions, or both;
• Ensure the relevance, authenticity, quality, and cost-effectiveness of the information for as long as it is required to meet operational needs and accountabilities;
• Set record keeping standards for their Division and communicate them to all Divisional staff, contractors, subcontractors, agents, vendors, consultants, and volunteers; and,
• Ensure compliance with this policy and related Information Management policies.

City Staff:

All City staff will:
• Familiarize themselves and comply with Information Management, information security, confidentiality and privacy protection policies, standards and practices;
• Manage information in such a way that it provides concise, accurate and complete evidence of their decisions, transactions and activities;
• Fulfill the requirements of good record keeping practices;
• Continually inform themselves through Information Management education and awareness, training and skills development courses.
• Ensure compliance with this policy and related Information Management policies.

7. Definitions

Executives:
City Manager, Deputy City Managers, General Managers, Division Heads, the City Solicitor, and the City Clerk.

Information Management:
The means, by which the City of Toronto responsibly plans, creates, capture, organizes, protects, uses, controls, shares disposes, and evaluates its information, and through which it ensures that the value of that information is identified and exploited to the fullest extent.

Information Management Plan:
An information management plan is a set of recommendations and an agreed action plan, which will serve the division’s current and future needs while taking into account resource and technical constraints.

Open Government:
A means to promote transparency, accountability and accessibility of good governance and fosters a culture of collaboration and improved customer service to the public.

Record:
Information however recorded or stored, whether in printed form, on film, by electronic means or otherwise, and includes documents, financial statements, minutes, accounts, correspondence, memoranda, plans, maps, drawings, photographs and films – City of Toronto Act, 2006, s.3 (1).

Records Retention:
Defines the retention periods and consequent disposition actions authorized for records described in the By-law.
8. Compliance
Staff should ask their supervisor if they have any concerns regarding compliance with this policy.

9. Related City Policies and Guidelines
- Municipal Code Chapter 217
- Acceptable Use Policy
  [http://insideto.toronto.ca/itweb/policiesstandards/acceptable_use.htm](http://insideto.toronto.ca/itweb/policiesstandards/acceptable_use.htm)
- Corporate Information Security Policy
  [http://insideto.toronto.ca/itweb/policiesstandards/information_security.htm](http://insideto.toronto.ca/itweb/policiesstandards/information_security.htm)
- Charter of Expectations
- Access and Privacy Policies and Guidelines
- E-mail Policy
  [http://insideto.toronto.ca/itweb/computer-email/email_policy.htm](http://insideto.toronto.ca/itweb/computer-email/email_policy.htm)
- Descriptive Metadata Standard
- Records Metadata Standard
- Responsible Record-Keeping Directive
- Responsible Record-Keeping Guideline
- Open Data Policy

10. Policy Approval

Joseph P. Pennachetti
City Manager

Signature__________________________________   Date July 3, 2012
11. Policy Review
   This policy is reviewed yearly or sooner if necessary.
   Approval follows the process in effect at the time of review.

12. Authority
   1. *City of Toronto Act, 2006*
   2. Corporate Records Program Mandate, July 27, 1999
   3. Corporate Information Management Services Mandate, August 17, 2010
   4. Municipal Code, Chapter 217, Records
   5. Municipal Code, Chapter 169
   7. *Personal Health Information Protection Act*