

Information Management Guideline - Responsibilities for New, Transferring, and Exiting Employees, and their Supervisors and Managers

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An Information Management Guideline

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1. Introduction

Every day we create, collect, use, and share information in order to deliver services and advance the goals of the City. Properly managed information helps us to make informed decisions, support City programs, improve service delivery to the public, and ensure the preservation of the City's information. Well managed and accessible public information is the foundation of an [Open Government](#).

All employees, including New, Transferring, and Exiting Employees, and their Supervisors and Managers, share a responsibility for the proper management of information. Those responsibilities are set out in the City's Information Management Policies and Standards.

2. Purpose

The purpose of this Guideline is to inform New, Transferring, and Exiting Employees, and their Supervisors and Managers, about their Information Management responsibilities and the Policies, Standards, Guidelines, Training, and Contacts available to support them.

3. Application

This Guideline applies to all City of Toronto Divisions, City employees, volunteers and contract employees hired by the City of Toronto.

This Guideline does not apply to Elected Officials, Accountability Officers or City Agencies and corporations. The City of Toronto encourages City Agencies and Corporations to review, adopt or update this Guideline appropriate to their business circumstances.

4. Guideline

This Guideline is divided into four sections:

- 4.1 [Supervisors and Managers](#)
- 4.2 [New Employees](#)
- 4.3 [Transferring Employees](#)
- 4.4 [Exiting Employees](#)

Information Management requirements, accountabilities, and resources are identified in each section.

4.1 Supervisors and Managers

4.1.1 Understanding your Information Management Responsibilities

As Supervisors and Managers, you should familiarize yourself with your job related Information Management responsibilities and those relevant to your employees. A number of resources are available to assist you including:

- [Information Management Accountability Policy](#)
- [Information Management Framework](#)
- [Management Responsibility Controls Checklist](#)
- [Protection of Privacy Policy](#)
- [Responsible Record-Keeping Directive & Guideline](#)
- [Routine Disclosure Guidelines](#)
- [Toronto Municipal Code, Chapter 217, Records, Corporate \(City\)](#)

You can also consult the [City's Information Management Library](#) and [Managing Business Unit Records website](#) for more information.

4.1.2 Guidance for Supervisors and Managers based on Employee Situation

4.1.2.1 New Employees

You are the first point of contact for New Employees and they rely on your leadership and guidance as they start their new responsibilities.

You are encouraged to meet with your New Employee to discuss the way information is managed in your Division. Point them towards helpful resources such as those found in Divisional procedures and on the [Corporate Information Management Service website](#).

Information Management training, such as Freedom of Information and Privacy Protection training, is recommended for your employees commensurate with their job responsibilities.

In addition, you can consider the following Human Resources references to assist you when working with New Employees:

- [Employee Orientation website](#)
- Management Onboarding: A Guide to Orienting New Supervisors and Managers
- Management Onboarding: Information for New Supervisors and Managers
- New Employee Orientation Program Guidelines

4.1.2.2 Transferring Employees

If one of your employees is transferring to another position within the Division or the City, you should schedule a review with them to identify the projects they are working on and the location of related information. This will allow you to make the decisions required to ensure that information is managed during and after the employee's transition.

The **Transferring Employee Information Management Checklist** in [APPENDIX B](#) may be used to manage the Information Management responsibilities of the Transferring Employee.

4.1.2.3 Exiting Employees

If one of your employees is exiting the City, you should schedule a review with them to discuss the projects they are working on and confirm the location of related information to determine what will happen with that information. For example, you may decide to leave the information where it currently resides and transfer access to yourself or a successor of the Exiting Employee. You may also decide to contact CIMS to inquire how long the information should be kept for, or, what the process is to dispose of the information.

For short notice departures, you should review all information and projects that the employee was working on to make a decision as to what will happen with that information.

The **Exiting Employee Information Management Checklist** in [APPENDIX C](#) may be used to manage the Information Management responsibilities of the Exiting Employee.

You should also be aware of the [Toronto Municipal Code, Chapter 192, Public Service](#) which outlines responsibilities for safeguarding confidential information by employees during and after their employment with the City.

4.2 New Employees

Starting a new job provides you with an ideal opportunity to establish good practices for managing information from the beginning.

Meet with your Supervisor or Manager to:

- Find out where your Division's business records are located. Locations can include business systems such as SAP or other database applications, shared directories, collaboration tools, and hardcopy paper files.

- Confirm what Divisional business records have been assigned to you as part of your responsibilities.
- Learn more about your Information Management responsibilities such as how records are organized, classified, and managed. Learn what to keep, and what can be disposed of.
- Ask what training you should take to be able to fulfil your responsibilities. See the [Training and Awareness section](#) for examples.
- Ask if you'll need any City issued technologies e.g. smartphones or tablets to perform your duties.
- Ask about what you can use your personal device for. Information & Technology's Acceptable Use Policy can also provide guidance on the use of personal devices.

4.2.1 Information Management Policies

During your first two weeks you should familiarize yourself with the City's Information Management Policies, Standards, Directives, and Guidelines that impact your day-to-day work. For example:

- the [Responsible Record-Keeping Directive & Guideline](#) and [Information Management Accountability Policy](#) will guide you in understanding your Information Management responsibilities;
- the [Protection of Privacy Policy](#) assists you in understanding what personal and confidential information is and how to protect it;
- the [Information Management Framework](#) outlines Information Management Goals, Principles, and Themes;
- the [Open Data Policy](#) helps to you understand and recognize if the information you're working with can be released as an open data set; and
- the [City Forms Policy](#) will help you understand requirements and accountability for forms (if applicable to your job responsibilities).

You can find more in the [City Information Management Library](#).

Also see Information and Technology's [Policies, Procedures, Standards, & Guidelines](#), and especially the **Acceptable Use Policy**, to help you understand your responsibilities for the safeguarding and proper use of information technology.

4.2.2 Legislation

Over your first few months, you should familiarize yourself with the Legislation that provides the authority and guidance for managing information as a record and protecting privacy at the City. The following will be of interest to you:

- [Toronto Municipal Code, Chapter 217, Records, Corporate \(City\)](#) defines what a record is and helps you understand roles and record-keeping processes.
- [Toronto Municipal Code, Chapter 192, Public Service](#) outlines your ethical responsibilities, including safeguarding confidential information, during and after your employment with the City.
- [Municipal Freedom of Information and Protection of Privacy Act](#) describes the rules regarding the collection, use, disclosure and disposal of personal information held by the City.

Where applicable:

- [Personal Health Information and Protection Act \(PHIPA\)](#) describes the rules regarding the collection, use, disclosure of personal health information.

4.2.3 Training & Awareness

Speak with your Supervisor to determine what training is appropriate for your job and make a commitment to attend those courses to better understand your role and responsibilities. Courses mentioned below are available through the Human Resources [Toronto Public Service website](#):

- See the [Protecting Privacy on the Job Video](#) and if required, sign up for the Freedom of Information and Privacy Protection course.
- Learn about the City's [Open Government](#) initiative by attending the Open Government: Building Transparency and Accountability course.
- See the [Email: What You Should Know Video](#) to learn more about using email in the City.

It's also suggested you consult the Human Resources [Employee Orientation website](#).

The **New Employee Information Management Checklist** in [APPENDIX A](#) summarizes the Information Management requirements in the New Employee section and may be used to assist you.

4.3 Transferring Employees

Incorporating good Information Management practices into your day-to-day routine will make your transition easier and ensure that your successor and team are supported in performing their jobs.

Before you transfer to another job within your Division or the City, meet with your Supervisor or Manager to discuss your Information Management responsibilities. The

Transferring Employee Information Management Checklist in [APPENDIX B](#) may be used to assist you. The Checklist is designed to guide you in ensuring information and access to information is properly managed e.g. handling of email, as you transfer to your new role.

Note: If you will continue to be involved in specific projects and will still require access to the Division's business system or shared drive after you transfer, speak with your Supervisor or Manager about retaining access to the information you need.

4.4 Exiting Employees

Note: It's important to remember that employees are not permitted to take City records with them when they leave.

If you are leaving the City, you have a responsibility in ensuring the continuity of City business processes. Meet with your Supervisor or Manager to discuss your Information Management responsibilities. The **Exiting Employee Information Management Checklist** in [APPENDIX C](#) may be used to assist you. The Checklist is designed to guide you in ensuring information and access to information is properly managed as you leave the City.

In addition, the [Toronto Municipal Code, Chapter 192, Public Service](#) outlines further responsibilities for ethical behaviour after employment ends such as not using or disclosing confidential information after leaving the City. This applies to all Exiting Employees.

5. Where You Can Find More Help

This Guideline provides a basic overview of the processes and practices associated with managing information in the City of Toronto.

To learn more about how to implement these processes within your Division or if you have general questions about your Information Management responsibilities, contact:

Jim Suderman
Director, Information Access
Corporate Information Management Services
City Clerk's Office
416-392-5652
jsuderm@toronto.ca

APPENDIX A - New Employee Information Management Checklist

This checklist was created to assist New Employees as they begin their new position with the City of Toronto.

Done	Action
<input type="checkbox"/>	Have you spoken to your Manager or Supervisor to identify the location of your Division's records e.g. business systems, shared directories, and/or in hardcopy paper files?
<input type="checkbox"/>	Did you confirm what records have been assigned to you as part of your job responsibilities?
<input type="checkbox"/>	Have you familiarized yourself with the City's Information Management Policies, Standards, Directives, and responsibilities that affect you?
<input type="checkbox"/>	Have you familiarized yourself with your Division's Information Management procedures?
<input type="checkbox"/>	Did you confirm how to properly use technology assigned to you e.g. tablets and use of hardware and use of USB's to safeguard Personal and Confidential information?
<input type="checkbox"/>	Have you confirmed with your Supervisor or Manager what training you should sign up for?
Key Resources/Polices	
Legislation	IM Policies, Directive, Guideline, & Framework
1. Municipal Freedom of and Protection of Privacy Act (MFIPPA)	1. City Forms Policy
2. Personal Health Information and Protection Act (PHIPA)	2. Information Management Accountability Policy
3. Toronto Municipal Code, Chapter 192, Public Service	3. Information Management Framework
4. Toronto Municipal Code, Chapter 217, Records, Corporate (City)	4. Open Data Policy
	5. Protection of Privacy Policy
	6. Responsible Record-Keeping Directive & Guideline
Human Resources	Information and Technology
New Employee Orientation website	Acceptable Use Policy (I&T Website)

APPENDIX B - Transferring Employee Information Management Checklist

This checklist was created for Transferring Employees to help ensure they've completed all their Information Management responsibilities before transferring to a new position.

Storing Information & Making it Accessible		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Has the information you are responsible for been saved into the appropriate shared drive or business system so that it is accessible to your successor and colleagues?
<input type="checkbox"/>	<input type="checkbox"/>	Did you copy any business information from diaries, notebooks, mobile, or personal devices where it is accessible to your successor and colleagues?
<input type="checkbox"/>	<input type="checkbox"/>	Did you document and provide relevant information about everything being left for your successor such as a summary of ongoing projects and related contact information, an inventory of information (including file or locator numbers), a list of job-related website addresses, etc., explaining why it will be needed?
<input type="checkbox"/>	<input type="checkbox"/>	Did you determine what will happen with your email (especially those related to an ongoing project)?
<input type="checkbox"/>	<input type="checkbox"/>	Did you speak with your Supervisor or Manager about retaining access to information (if required)?
Removing Information		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Did you remove information not related to City or Division business from shared drives?
<input type="checkbox"/>	<input type="checkbox"/>	Did you delete all Transitory Records (provided these are not subject to ongoing access to information requests or legal holds)?
<input type="checkbox"/>	<input type="checkbox"/>	Did you remove your name from external distribution lists?
<input type="checkbox"/>	<input type="checkbox"/>	Did you cancel or forward professional subscriptions paid for by the City?
Returning Records & Technology		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Did you return records that have been borrowed from central file rooms?
<input type="checkbox"/>	<input type="checkbox"/>	Did you return all mobile computing devices such as access tokens, mobile phones, laptops/tablets, USB drives, etc.?
Key Resources/Polices		
Legislation		IM Policies, Directive, Guideline, & Framework
1. Municipal Freedom of and Protection of Privacy Act (MFIPPA)		1. City Forms Policy
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	6. Responsible Record-Keeping Directive & Guideline
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APPENDIX C - Exiting Employee Information Management Checklist

This checklist was created for Exiting Employees to help ensure they've completed all their Information Management responsibilities before leaving the City.

Storing Information & Making it Accessible		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Has the information you are responsible for been saved into the appropriate shared drive or business system so that it is accessible to your successor and colleagues?
<input type="checkbox"/>	<input type="checkbox"/>	Did you copy any business information from diaries, notebooks, mobile, or personal devices where it is accessible to your successor and colleagues?
<input type="checkbox"/>	<input type="checkbox"/>	Did you document and provide relevant information about everything being left for your successor such as a summary of ongoing projects and related contact information, an inventory of information (including file or locator numbers), a list of job-related website addresses, etc., explaining why it will be needed?
<input type="checkbox"/>	<input type="checkbox"/>	Did you determine what will happen with your email (especially those related to an ongoing project)?
Removing Information		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Did you remove all information not related to City or Divisional business from any shared and personal drives?
<input type="checkbox"/>	<input type="checkbox"/>	Did you delete all Transitory Records (provided these are not subject to ongoing access to information requests or legal holds)?
<input type="checkbox"/>	<input type="checkbox"/>	Did you remove your name from external distribution lists?
<input type="checkbox"/>	<input type="checkbox"/>	Did you cancel or forward professional subscriptions paid for by the City?
Returning Records & Technology		
Done	N/A	Action
<input type="checkbox"/>	<input type="checkbox"/>	Did you return records that have been borrowed from central file rooms?
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		6. Responsible Record-Keeping Directive & Guideline
Human Resources		Information and Technology

[New Employee Orientation website](#)

Acceptable Use Policy ([I&T Website](#))