The Corporation of the Town of LaSalle

Date	June 17, 2019	**Report No:**	CL-14-19
Directed To:	Mayor and Members of Council	**Attachments:**	1) Records By-Law 2) Retention & Disposition Schedule 'A' 3) Records Management Procedure Manual
Department:	Council Services	**Policy References:**	
Prepared By:	Lauren Uszynski, Records Management Clerk		
Subject:	Records Management Program Updates		

RECOMMENDATIONS:

1. That By-Law 7738, passed on March 10, 2015 which approved the current classification scheme and retention schedule for corporate records BE REPEALED.

2. That the new By-Law and Records Retention Schedule BE APPROVED setting our series, descriptions and retention periods for corporate records in accordance with current governing legislation.

3. That the new Records Management Manual BE APPROVED.

REPORT:

Section 255 (2-3) of the *Municipal Act, 2001* outlines that a municipality may establish retention periods for records and that these records may be destroyed if the retention period has expired.

The importance of records management is growing as municipalities are increasingly subject to claims, litigation and FOI requests. An updated records management program and retention schedule serve as risk management tools to uphold the integrity of records management and systems of the municipality.

The current Records Retention Schedule was approved in March, 2015. A number of legislative changes, operational requirements and new records categories require a new Records Retention and Disposition By-Law to be adopted. Sections outlining definitions used in the retention schedule, records classification and responsibilities of each employee in proper records management have been added to the By-Law. Sections on the disposition of records and governance of this disposition have also been included.

1. Updated Records Retention By-Law

The Records Retention By-Law has been updated to support the various Records Management concepts discussed therein. The updates include:

- Definitions
- Records Retention and Classification
- Transitory Records
- Governance of the destruction of records
- Records disposition
- Orphan Data
- Employee Responsibilities

The By-Law also includes a delegation of authority statement authorizing the Clerk to make any required changes to the retention schedule, subject to the approval of a Municipal Auditor. TOMRMS releases yearly legislative updates and the Records Management Clerk is continually reviewing the records holdings of the Town of LaSalle. The delegation of authority statement will allow for minor changes in response to new or updates legislation, the identification of new records series or operational needs.

2. Retention and Disposition Schedule

As part of a formal Records Management Program, the Records Retention Schedule requires periodic updating due to new or changing operational needs and legislative requirements. The records retention schedule is based on *The Ontario Municipal Records Management System* (TOMRMS), though considerable changes have been made to the schedule to accommodate the Town of LaSalle's current records holdings and gaps in representation of record types on the schedule. The Records Management Clerk has conducted inventories and has identified required additions and updates to the current retention schedule. Legislative, regulatory, operational and historical requirements and needs were taken into account when considering records retention periods.
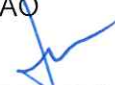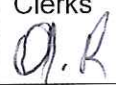
The attached retention schedule includes new categories and sub-series of records which are more reflective of the current information holdings. Series have been added to reflect categories of records held by DSI, Finance, Culture and Recreation and Council Services that are not encompassed in our current retention schedule. As per the agreement with InfoPros, the series descriptions are not included in the attached schedule as it is proprietary information. Series descriptions will be included in the administrative copy of the retention schedule.

3. Records Management Manual

The Records Management Manual will serve as one of the foundational documents of the Town of LaSalle's formal records management program. The manual provides comprehensive guidelines for all matters related to records, with reference to procedural documents used for records management practices. This will serve as a manual for all processes related to records creation, maintenance, preservation and disposition.

Lauren Uszynski
Records Management Clerk

Reviewed by:							
CAO	Treasury	Clerks O.K	Env. Services	Planning	Parks & Rec	Building	Fire

THE CORPORATION OF THE TOWN OF LASALLE

BY-LAW NO.

A By-law to provide for the classification, retention, and destruction of the records of the Town of LaSalle and to repeal By-Law 7738, being a By-Law to establish a new Records Retention Schedule

WHEREAS Section 254(1) of the Municipal Act, 2001, provides that a municipality shall retain and preserve its records in a secure and accessible manner;

AND WHEREAS Section 255(3) of the Municipal Act, 2001 provides for a municipality, subject to the approval of the municipal auditor, to establish retention periods during which its records must be retained and preserved;

AND WHEREAS Section 255(2) of the Municipal Act, 2001 provides that a municipality's records may be destroyed if a retention period for the records has been established and the retention has expired;

AND WHEREAS By-law 7738 passed March 10, 2015 established retention periods for certain documents and records;

AND WHEREAS it is now appropriate to adopt an updated records retention classification and by-law for the Town, said classification and retention having been approved by the municipal auditor on June 10, 2019;

NOW THEREFORE THE COUNCIL OF THE CORPORATION OF THE TOWN OF LASALLE HEREBY ENACTS AS FOLLOWS:

1 DEFINITIONS

a) **Active Records**
   Records which are consulted on a regular basis. These records are stored in the departmental area or at an employee workstation for convenience.

b) **Archival Records**
   Records which have been appraised and deemed to have enduring historical value.

c) **Archival Review**
   An evaluation of records for potential archival value conducted by Records Management.

d) **Archive**
   A repository of archival records which have been appraised for permanent retention.

e) **Auditor**

Council appointed external auditors licensed under the Public Accountability Act, auditing the accounts and transactions of the Corporation of the Town of LaSalle.

f) **Classification System**

A systematic means of coding, categorizing and arranging records for use, retrieval and retention purposes.

g) **Destruction**

Refers to the permanent deletion or obliteration of records, regardless of format. Methods for physical destruction of records include shredding and recycling. Records containing personal or sensitive information shall be destroyed in a secure manner.

h) **Disposition**

The final stage of records life cycle. Records may be destroyed, retained permanently, or archived for preservation.

i) **Expungement**

A process to eliminate completely, wipe out or obliterate an electronic record beyond reconstruction.

j) **Freedom of Information Request (FOI)**

A formal request for records in the custody of the municipality under the *Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)*, made by a member of the public.

k) **Inactive Records**

A record that is no longer consulted on a regular basis, but is retained to fulfil legal, regulatory and operational requirements, or historical need.

l) **MFIPPA**

Refers to the *Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56.*

m) **Office of Primary Responsibility**

The department or division responsible for the retention, maintenance and disposition of a record.

n) **Official Record**

A record providing documentary evidence of the activities, rights, obligations and responsibilities of the Town on LaSalle. Recorded information that was created, received, distributed or maintained by the company in compliance with a legal obligation.

o) **Orphan Data**

Data which is not machine readable by any existing computer system or software. Machine readable data not having sufficient content, context or structure to render it understandable.

p) **Permanent Record**

A record with permanent retention due to its ongoing administrative, historical, fiscal, legal or operational value.

q) **Personal Information Bank**

A collection of personal information that is organized and capable of being retrieved using an individual's name or an identifying number or particular assigned to the individual.

r) **Record**

All recorded information, regardless of structure or form, created, captured or maintained by the municipality and which serves as documentary evidence of daily activities. Records are valuable information assets of the Town of LaSalle. Records may include, but are not limited to correspondence, email, memoranda, minutes, photographs, maps, plans, drawings, microforms, books, reports, etc.

s) **Records Life Cycle**

The life span of a record from creation, receipt or capture, through active, semi-active and inactive stages, to final disposition.

t) **Records Management**

The planning and systematic control of the creation, capture or receipt, maintenance, use and final disposition of records.

u) **Record Series**

A group of related documents that are filed together for retrieval and retention. This group is assigned an identifying code and title.

v) **Retention Period**

The period of time that records must be kept to fulfill operational, legal, regulatory, fiscal or other requirements before they are eligible for final disposition.

w) **Retention Schedule**

A control document defining the record series (categories) and the period of time each series must be kept. This document will be used to classify records and establishes legal authority of the destruction of records after the retention period has expired.

x) **Signing Authority**

Refers to the Department Head or designate.

y) **TOMRMS**

The Ontario Municipal Records Management System. This is a suggested retention schedule on which our retention schedule and records classification is based.

z) **Transitory Records**

Records having only temporary or limited usefulness or information that has been used in the preparation of a record. Often maintained for the completion of a routine task or in preparation of other records and are not required for operations

or statutory obligations. Examples include working papers, external publications, duplicate copies, etc. For more on Transitory Records, see **Schedule 'A'**.

aa) **Vital Records**

Records essential to resumption or continuation of operations after an emergency or disaster; those necessary to recreate the corporation's legal and financial position; and/or those necessary to preserve the rights of the corporation, its employees, customers, and ratepayers. Examples of vital records include accounts receivable / accounts payable records, contracts and agreements, By-Laws, policies and procedures, etc.

2   APPLICATION

a) This By-Law shall apply to all records, regardless of format, under the custody and control of the Corporation of the Town of LaSalle.

b) Data stored on the Town of LaSalle's back-up server shall not be considered a record for the purposes of records retention or requests, and is intended for use only in disaster recovery or system failure.

3   RETENTION SCHEDULE

a) The Records Retention Schedule, attached as Schedule 'A', forms part of this By-Law.

b) The Records Management Clerk shall administer this By-Law to ensure all retention periods set out in Schedule 'A' comply with any relevant legislation.

c) In determining retention periods set out in Schedule 'A', the Records Management Clerk shall consider any operational, legal, fiscal, or historical needs.

4   RECORDS RETENTION AND CLASSIFICATION

a) The Office of Primary Responsibility shall be responsible for the retention and maintenance of records.

b) Upon eligibility for records destruction, see Sections 6 *Governance of the Destruction of Records* and Section 7 *Disposition of Records* for instruction.

c) The Corporation shall classify retain, destroy and archive records in accordance with this By-Law and the attached Schedule 'A.'

   i)   Where records cannot be classified according to the Records Retention Schedule, the records management clerk will perform a records analysis in order to obtain information on operational needs, legislative requirements and potential historical value. The records management clerk will then provide guidance and suggest any necessary amendments to the Records Retention Schedule.

5   TRANSITORY RECORDS

This by-law shall not apply to transitory records. Transitory records may destroyed when no longer required.

6   GOVERNANCE OF THE DESTRUCTION OF RECORDS

a) Records shall not be destroyed unless the records satisfy the below criteria:

   i)   The record had been classified according to the Records Retention Schedule (Schedule 'A')

   ii)   The retention period has expired; or

   iii) The record is a copy of the original record, in accordance with Schedule 'A'

   iv) Records shall not be destroyed if pertaining to actual / potential litigation or an open request under privacy legislation
   v) Records shall not be destroyed without the appropriate authorization

b) Email records – Email backups are created and retained for disaster recovery purposes and shall not be used to fulfil records retention requirements.

c) Where records are destroyed or expunged, the records are to be destroyed in a secure manner, preserving the confidentiality of any personal information contained therein.

7   DISPOSTITION OF RECORDS

a) Each department will perform destruction of records in the regular course of business.

b) Upon eligibility for destruction, the following procedure will apply:
   i) A **Records Destruction Form** shall be filled out
   ii) The appropriate signing authority shall authorize destruction of records
   iii) The destruction form shall be forwarded to records management for retention
   iv) If there is a need to retain records and the retention period has expired, please fill out a **Records Retention Form** for appropriate authorization

c) Where official records have been destroyed, the Records Management Clerk shall obtain confirmation of disposition.

d) Where records are subject to archival review, please fill out a **Records Transfer Form** indicating archival review and forward to the Records Management Clerk.

e) **Orphan Data – Electronic Systems**
   i) Prior to the destruction of any Orphan Data, the following information is required:
      (1) A written description of the orphan data, to the extent that such information is available, the following:
         (a) Title of the system
         (b) The department or division responsible for the creation or use of the orphan data
         (c) A brief description of the system's purpose
         (d) Where possible, a contents list of the information to be destroyed
         (e) A brief description of any sub-systems, their purpose and relationship to the main system or other sub-systems
         (f) The name of the technical contact person who is responsible for documenting the system
      (2) The written approval of the department head or designate.
      (3) Where applicable to satisfy the provisions of the Federal Income Tax Act, Excise Tax Act, Employment Insurance Act or Canada Pension Plan, an exemption from the Minister of National Revenue from the requirement to keep records in an electronically readable format.
      (4) After destruction of the orphan data, documentation must be provided to the Records Management Clerk providing proof of destruction.

8 RESPONSIBILITIES

8.1 DUTIES OF THE CLERK

a) Provide leadership and support for the Records and Information Management Program.
b) Authorize the destruction of records in compliance with the Records Retention and Disposition Schedule.
c) Authorize changes to the records retention schedule.
d) Authorize new procedure supporting the Records and Information Management Program.

8.2 DUTIES OF RECORDS MANAGEMENT CLERK

a) Administer the Records and Information Management Program, providing assistance in implementation and maintenance.
b) Maintain and update the records retention schedule and information management policies.
c) Develop and maintain procedures to support the Records and Information Management Program.
d) Authorize the destruction, archiving, extended retention and transfer of records.
e) Conduct departmental assessments and offer training, assistance and recommendations.
f) Perform compliance audits.
g) Establish goals and timelines for records management initiatives and projects.
h) Provide consultation in purchase of software or filing equipment which will effect the storage, retrieval and maintenance of records and information.

8.3 DUTIES AND RESPONDIBILITIES OF DEPARTMENT HEADS

a) Shall be responsible for the records in the care of the department.
b) Department Heads or Signing Authorities are responsible for approving departmental records destruction requests.
c) Will work with the Records Management Clerk to ensure policies and procedures are applied.
d) Will assign a records liaison in each department/division.

8.4 DUTIES OF THE RECORDS LIASION

a) Assist in the implementation of policies, procedure and recommendations at the departmental level.
b) Participate in records management training sessions.
c) Co-ordinate records storage space, physical and electronic, at the departmental level.
d) Arrange for transfer or archiving of records at the departmental level.
e) Discuss any gaps or omissions in the retention schedule, policies or procedures with the Records Management Clerk for prompt assessment, schedule amendments and changes in policy/procedure.

8.5 DUTIES OF ALL EMPLOYEES

a) Create and maintain complete and accurate records which will serve as evidence of decisions, transactions and business activities.
b) Comply with all records management policies, By-Laws and procedures.
c) Comply with the file classification systems and retention periods as specified in the current Retention Schedule.

d) Ensure records in their custody are properly classified, maintained, preserved and disposed of according to the established retention periods.
e) Ensure that transitory records in their care are destroyed when no longer required.
f) Ensure the security and protection of personal or confidential information of records in their care.
g) Ensure that records in their custody are protected from inadvertent damage or destruction.
h) Ensure that upon exit or transfer, all records in their custody are transferred to supervisor or predecessor. This includes all physical, electronic and email records.

9   DELEGATION OF AUTHORITY
a) **THAT** authority for establishing and amending retention periods be delegated to the Municipal Clerk, subject to the approval of the Municipal Auditor of such schedules.

10   REPEAL AND ENACTMENT
a) By-law 7738 is hereby repealed.

This by-law shall come into full force and effect upon the final passing thereof.

READ a first, second time, and FINALLY PASSED this enter date.

1st Reading – date

2nd Reading – date

3rd Reading - date

TOWN OF LASALLE
Records Retention Schedule

A – ADMINISTRATION

Code	Series Title	Retention	Notes
A00	Administration – General	1	
A01	Associations & Organizations	CY + 1	
A02	Staff Committees & Meetings	4**	
A03	Computer / Information Systems	SO + 6	
A04	Conferences & Seminars	1**	LF & Destroy
A05	Consultants	2**	
A06	Inventory Control	6	
A07	Office Equipment & Furniture	E	E = Disposal of item
A08	Office Services	1	LF & Destroy
A09	Policies & Procedures	P**	
A09-3	Policy, Procedure, Manual Development	E + 1	E = Approval of Policy / Procedure
A10	Records Management	SO**	
A11	Records Disposition	P	
A12	Telecommunications Systems	SO	
A13	Travel & Accommodation	1	LF & Destroy
A14	Uniforms & Clothing	SO**	
A15	Vendors & Suppliers	2	

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A16	Intergovernmental Relations	5**	
A17	Information, Access and Privacy	2	
A17-1	Directory of Records	SO	
A17-2	FOI Requests	E + 4	E = Completion of FOI request or appeal
A17-3	Privacy Breach Investigation	CY + 10**	
A17-4	Privacy Complaints	E + 4**	E = Resolution of complaint or appeal
A17-5	Privacy Compliance Reviews	E + 4	E = Completion of review
A17-6	Routine Disclosure Requests	1	
A17-7	Internal Information Requests	CY + 1	
A18	Security	5	
A18-1	Visitor / Contractor Logs	CY + 1	
A18-2	Video Surveillance	7 days	
A18-3	Video Surveillance Access Logs	CY + 5	
A18-4	Video Surveillance Drawings	SO	
A19	Facilities Construction & Renovations	E + 15**	E = Completion of Project
A20	Building & Property Maintenance	5	
A20-1	Set up tests and manuals	E + 1	E = Equipment Removed
A21	Facilities Bookings	CY + 1	
A22	Accessibility Management	5**	
A23	Information Systems Production Activity & Control	2	
A24	Access Controls & Passwords	SO	
A25	Forms & Templates	SO	
A26	Performance Management / Quality Assurance	6	
A27	Operational Audits	E + 10**	E = Completion of Audit

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A28	Building Structure Systems	SO	
A29	Drawings	SO	

C – COUNCIL, BOARDS AND BY-LAWS

Code	Series Title	Retention	Notes
C00	Council, Boards & By-Laws – General	1	
C01	By-Laws	P**	
C01-1	By-Law Exemptions	CY + 2	
C02	Other Municipalities – By-Laws, Motions & Resolutions	CY + 2	
C03	Council Agenda	P**	
C03-1	Council Agenda – Working Notes/Requests	CY + 7	
C04	Council Minutes	P	
C05	Standing & Advisory Committees	P**	
C06	Boards, Committees & Tasks Forces	P**	
C07	Elections	E + 4**	E = Day action took effect after voting day
C07-1	Election Advertising	E + 4**	E = Day action took effect after voting day
C07-2	Ballots	E + 120 Days	E = Day action took effect after voting day
C07-3	Election Manual/Packages	SO	
C07-4	Financial Statements	E	E = Day that members of Council elected in following election have taken office
C07-5	Final Results	P**	
C07-6	Nomination Papers / Candidate Files	E + 4	E = Day action took effect after voting day
C07-7	Voters' List	E + 120	E = Day action took effect after voting day
C08	Goals, Objectives and Planning	SO + 10**	

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C09	Motions and Resolutions	P	
C10-1	Council Appointments	P**	
C10-2	Community Appointments	E + 2**	E = Expiry of Term
C10-3	Commission Appointments	E + 2	E = Expiry of Term
C12	Reports to Council and Standing Committees	P	
C13	Accountability, Transparency and Governance	CY + 2**	

D – DEVELOPMENT AND PLANNING

Code	Series Title	Retention	Notes
D00	Development and Planning – General	1	
D01	Demographic Studies	P**	
D02	Economic Development	10**	
D03	Environmental Planning	15**	
D04	Residential Development	10**	
D05	Natural Resources	5**	
D06	Tourism Development	10**	
D07	Condominium Plans	P**	
D08	Official Plan	P**	
D08-1	Official Plan Notifications – Other Municipalities	CY + 2	
D09	Official Plan Amendment Applications	E + 10**	
D10	Severances / Consents	P**	
D11	Site Plan Control Applications	P**	
D12	Subdivision Applications	P**	
D13	Variance Applications	P**	

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D14	Zoning	E + 6**	
D14-1	Zoning – Other Municipalities	CY + 2	
D15	Easements	E + 6**	E = Termination of Right / Request
D16	Encroachments	E + 6**	E = Termination of Right / Request
D17	Annexation / Amalgamation	P**	
D18	Community Improvement	E + 6**	E = Completion of Project
D19	Municipal Addressing	P**	
D20	Reference Plans	P**	
D21	Industrial / Commercial Development	10**	
D22	Digital Mapping	SO + 1	
D23	Agricultural Development	10**	
D24	Official Plan Background	E + 5	E = Final Decision
D25	Deeming Process	E + 2	E = Final Decision
D26	Development Charges	10**	
D27	Part Lot Control	E + 5**	E = Final Decision

E – ENVIRONMENTAL SERVICES

Code	Series Title	Retention	Notes
E00	Environmental Services – General	1	
E01	Sanitary Sewers	E + 6**	E = Completion of Project, **Specifications = P**
E02	Storm Sewers	E + 6**	E = Completion of Project, **Specifications = P**
E03	Treatment Plants (Wastewater Treatment and Collection Systems)	E + 6**	E = Report made or equipment decommissioned, **Specifications = P, Plans = Cease to Apply + 2**
E04	Tree Maintenance	5	

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E05	Environmental Monitoring	15**	
E05-1	Environmental Monitoring – Weather Monitoring	CY + 6	
E06-1	Utilities – Maps / Drawings	P**	
E06-2	Correspondence	5**	
E06-3	Power Outages	CY + 2	
E07-1	Waste Management – General	10**	**P = National guidelines for the Canadian Environmental Protection Act apply**
E07-2	Waste Management – Collection Calendar	CY + 3	
E07-3	Waste Management – Waste	10**	
E07-4	Waste Management – White Goods	CY + 1	
E07-5	Waste Management Survey	5	
E08	Water Works	15**	**Specifications = P**
E09	Drains	E + 10**	E = Completion of Project / Construction or denial of request / end of life of system **Specifications = P**
E10	Pits & Quarries	5**	**Specifications = Life of Pit/ Quarry**
E11	Nutrient Management	5**	
E12	Private Sewage Disposal Systems	5**	**Specifications = P**
E13	Water Monitoring	E + 15	E = Created, approved or plan no longer in force
E14	Water Sampling	E + 15	E = Created, approved or plan no longer in force
E15	Chemical Sampling of Water	E + 15	E = Created, approved or plan no longer in force
E16	Backflow Prevention and Cross Connection Control	15	
E17	Energy Management	E + 7	E = End of Reporting Period
E18	Natural Heritage	E + 3	E = End of Designated Year
E19	Renewable Energy	E + 15**	E = Created, approved, or plan no longer in force

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E20	Air Quality Monitoring	E + 5**	E = later of: date of offence or: day evidence of offence first came to attention of person appointed under s. 5
E21	Source Water Protection	E + 15	E = Created, approved or plan no longer in force
E22	Ministry of the Environment (MOE) Environmental Compliance Reports	E + 2	E = Cease to apply
E23	Private / Small Water Systems	E + 15	E = Decommissioning of System Maintenance = As long as system is in use
E24	Land Quality Monitoring	7	
E25	Gasoline Storage and Dispensing	7	
E25-1	Tank Install & Inspection	E + 5	E = System Removed
E26	Locates	2	

F – FINANCE AND ACCOUNTING

Code	Series Title	Retention	Notes
F00	Finance & Accounting – General	1	
F01	Accounts Payable	E + 7	E = End of Fiscal Year
F02	Accounts Receivable	E + 7	E = End of Fiscal Year
F03	Audits	7	
F04	Banking	7	
F05	Budgets & Estimates	7**	
F06	Assets	E + 10**	E = Disposal of Asset
F07	Cheques	7	
F08	Debentures & Bonds	E + 7	E = Debentures surrendered for exchange / cancellation
F09	Employee & Council Expenses	E + 7	E = End of Fiscal Year

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F10	Financial Statements	P**	
F11	Grants, Loans & Funding	E + 7	E = Repayment of loan or completion of project
F12	Investments	E + 7	E = Closure of Account
F13	Journal Vouchers	E + 7	E = End of Fiscal Year
F14	Subsidiary Ledgers, Registers & Journals	E + 7**	E = End of Fiscal Year
F15	General Ledgers & Journals	P	
F16	Payroll	E + 7	E = End of Fiscal Year
F17	Purchase Orders & Requisitions	E + 7	E = End of Fiscal Year
F18	Quotations & Tenders	7**	
F18-1	Quotations & Tenders – Unsuccessful Bids	1	
F19	Receipts	7	
F20	Reserve Funds	7	
F21	Revenues	7	**Records related to Mortgage = 10 Years**
F22	Fees Administration	E + 7	E = Closure of File
F23	Write-offs	7	**Court Services Write-offs = 37 Years**
F24	Trust Funds	E + 7	E = End of fiscal year or last day of residence
F25	Security Deposits	E + 6	E = Closure of Account or Final Release
F26	Legal Retainers	E + 7	E = Closure of File
F27	Assessment Rolls	P	
F28	Tax Sales	P**	
F29	PAP Plans – General	7	
F29-1	PAP Plans – Applications / Cheques	E + 1	E = Cancellation of PAP
F30	Account Updates	CY + 3	
F31	Tax Records	7	

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F31-3	Tax Records – Arrears Records	E + 7**	E = Property up to date in tax payments
F31-5	Tax Records – Maps	SO	
F31-7	Tax Records – Tax Certificates	CY + 2	
F32	Water Billing	7**	
F32-6	Water Billing – Work Orders	CY + 3	
F33	Regulatory Reporting – Financial	E + 7	E = End of Reporting Period
F34	Working Papers - Financial	E + 1	E = Completion of Audit

H – HUMAN RESOURCES

Code	Series Title	Retention	Notes
H00	Human Resources – General	1	
H01	Attendance & Scheduling	3**	
H02	Benefits Program	SO + 3	
H03	Employee Records	E + 50**	E = Date employee ceased to be employed by employer
H04	Health & Safety	6	**Accident reports for construction projects retained 1 year after project completion**
H04-3	Office Ergonomics	CY + 3	
H04-4	Physical Demands Analyses	SO + 6	
H05	Human Resources Planning	CY + 5**	
H06	Job Descriptions	P**	
H07	Labour Relations	E + 10**	E = Expiry of Contract Period
H08	Organizational Design	P**	
H09	Salary Planning	5	
H10	Pension & Benefits Records	E + 6**	E = Termination of Employee

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H11	Recruitment – General	E + 1**	E = Close of Competition
H11-1	Managerial Positions	E + 5**	E = Close of Competition
H11-2	Unsuccessful Applicants	E + 1	E = Close of Competition
H11-3	Unsolicited Resumes	1	
H12	Training & Development	E + 5**	E = Date when course ceases to be offered **Salt use training materials = E + 7** **Drinking water training materials = E + 5**
H13	Claims	E + 3	E = Resolution of claim Hazardous exposure claims = Longer of 40 years or 20 years after last record made
H14	Grievances	E + 10	E = Resolution of Claim
H15	Harassment & Violence	E + 3	E = Resolution of Complaint
H16	Criminal Background Checks	E + 7	E = Date employee ceased to be employed by employer
H17	Employee Medical Records – Hazardous Materials	E + 40	E = Event + 40 years or 20 years after last record of exposure
H18	Employee Medical Records	E + 3	E = Resolution of claim
H19	Disability Management	E + 5	E = Day issued or earlier as may be specified by Commission
H20	Confined Spaces	E + 1 and 2 most recent records retained	E = Longer of: 1 year after the document was created - Or: The period necessary to ensure 2 most recent records retained
H21	Employee Recognition	5	
H22	Employee Certifications	E + 2	E = Expiry of certification

** – Archival Review, CY = Current Year, E – Event, P – Permanent, SO – Superseded/Obsolete

L – LEGAL AFFAIRS

Code	Series Title	Retention	Notes
L00	Legal Affairs – General	1	
L01	Appeals & Hearings	P**	
L02	Claims Against the Municipality	E + 6	E = Settlement, resolution of claim or appeal, expiry of appeal period, expiry of ultimate limitation period OR age of majority for claims involving minors
L03	Claims by the Municipality	E + 6	E = Resolution of Claims and Appeals
L04	Contracts & Agreements – Under Seal	P**	
L05	Insurance Appraisals	E + 15	E = New appraisal completed or cease to apply
L06	Insurance Policies	E + 15	E = Expiry of Policy
L07	Land Acquisition & Sale	P**	
L07-5	Land Acquisition & Sale – Title Issues	E + 10**	E = Resolution of issue
L07-6	Land Acquisition & Sale – Denied, Withdrawn, Pending	E + 10**	E = Denial, withdrawal or abandonment of request
L08	Legal Opinions & Briefs	SO**	
L09	Precedents	SO**	
L10	Federal Legislation	SO	
L11	Provincial Legislation	SO	
L12-1	Vital Statistics – Registers & Notices	P	
L12-2	Vital Statistics – Correspondence & General Information	CY + 4	
L12-3	Vital Statistics – Marriage Licence Applications	E + 2	E = Expiry of Licence
L13	Prosecutions	E + 7	E = Delivery of Judgement

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L14	Contracts & Agreements – Simple	E + 6**	E = Expiry of Contract / Agreement **Long term care service providers = Expiry + 7 years**
L15	Risk Management	CY + 6**	

M – MEDIA AND PUBLIC RELATIONS

Code	Series Title	Retention	Notes
M00	Media & Public Relations – General	1	
M01	Advertising	P**	
M02	Ceremonies & Events	5**	
M02-1	Invitations & Regrets	CY + 1	
M02-2	Vendor Applications	E + 2	E = Event Date
M03	Charitable Campaigns / Fund Raising	1	
M04	Inquiries / Requests	CY + 1	LF & Destroy
M05	Media Monitoring	CY + 2**	
M06	Media Relations	CY + 4**	
M07	Publications	SO**	
M08	Speeches & Presentations	3**	
M09	Visual Identity & Insignia	P**	
M10	Website & Social Media Content	2	
M11	Awards & Recognition	CY + 1**	
M12	Complaints & Concerns	CY + 5	
M13	Corporate Communications	CY + 5**	
M14	Communications Planning	CY + 5**	
M15	Promotions & Marketing	CY + 5**	

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M15-2	Promotional Items	CY + 2**	
M16	Public Relations & Public Awareness Campaigns	CY + 5**	
M17	Community Engagement & Outreach	CY + 5**	
M18	Donations & Gifts	E + 7**	E = Disposal / Return of Item
M19	Intellectual Property	E + 5	E = Copyright, patent or trademark expired or last use
M99	Photographs & Videos	P**	

P – PROTECTION AND ENFORCEMENT SERVICES

Code	Series Title	Retention	Notes
P00	Protection & Enforcement Services – General	1	
P01	By-Law Enforcement / Compliance	6**	
P02	Daily Occurrence Logs	5**	
P03	Emergency Planning & Response	SO**	If Canadian Environmental Protection Act applies, Expiry of Plan + 5
P04	Hazardous Materials	SO + 5	Tank removal or if Canadian Environmental Protection Act applies SO + 7
P04-1	MSDS Sheets	SO + 1	
P05	Incident / Accident Reports	E + 15	E = Date of incident/accident or age of majority
P06	Building / Structural Inspections	E + 2	E = Date of Inspection **Initial fire system test report = Life of System**
P07	Health & Fire Safety Inspections	SO + 6	
P07-1	Food Safety Inspections / Certifications	CY + 6	
P07-2	Aquatics Inspections	CY + 6	
P08	Investigations	P**	

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P09	Licensing - General	CY + 6	
P09-1	Licensing – Dog	E + 2	E = Expiry of Licence
P09-2	Licensing – Drain Layer	E + 4	E = Expiry/Renewal of Licence
P09-3	Licensing – Liquor Licence Clearance	SO + 2	
P09-4	Licensing – Lottery	E + 4	E = Expiry/Renewal of Licence
P09-4-1	Licensing – Lottery Eligibility Forms	E	E = Destruction of final file on organization
P09-5	Licensing – Taxi Correspondence	CY + 4	
P09-5-1	Licensing – Taxi Driver	E + 4	E = Expiry/Renewal of Licence
P09-5-2	Licensing – Taxi Plates	E + 4	E = Expiry of Plate
P09-5-3	Licensing – Taxi Broker	E + 4	E = Expiry/Renewal of Licence
P09-5-4	Licensing – Taxi – Written Exams, Failed/Abandoned	CY + 1	
P09-6	Licensing – Mobile Vendor	E + 4	E = Expiry of Licence
P10	Building Permits	P**	E = Closure of Permit
P10-1	Building Permits – Applications: Denied, Withdrawn, Abandoned	E + 2	E = Date of denial, withdrawal or abandonment of application
P11-1	Building Permit Drawings & Plans – Simple Residential	E + 15 Years	E = Later of Jan. 1, 2004 or Close of permit **If scanned according to digitization standards, physical residential plans = E + 2**
P11-2	Building Permit Drawings & Plans – Complex Residential	E + 5**	E = Life of Facility
P11-3	Building Permit Drawings & Plans – Industrial & Commercial	P**	
P11-4	Building Permit Drawings & Plans – Municipal Facilities	SO + 1**	
P12	Permits – Other	E + 2	E = Expiry of Permit

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P14	Animal Control	5**	
P15	Emergency Services	CY + 6**	
P16	Community Protection Programs	SO + 2**	
P17	Building Permit Activity Reporting	CY + 4	
P19	Prohibitions & Notices – Orders	15	
P20	Warrants	E + 2	E = Execution of warrant
P21	Criminal Records	E + 5	E= Occurrence/investigation closed or disposition of charge
P22	EMS & Fire Significant Incident & Impact Reports	SO + 5**	
P23	EMS & Fire Accident Response Reports	SO + 5**	
P24	EMS, Fire, Police Statistics	5	
P25	Fire Services Relations	CY + 5**	
P26	Fire Routes	SO	

R – RECREATION AND CULTURE

Code	Series Title	Retention	Notes
R00	Recreation & Culture – General	1	
R01	Heritage Preservation	E + 3**	E = End of Plan Year or Removal of Designation
R02	Library Relations	5	
R03	Archival Services	3**	
R04	Parks Management	5**	
R04-6	Playground Equipment Maintenance	P**	
R05	Recreational Facilities	5	
R06	Recreational Programming	E + 6**	E = Completion of Program

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R07	Parks & Recreation Planning	CY + 6**	**Master Plans or Strategies = P**
R08	Program Registration	E + 2	E = Completion of Program / Age of Majority
R09	Fitness Memberships	E + 2	E = Expiry / Cancellation of Membership
R10	Subsidy Programs	CY + 3	
R10-1	Subsidy Program – Forms & Reporting	E + 7	E = End of Fiscal Year
R11	Health Promotion	CY + 5**	
R12	Recreation Facility Scheduling	CY + 1	
R13	Recreation Agency Relations	CY + 5**	
R14	Daily Pool, Spa & Splash Pad Records	2	

S – SOCIAL AND HEALTHCARE SERVICES

Code	Series Title	Retention	Notes
S00	Social & Health Care Services – General	1	
S02	Elderly & Supportive Assistance Services	7	
S04	Community & Social Assistance Services	5	
S08	Public Health	5	
S09	Cemetery Records	P**	

T – TRANSPORTATION SERVICES

Code	Series Title	Retention	Notes
T00	Transportation – General	1	
T01	Illumination – Projects	E + 6	E = Completion of Project / Removal of Equipment **Specifications = P**

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T02	Parking	CY + 5**	
T02-2	Parking Lots/Spaces	E + 6**	E = Closure of lot or space
T03	Public Transit	CY + 5**	
T03-1	Fares/Collection	E + 6	E = End of Fiscal Year
T03-2	Routes/Mapping	E + 6**	E = Closure of route
T03-3	Scheduling	SO + 1	
T03-4	Transit Shelters/Stops	E + 6**	E = Closure of stop/shelter
T03-5	Transit Studies	P**	
T04	Road, Sidewalk & Trail Construction	CY + 6**	**Specifications = P**
T04-1	Road, Sidewalk & Trail Construction - Projects	P**	**Specifications = P**
T05	Road, Sidewalk & Trail - Design & Planning	CY + 6**	**Specifications = P**
T05-1	Road, Sidewalk & Trail - Design & Planning – Projects	P**	**Specifications = P**
T06	Road, Sidewalk & Trail Maintenance	CY + 6**	**Specifications = P**
T06-1	Road, Sidewalk & Trail Maintenance – Projects	E + 6**	E = Completion of Project **Specifications = P**
T06-2	Winter Maintenance	CY + 7**	
T07	Signs & Signals	E + 1	E = Removal of Sign/Signal
T07-1	Signs & Signals – Denied Requests	E + 5	E = Request Denied
T08	Traffic – General	CY + 6**	
T08-1	Traffic Project Files	E + 10**	E = Completion of Project
T08-2	Load Restrictions	CY + 6**	
T08-3	Speed Limits	CY + 6**	
T08-4	Temporary Road Closure	E + 2	E = Road Re-opened / Request Denied
T08-5	Traffic Control	CY + 6**	

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T08-6	Traffic Safety	P**	
T08-7	Transportation Studies	P**	E = Completion of Study
T09	Road & Lane Closures	P**	E = Completion of project
T10	Field Survey / Road Survey Books	E + 1	E = Completion of Project
T11	Bridges	E + 5**	E = Completion of Project **Specifications = P**

V – VEHICLES AND EQUIPMENT

Code	Series Title	Retention	Notes
V00	Vehicles & Equipment – General	1	
V01	Fleet Management	E + 2	E = Termination of lease of decommissioning
V01-1	Daily Inspection Logs	E	E = 2 years or 6 months after vehicle ceases to be operated
V02	Mobile Equipment	E + 6	E = Decommissioning of Equipment
V02-1	Mobile Equipment - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment
V03	Transportable Equipment	E + 6	E = Decommissioning of Equipment
V03-1	Transportable Equipment - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment
V04	Protective Equipment	E + 6	E = Decommissioning of Equipment
V04-1	Protective Equipment - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment
V05	Ancillary Equipment	E + 2	E = Decommissioning of Equipment
V05-1	Ancillary Equipment - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment
V06	Medical Equipment / Supplies	E + 6	E = Decommissioning of Equipment

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V06-1	Medical Equipment / Supplies - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment
V07	Recreation Equipment	E + 2	E = Decommissioning of Equipment
V07-1	Recreation Equipment - Manuals, Operating Instructions, Warranty	E	E = Decommissioning of Equipment

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Town of LaSalle
Records Management Manual

INDEX

INTRODUCTION

The records and information of the Town of LaSalle are valuable assets contributing to the overall operation and decision making of the municipality through the maintenance of records deemed to have corporate, fiscal, legal, regulatory, administrative, operational, evidentiary or historical value. This Records Management Manual was developed with consideration of legislation, standards, best practices and operational need, governing the management of records.

PURPOSE OF MANUAL

This manual has been developed to offer guidance to all Town of LaSalle staff on records management procedures and requirements. The manual will provide a standard for Corporate-wide records management. Please see **_Appendix A_** for definitions and terms used throughout the Manual.

REVIEW

This Records Management Manual shall be reviewed on a yearly basis by records management in order to ensue all guidelines and procedures are updated and accurate.

1 RECORDS MANAGEMENT BASICS

1.1 Who is Responsible for Records Management?

EVERYONE! Each employee is responsible for the records in their care or the care of their department.

1.2 What is a Record?

A record is any recorded information, regardless of structure or form, created, captured, received or maintained by the municipality and which serves as documentary evidence of daily activities, transactions and business processes. Records are valuable corporate assets of the Town of LaSalle. Records may include, but are not limited to: correspondence, email, memoranda, invoices, minutes, photographs, maps, plans, drawings, microforms, books, voicemails, social media, reports, etc.

1.3 What is Records Management?

The planning and systematic control of the creation, capture or receipt, maintenance, use and final disposition of records.

1.4 Records Life Cycle

The records life cycle is the life span of a record from creation, receipt or capture, through active, semi-active and inactive stages, to final disposition (archiving or destruction).
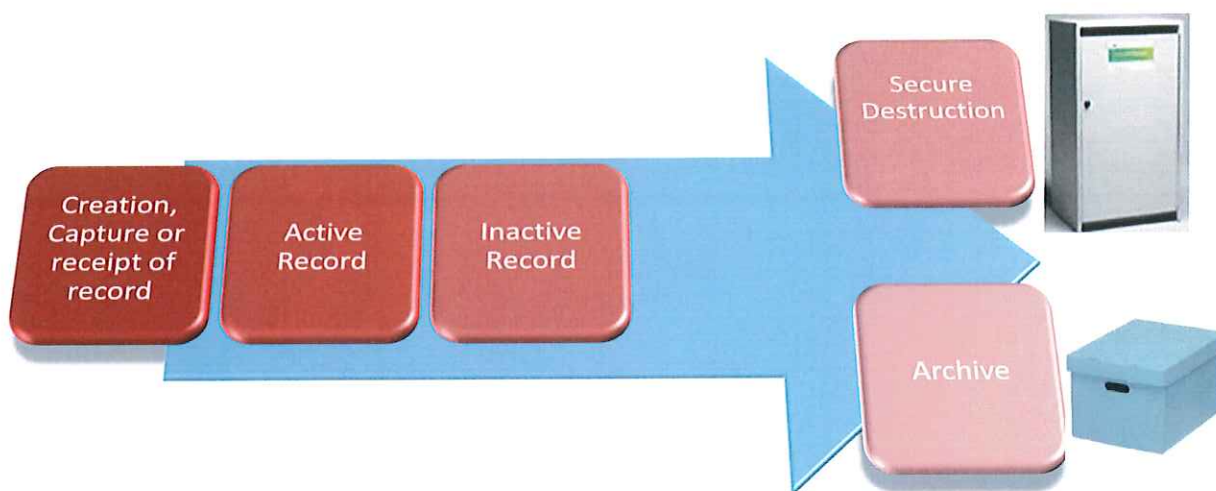
1.5 Why is Records Management Important?

Records management is vital to the efficient operation of an organization. Records management supports effective decision making, legislative requirements, open government, security and risk management.

Records management has a number of benefits for any organization:
1) Reducing operating costs
   a. Time spent searching for records
   b. Records storage needs / costs
2) Ensuring records can be located efficiently
3) Ensuring proper retention and disposition of records
4) Ensuring that the Town is following legislative and fiscal requirements for record keeping
5) Ensuring information is accessible
6) Ensuring the security of information
7) Consistency in management of records
8) Risk management

1.5.1 Legislation Governing Records Management

Both *The Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)* and *The Municipal Act* discuss to the importance of records management.

Bill 8 of *MFIPPA*, which came into effect in 2016, emphasizes the importance of preservation of records. The *Municipal Act, 2001* specifies under which conditions records may be destroyed, and the establishment of retention periods for records. The Act states that:

"The head of an institution is required to take reasonable measures to maintain the records in a secure and accessible manner" (s. 254[1]).

MFIPPA, 1990 also outlines that:
"Every head of an institution shall ensure that reasonable measures respecting the records in the custody or under the control of the institution are developed, documented and put into place to preserve the records in accordance with any recordkeeping or records retention requirements, rules or policies, whether established under an Act or otherwise, that apply to the institution" (s. 4.1).

1.6 Records Management Program Structure

2 RECORDS

2.1 Ownership of Records

All records created, received and maintained in the course of Town business are Town of LaSalle property and subject to all policies, procedures and By-Laws governing records and information. **This includes records on personal computers, laptops and mobile devices, etc.**

2.2 Official Records

Official records should be classified and retained according to the current retention and disposition schedule. These records should be managed in accordance with all records management policies, standards and procedures.

Official Records:
- Are valuable corporate assets
- Document and provide evidence of business activities and decisions
- Support current and future business operations
- Provide evidence of compliance and accountability
- Are required by legislation
- Have corporate, fiscal, legal, regulatory, administrative, operational, evidentiary or historical value

Below are some examples of Official Records:
Official Records
- Correspondence, *including EMAIL*
- Original Minutes
- Reports
- Agendas
- Permits
- Maps/Plans
- Memoranda
- Policies
- Financial Transactions
- By-Laws
- Personnel Records
- Agreements
- Fitness membership applications
- Vehicle inspection logs
- Media releases
- Conference registrations
- Travel and accommodations
- Water sampling records
- Insurance Claims

2.3 Transitory Records

Transitory records are records having only temporary or limited usefulness or those that have been used in the preparation of another record. Transitory records are often maintained for the completion of a routine task or in preparation of other records, and are not required for operations or statutory obligations. Examples include working papers, external publications, duplicate copies, etc.

These records are not classified according to the retention and disposition schedule and can be destroyed when no longer required. Transitory records subject to litigation or an information request under the *Municipal Freedom of Information and Protection of Privacy Act* must not be destroyed until the matter and all appeals are concluded.

Below are some examples of Transitory Records:
Transitory Records:
- Duplicate copies
- Convenience copies
- Insignificant drafts
- Reference material
- Personal files
- Working papers
- External publications
- Unsolicited advertisements
- Meeting arrangements
- FYI notices

2.4 Official or Transitory Record?

The retention schedule only applies to Official Records. With the above information, employees must decide if the record would be considered an Official Record or a Transitory Record, and what to do with the record if it is considered Official.

For more information on Official or Transitory records, please see the procedure document 2.2 Records Decision Trees.

2.5 Councillor Records

Upon receipt of a Freedom of Information request under *MFIPPA*, the FOI Co-ordinator will determine:
1) If the requested record is in the custody of the Town
   a. Is it considered a municipal record?
2) What information can be released
   a. Under sections 6-5 of MFIPPA, there are certain restrictions information which can be released

The Information and Privacy Commissioner of Ontario takes the position that for a Council email to be considered a municipal record, the following criteria must apply:
1) Is the record relating to municipal business?
2) Is the record in the custody or control of the municipality or could the municipality reasonably expect to obtain the records?

If the answer to both questions is yes, the Town is deemed to have custody of the information, regardless of if the email has been sent from the Councillor's Town email or personal email address. For more information, contact the Office of the Information and Privacy Commissioner.

Town of LaSalle position on Councillor Records → Be prepared to provide any emails relating to municipal business.

For more on this, please see document 2.5 Councillor Records.

2.6 Duty to Document

When decisions are made over the phone, during a conversation or informal meeting, or by other means not producing a record or lasting record, all Town of LaSalle employees have a responsibility to ensure that this information is properly documented and preserved.

By creating records that document these decisions and why the decision was made, it promotes accountability and transparency, fostering open government. By ensuring that each employee is aware of their **Duty to Document,** the Town of LaSalle can ensure that key decisions and transactions are recorded, even if a lasting record is not produced.

Creating a record of decisions and business transactions can be done by physically or electronically writing down the details listed below. This information should then be filed in the appropriate subject file.

In instances where no record or lasting record is generated, the following information should be recorded:
1) The date and time of the communication or occurrence
2) The means of communication
   a. This could be a verbal conversation, meeting where minutes were not recorded, voicemail, etc.
3) The participants in the decision or transaction
4) The subject matter of the decision or transaction
5) Any details on the decisions made, why the decisions were made, etc.
6) Any details on the transaction

3 RETENTION SCHEDULE

3.1 Legislation Governing Records Destruction

Both the *Municipal Act, 2001,* and the *Municipal Freedom of Information and Protection of Privacy Act, 1990,* discuss the importance of records management. The *Municipal Act, 2001,* outlines the importance of following retention scheduling, policies, and procedures in place for records retention.

According to the *Municipal Act, 2001,* a municipality can only destroy records:
1) If the set retention period has expired, or
2) If the records are duplicates or copies

This legislation provides the requirement for all Ontario municipalities to have a records retention schedule and to destroy records in accordance with this schedule. If records are not destroyed, the records holdings would become unmanageable.

3.2 Retention Schedule Development

The Town of LaSalle's records retention schedule is based on **The Ontario Municipal Records Management System (TOMRMS)**. This system was developed in collaboration with the AMCTO for Ontario Municipalities in 1990, and has served as the basis for municipal retention

scheduling across the province since then. Various changes have been made to this suggested schedule to reflect current use and organizational requirements of the Town of LaSalle.
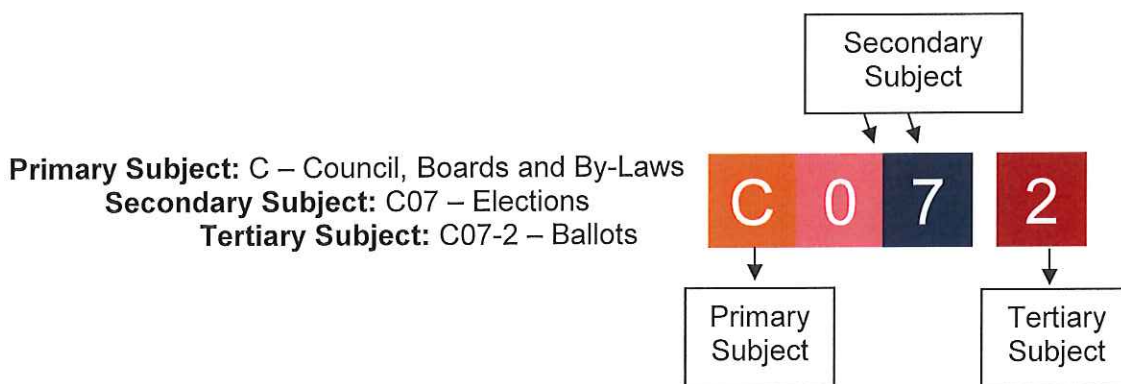
Records management conducts inventories and interviews with each department to determine categories of records and operational need for assignment of retention periods with no legislative requirements. New records categories or updates may also be discovered through a Compliance Audit performed by records management.

The final draft of the Records Retention schedule is forwarded to the Municipal Auditor for review and approval. Final approval of the Records Retention By-Law is obtained from Council, though the Clerk has been delegated authority to make changes to the retention schedule itself.

3.3 Retention Schedule Basics

The records retention schedule sets the length of time that the Town should maintain certain records. The retention periods are based on legislation, regulatory requirements, records holdings, operational need and historical or archival needs.

The records retention schedule uses a subject numeric system to classify records. Each primary classification is defined as a *series*, and each secondary and tertiary classification is defined as a *sub-series.* These series and sub-series reflect the subject-content of the records. This ensures that all related records are stored together, but accounts for differing retention periods. For example, most of the records falling under *C07 – Elections* would be retained for Election Day + 4 years. However, the *Municipal Elections Act, 1996*, allows for the destruction of Election Ballots 120 days after the election.

Primary Subject: C – Council, Boards and By-Laws
Secondary Subject: C07 – Elections
Tertiary Subject: C07-2 – Ballots

The schedule is generally divided by department or division, but many departments will make use of categories throughout the retention schedule. For example, each department will likely have records to file under *A04 – Conferences & Seminars*, though this sub-series falls under *A – Administration*. The retention schedule also defines if the file will be destroyed, archived, or if it is permanent when the retention period has expired.

For more on the current records retention schedule, please see the departmental working copy of the *Records Retention and Disposition Schedule.*

4 CLASSIFYING RECORDS

As the Town of LaSalle's records must be classified in order to be eligible for destruction, the records retention schedule was developed. **All records must be classified according to the Town of LaSalle's current Records Retention Schedule. This provides a consistent means of organizing and retrieving records.** Classifying records according to the retention schedule allows records to be easily located and ensures that the records system is in compliance with current By-Laws and Policies.

The retention schedule uses a subject-numeric system to classify records by primary, secondary and tertiary classifications. Each primary classification is defined as a series, and each secondary and tertiary classification is defined as a sub-series.

The departmental working copy of the **Records Retention and Disposition Schedule** contains information on appropriately classifying records and an alphabetic index of subjects and classifications. Please see this document or contact Records Management for more on classifying records.

5 RECORDS CREATION AND STORAGE

When creating records, it is important that a consistent records creation, classification and storage system is applied. This aids in the development of a sound records management program and lends to the authenticity, reliability and integrity of the records of the Town of LaSalle.

By using corporate-wide guidelines for records creation and storage, we can ensure that all records will be located efficiently and that the established retention and disposition practices are appropriately applied.

5.1 File Naming Conventions / Document Creation

The Town of LaSalle has developed a **File Naming Conventions** document. This document should be used when creating any document or folder. Using standardized file naming conventions for the naming of all folders and documents will:
1) Promote consistency
2) Reduce time spent searching for records
3) Will allow users to visually identify records more effectively and efficiently

For the Town of LaSalle's File naming conventions document, please see procedural document **5.1: File Naming Conventions**.

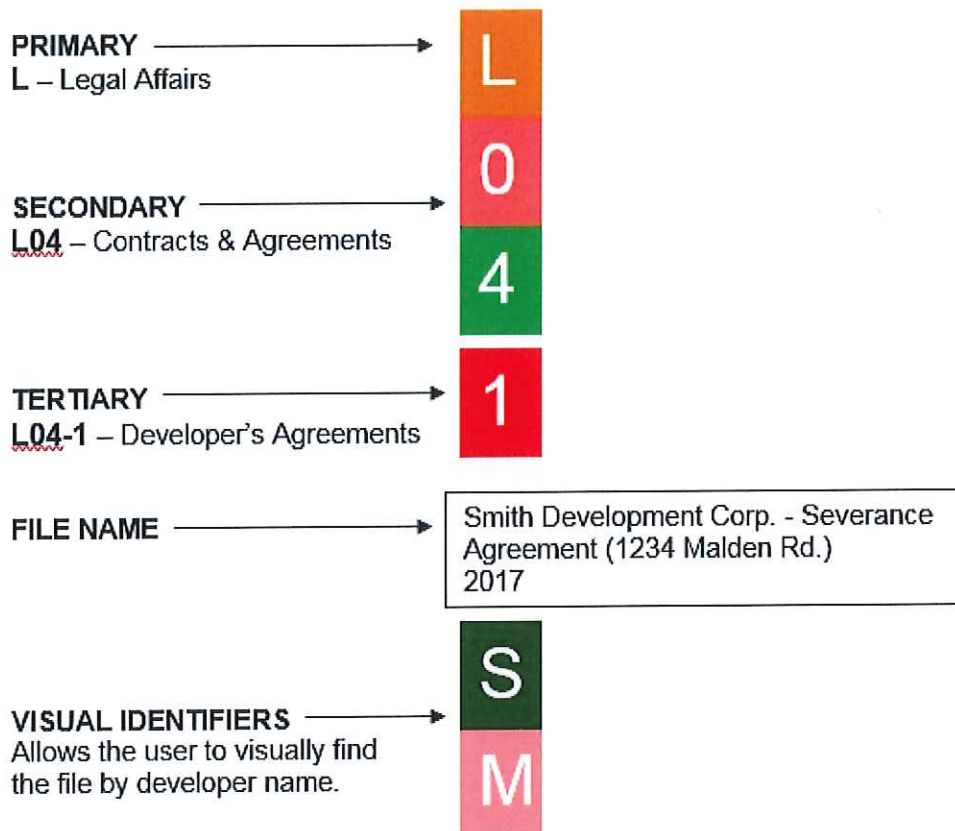## 5.2 File Creation

When any file is created, the **File Naming Conventions** document should be used as a general guideline. The file must then be classified according to our current retention and disposition schedule.

When creating a new file, please follow these steps:
1) Search to ensure that there is not an existing file on this matter or topic.
2) Select general subject-area or Primary Subject from the Records Retention & Disposition Schedule
   a. ie. D – Development and Planning
   b. ie. L – Legal Affairs

3) Select a secondary classification :
   a. ie. D14 – Zoning
   b. ie. L04 – Contracts & Agreements

4) Select any tertiary classifications, if available:
   a. ie. D14-1 Zoning – Other Municipalities
   b. ie. L04-1 – Developer's Agreements

5) Develop a descriptive, but concise title for the file
6) Create the physical file with the below labelling

PRIMARY ⟶ **L**
L – Legal Affairs

SECONDARY ⟶ **0**
L04 – Contracts & Agreements   **4**

TERTIARY ⟶ **1**
L04-1 – Developer's Agreements

FILE NAME ⟶
Smith Development Corp. - Severance Agreement (1234 Malden Rd.) 2017

VISUAL IDENTIFIERS ⟶ **S**
Allows the user to visually find   **M**
the file by developer name.

5.3 Records Transfer

Any records transferred to another entity for storage should be recorded on a Records Transfer Form. The transfer of records may require a formal agreement.

6 ELECTRONIC RECORDS

Electronic records ensure ease in accessibility, file sharing, automated system possibilities, electronic-only storage, a reduction in physical storage space required, and efficient records location. However, electronic records also introduce a unique set of challenges in security, compatibility, and concerns regarding the authenticity and integrity of records, which are less complex when dealing with physical records. For more on electronic records, please see document *6.0 Electronic Records Job Aid.*

6.1 Email Records

Emails are records and are therefore subject to the same policies and retention requirements as all other records. If the email is deemed to be an Official Record, it should be classified according the current records retention and disposition schedule, in any existing subject file. Email communications may also be considered transitory and only those emails considered to be Official Records should be filed.

The email can be saved in the native file format, unless it will be retained for a long period or has permanent retention. In this case, it should be saved as a PDF or PDF/A. **Always ensure that any attachments to the email are also saved.**

Emails should be saved in the appropriate subject file to ensure that the complete context of the matter is represented. **The benefits of filing email in the appropriate subject file are listed below:**
1) If the Town receives a claim, is involved in litigation, or an FOI request, we can be certain **ALL** records pertaining to the matter are captured in the subject file.
   a. This saves staff time spent searching for records. We can be confident that all records have been located quickly and that all records related to the matter have been located
2) Keeps email inboxes clean and saves staff time spent purging emails.
3) Ensures that if an employee is off or has left the Town's employ, the records will still be available to staff in the department who may require the information

6.1.1 Responsibility for Preserving Email
Scenario 1 – Who files the email?
An email is sent out documenting an important decision regarding a special project. Several employees in the same department are copied on this email. Who is responsible for filing of this email if there are many copies?
> *THE SENDER*, however, if there is one individual in the department responsible for filing, the email string can be forwarded to this individual.

Scenario 2 – Multiple replies
The email is sent out, the sender receives a reply and subsequently replies to this response. Which copy of the email should be filed?
> *The final copy* of the email containing all replies should be filed.

Scenario 3 – Multiple responses from different individuals

The email is sent out to multiple individuals, each sending a reply. Which copy of the email should be filed?

A copy of each email containing all different responses should be filed.

For more information or questions about email, please see the documents *6.1 Email Decision Tree* and *6.1 Email Management FAQs.*

6.2 Text Messages and Chat

Decisions or business transactions made via text message or the internal chat system are records and must also be preserved. As it is more difficult to ensure the proper preservation of these records, it is recommended that these means of communications not be used for any decisions or business transactions.

6.3 Voicemail

The Town of LaSalle now has the capability to send voicemails to email. This feature is currently only used for managers, supervisors and officials. This accurately documents all necessary information that would be required to file this record in a subject file.

If this is not a feature enabled and a voicemail is received, the recipient should write or type the information out for filing. The following information should be documented:
1) The date and time of the communication or occurrence
2) The means of communication (voicemail)
3) The participants in the decision or transaction
4) The subject matter of the decision or transaction
5) Any details on the decisions made, why the decisions were made, etc.
6) Any details on the transaction

6.4 Social Media Records

The Town of LaSalle is committed to active and open communications, engaging the community via social media. If communications on social media are determined to be official records, these records can be saved or printed electronically, and filed appropriately.

6.5 Digitization of Records

The digitization of records ensures that Town of LaSalle employees have information at their fingertips, when it is needed.

Records are typically digitized for two purposes:

1) Digitization for Accessibility of Records
   a. Scanning records for convenience and e-discovery
   b. For example – Scanning By-Laws or Agreement for electronic availability

2) Digitization Project

a. Digitization of a group of records
b. Must be authorized in writing
c. *CGSB 72.11* and *CGSB 72.34-2017* outline criteria which must be followed for digitized records to be legally defensible in court
d. For Example – Scanning Records to retain them in Electronic-Only format and destroy the physical file

6.5.1 Can records be scanned for retention and the physical copy destroyed?

Yes, but there are requirements that must be fulfilled before the digitization of records and prior the destruction of the physical copy. Electronic records have different rules when it comes to legal admissibility, requiring specific steps in authorization, preparation, and quality control.

Our records must be legally defensible and according to *ISO* and the *Canadian General Standards Board*, records must be authentic, reliable, have integrity and be useable. In short, we must be able to prove that the record:

1) Is what we purport it to be: a record of a municipal business transaction or decision
2) That is was created at the time we purport that it was, that it has not been altered in any way, etc. For the record to fulfill the criteria of *reliable*, it must have been created at the time of the business transaction, or shortly after.

6.5.1.1 How can be ensure legal admissibility of digitized records?

The Canadian General Standards Board Standard, *CAN-CGSB-72.11-93 – Microfilm and Electronic Images as Documentary Evidence* outlines specific criteria for digitization programs.

Careful consideration should be taken before the original copy of any permanent or archival record is destroyed. There may be significant cost and risk over time, including problems inherent to technology. Bit rot, data loss and compatibility issues are possible with any electronic record, but may be more prevalent with proprietary file types. In some cases, the municipality will be required under legislation to maintain a record permanently. To maintain a record permanently, we must be able to ensure that it will continue to be accessible over time.

The Town of LaSalle has developed a *Digitization Standard Procedures* document to outline all current requirements for digitization projects. This document will provide procedures and requirements for all digitization projects. Digitization projects will be completed in the course of regular business activity.

Please see *6.5 Digitization Standard Procedures* for the Town of LaSalle's Digitization Procedures.

6.6 Audit Trail

Laserfiche provides an audit trail feature to track certain information pertaining to records in the system. Records management will use the audit trail reporting feature monthly to track the destruction of records.

6.6.1 Audit Trail for Records Destruction

If the Town of LaSalle receives a claim, an information request, or is involved in any litigation, we may be required to provide records on the subject. If those records have been destroyed, we may also be required to provide proof that the records have been destroyed according to our ***Records Retention Schedule.***

When destroying physical records, a secure shredding company will provide the Town with a record of destruction. As we do not require a service to destroy electronic records in Laserfiche, how can we ensure that we can produce this proof with electronic records?

Laserfiche provides a reporting feature called the ***Audit Trail.*** This allows records management to track all records destroyed with the records management module in Laserfiche. For tracking purposes, users do not have the access rights to delete records from Laserfiche as the records management module will be used. For more on audit trail procedures, please see the document ***6.6 Audit Trail.***

6.6.2 Audit Trail for Tracking Information

Audit trail can also be used to track changes made to an entry. For example, information such as when a template was assigned, when and where the entry was moved, any relationships created with other records, changes in access rights, versioning, records management actions, etc., may be tracked.

6.7 Metadata

6.7.1 Metadata Basics

Metadata is data about data; information about information; a description of the information at hand.

This information is essential to the life cycle of a records and allows an organization to track records, search for records and supports the integrity, authenticity and reliability of a record. Metadata also provides important contextual information about the records which allows for interpretation.

Metadata is an integral part of the record, should be created at the time of record creation and will continue to accumulate over the lifecycle of the record. It is used and maintained in the course of regular business and is essential to the discovery of records and the integrity of the records system.

6.7.1.1 What is Metadata?

Have you ever performed an internet search? If so, you've used metadata. The key terms entered in the search bar are metadata, or descriptive terms meant to aid in searching.

Have you ever looked at the creation date of a file? This is also metadata!

Metadata is data about data, or information about information. Metadata is everywhere. It is information about the records created and maintained daily, regardless of format. Metadata can be used to:

1) Identify records
2) Manage records
3) Describe records
4) Access records
5) Authenticate records

6.7.1.2 Why do we need it?

The standardization of metadata will support:

1) **Search and discovery of records**
   Good metadata will enable discovery of the correct records in an instant, reducing search time. Metadata also ensures more targeted searches, meaning that we can conduct a search and have 3 results returned instead of 1,000. This saves time and ensures that we can be certain that **ALL** of the related records are returned, not just some. This is especially important for litigation, claims and FOI requests.
2) **Organization of records**
3) **The availability of content, context and structure**
4) **Management of records throughout the record lifecycle**
5) **Supports the authenticity, reliability and integrity of records**

Metadata is retained past the destruction of a record, meaning that we can still identify that we had a record, even if it has been destroyed in accordance with the records retention schedule. This may be something that is required to be produced if there is an FOI request or litigation pertaining to the destroyed records.

6.7.1.3 Types of Metadata

There are three categories of metadata:

1) **Descriptive Metadata**
   Describes resources for the purposes of identification, discovery retrieval and interpretation. Examples of descriptive metadata include: title, parties, key terms, street name, etc.

2) **Structural Metadata**
   Provides information about the internal structure or relationships of a record.

3) **Administrative Metadata**
   Provides necessary data to manage a resource. May include technical information, preservation information, use information and information on rights management.

6.7.1.4 How is metadata created?

In Laserfiche, some metadata is system generated, such as creation date or the record creator. Other metadata can be entered into *Fields*. Fields are containers for information about a record,

folder or series. Fields have been indexed in the system for searching. *Templates* are groupings of fields which are specific to a record type or department. Templates improve efficiency and ensure that fields which may be useful are not missed. For example, we have a template for By-Laws, which contains the fields relevant to By-Laws, such as *By-Law Number, Amends By-Law, Repealed by By-Law,* and *Meeting Date.*

6.7.1.5 Standardization of Metadata

Metadata will perform as anticipated only if certain controls in place. For example, if we have a file related to holding zone removal, one individual may enter *Remove Holding Zone* while a second individual may enter *Holding Zone Removal* in the *Key Terms* field. This may cause confusion and increase search time. For this reason, a means of standardization has been put in place, with control documents to aid in consistent application.

The document *6.7 Metadata Standard Procedure* sets out the metadata fields which are used in Laserfiche. Each of these fields falls under a broader category, or heading. The standard procedure defines these fields as Mandatory, Optional, or Mandatory, when applicable. It also outlines if the field is populated by the software or by the user. This procedure document will serve as a standard for the metadata (fields) used by the Town of LaSalle in Laserfiche.

For more information, please see *6.7 Metadata Standard Procedures.*

So how are we to know which terms to use? *CONTROLLED VOCABULARY*

6.7.1.6 Controlled Vocabulary

Libraries use controlled vocabularies to describe their resources. In the information world, it is one of the most useful tools in ensuring uniformity. A document called *6.7 Controlled Vocabulary* has been created to ensure that all employees are using the same key terms to describe records. Both of the terms above would be listed on the controlled vocabulary, but after *Holding Zone Removal,* it would read – use *Remove Holding Zone*, to avoid confusion.

This document can be found in Laserfiche under series *Z99 - LASERFICHE / RECORDS MANAGEMENT HELP.* If key terms should be added to this list, please email the records management clerk for inclusion of this term.

7 LASERFICHE

Laserfiche is our electronic records repository. This repository is an end-point. When records are final and complete, they should be input into Laserfiche for storage and tracking. This means that there will be no changes made to the record at this point. Working copies or drafts can be saved on the I: Drive and imported into Laserfiche when complete.

The file format for final versions of documents should be TIFF or PDF, not DOCX, XLSX, or PPTX. TIFF and PDF file formats are recommended for long term preservation and it is likely we will be able to open these files in the next 10, 20, or 50 years. Proprietary file formats have

compatibility issues over time. It is recommended that any proprietary document type is saved as a PDF before importing into Laserfiche.

Each user with a Laserfiche licence has their own personal inbox to import to or print records to, using Laserfiche Snapshot. When importing files into Laserfiche, the Town of LaSalle's *File Naming Conventions* should be used to title documents and folders. A template should be applied to each document of folder, including any relevant search information on the document or folder.

7.1 Using Laserfiche - what's in it for me?

Laserfiche is an Electronic Document and Records Management System (EDRMS) that allows the Town of LaSalle to properly manage records. Laserfiche will allow records management to continually monitor, track and assess current records holdings.

Benefits of departmental use Laserfiche:
1) It ensures that all records are **fully searchable**, providing a significant reduction in time spent searching for records
2) Files are immediately accessible and shareable
   a. Employees can review electronic files and send electronic records
   b. No time spent looking for the physical file
3) Allows records management to ensure that ensure proper retention and disposition procedures adhered to
   a. No records will be destroyed without departmental approval
   b. Will allow records management to pull archival files for storage in the archive, freeing up space in departmental file rooms
4) Helps mitigate risk related to claims and litigation
   a. Ensure that proper metadata is available on each record/file, supporting authenticity, reliability and integrity of records

7.2 Laserfiche / Records Management Help / Procedures

Laserfiche Help and Records Management Procedure documents can be located in our Laserfiche repository under *Z99 LASERFICHE / RECORDS MANAGEMENT HELP / PROCEDURES.* For more on this, please contact records management.

7.3 Security of Electronic Records in Laserfiche

We are able to restrict access from the series level (A – Administration), to the document level. Only those authorized to access each record will be able to do so, and only those with access will be able to see that the file exists in the system. Please see section *8 Records Security and Access* for more.

7.4 Importing to Laserfiche

Records can be scanned or imported directly into Laserfiche, dragged and dropped Laserfiche, or printed into the system using Laserfiche Snapshot.

7.4.1 Scanning, Importing, Printing to Laserfiche

There are various requirements when scanning and importing records into Laserfiche. Please see the document **7.4 Laserfiche Import, scanning and printing procedures** and the document **6.5 Digitization Standard Procedures** for requirements.

7.4.2 Inboxes

Each department has an INBOX located under **Z00 INBOX**, and each employee has an individual inbox. All records should be scanned or imported into these inboxes and classified according to the records retention and disposition schedule. The appropriate template should be selected and relevant information added in the template fields.

7.4.3 Electronic Shortcuts

Laserfiche allows electronic shortcuts of documents and files to be created in relevant or related files in the system. This helps reduce electronic storage space required for the Laserfiche repository. Electronic shortcuts of By-Laws, Reports or any related records can be copied into any folder, ensuring all relevant records are available. The DSI workflow will automatically create an electronic shortcut of related files into the relevant file.

7.4.4 Email

Emails should be imported into Laserfiche using the outlined in the document: **7.4 Laserfiche Import, Scanning and Printing procedures**. Always ensure that any attachments to emails are also imported.

7.5 Records in Laserfiche

Below the process of records management in Laserfiche is illustrated:
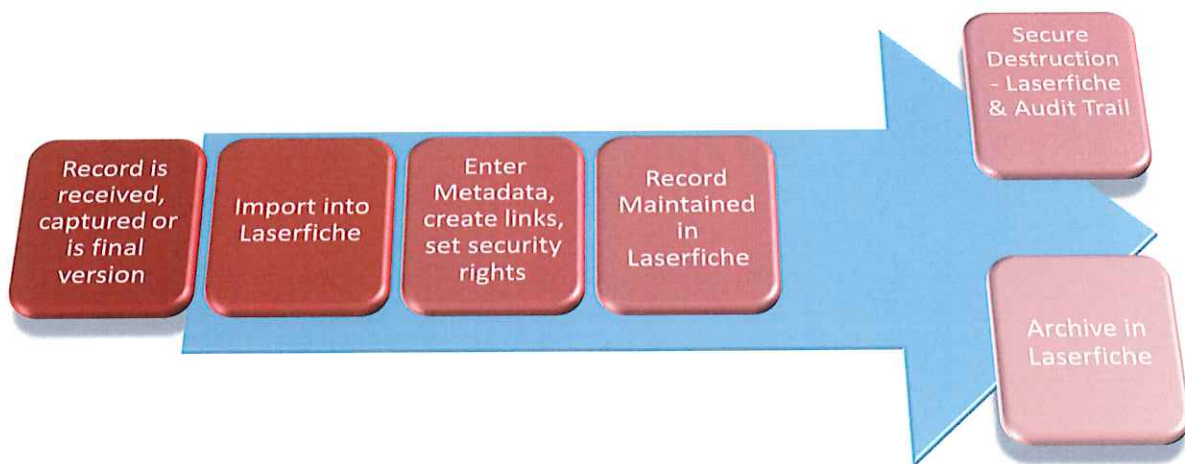
7.6 Applying properties to new documents/folders

Whether records are being created, imported, scanned, or printed into Laserfiche, the following should apply:
1) Ensure that all documents are appropriately titled using the guidelines provided in document **5.1 File Naming Conventions**

2) Ensure that the proper template and fields are applied on the **Fields** tab or in the **Metadata** window
   a. Without appropriate key terms and templates, the documents will be difficult to locate
      i. See the **Controlled Vocabulary** document in Laserfiche file **Z99** for Key Terms

8 RECORDS SECURITY, ACCESS AND PRIVACY

The collection and use of personal information is required for the administration of certain business processes and services by the Town of LaSalle. Municipalities are called to be open and transparent, while protecting privacy and the personal information collected in these processes.

8.1 Collection of Personal Information

The Town of LaSalle will only collect personal information when necessary for business purposes or when authorization for collection of information is legislated or mandated by By-Laws. This personal information will be retained only for as long as necessary and in accordance with the Town of LaSalle's **Records Retention and Disposition Schedule**. The Town of LaSalle shall make every effort to ensure that personal information collected will be complete and accurate.

A **Notice of Collection** statement will be given when collecting personal information. This statement can be found on many of the forms administered by the Town of LaSalle. In accordance with section 29 (2) of the *Municipal Freedom of Information and Protection of Privacy Act, 1990 (MFIPPA)*, the collection statement will include:
1) The legal authority for the collection of the information,
2) The purpose of collection,
3) The title, business address and contact information for the responsible employee or department

However, section 27 of MFIPPA states that this section does not apply to personal information maintained for the purpose of creating a record available to the general public.

8.1.1 Use and Disclosure of Personal Information

The following apply in the use and disclosure of personal information:
1) Personal information should only be used for the purpose it was collected for
2) Personal information should be kept secure to prevent unauthorized access
3) Records should not be removed from Municipal facilities
4) All workstations and file cabinets containing records with personal or confidential information should be locked at the end of the day to prevent unauthorized access
5) Personal information should only be kept for as long as necessary, or in accordance with the Records Retention and Disposition Schedule
6) Personal Information Banks (PIB) will be identified and a listing made available to staff and the public
7) Personal information will only be disclosed with consent from the individual to which to information relates, or in accordance with s. 31 and s. 32 of *MFIPPA*.

8) All email signatures should contain confidentiality statements

For tips on Protecting Personal Information, please see the document 8.1 **Protecting Personal Information.**

8.2 MFIPAA

The *Municipal Freedom of Information and Protection of Privacy Act, 1990 (MFIPPA),* outlines the public right of access to information, while emphasizing protection of privacy. The Act provides the legislative guidelines under which municipalities respond to requests for information. The Town of LaSalle is tasked with making records publically available and balancing the protection of privacy. For this reason, *MFIPPA* discusses public access rights, but lists a number of exemptions on the release of information due to the potential personal or confidential nature of the information.

8.2.1 Routine Disclosure and Active Dissemination

So how are employees to know what types of information are acceptable for release or the types of requests that must be made formally under privacy legislation?

There are records which may be disclosed in response to informal requests, or routinely disclosed. There are also records which are periodically released by the municipality in absence of any request. A new routine disclosure and active dissemination policy will be developed by the Clerk's Department. This policy will streamline routine requests for information and support the concept of **Access by Design.** The policy will outline the documents available for routine disclosure and active dissemination to the **public** and to **staff**. Any exceptions or conditions on release will be listed in the policy, as well as general guidelines governing routine disclosure and active dissemination.

Please see the Routine Disclosure and Active Dissemination Policy or contact the Clerk's Department for more on this.

8.2.2 Requests under the Act

When disclosure of information is not authorized, a formal Freedom of Information request may be made under *MFIPPA.* A **Freedom of Information Request Form** must be submitted along with the required $5.00 fee, and can be found on the Town of LaSalle's website.

Appeals on decisions may be filed with the Information and Privacy Commissioner of Ontario within 30 days of the decision.

8.3 Security and Access

The Town of LaSalle collects personal information for various processes and services. Careful departmental restrictions should be considered, governing access controls to both physical and electronic records.

The Town of LaSalle is committed to protecting privacy, confidential and third party information. One of the methods of ensuring protection of privacy is the evaluation and assignment strict

access rights. This includes access to physical files, file rooms, departmental drives and Laserfiche series and folders.

8.3.1 File Rooms and Drives

The Information Technology division is responsible for setting access rights to common drives, folders and file rooms. Department Heads and supervisors can make access requests for the drives and file rooms for employees.

As many individuals have access to each file room, it is important to consider which records should be stored in the file room and maintain any sensitive information in a more secure location.

8.3.2 Laserfiche

The IT Division may set access rights for some of the folders in Laserfiche, but the majority of Laserfiche access rights are set by Records Management. Access rights may be set from the repository level (highest level), to the document level. Only those requiring access to documents and files will be given access. Internal access requests may be made and will be reviewed on a case-by-case basis.

Laserfiche users will only be able to see the series and folders to which they have access. For example, an Accounts Payable/Receivable employee in the finance department will only be able to see the following:
- C – Council, Boards and By-Laws
  - C01 – By-Laws
  - C03 – Council Agendas
  - C04 – Council Minutes
- F – Finance and Accounting
  - F01 – Accounts Payable
  - F02 – Accounts Receivable

Employees will have access to different series, based on their job requirements.

8.3.3 Mobile Devices

All Town-issued mobile devices should be protected with a 4-6 digit pin to unlock to device. Check with IT to ensure that the *Mobile Device Management Program* is installed on all Town-issued phones to allow remote wipe of the device in case it is lost.

8.3.4 Computers and Laptops

As many of the records and communications created and maintained by the Town of LaSalle are electronic, it is essential to ensure security of computers and laptops. Some of the steps that can be taken to ensure security of these devices are:
1) Set a password 12-16 characters in length. It should be a combination of uppercase, lowercase and special characters
2) Ensure that computer stations are locked when away from the desk by using the Windows key + L to lock the screen
3) Carefully evaluate links and downloads contained in emails. Look at the sender email and information to determine if the email should be deemed suspicious. Always check with IT if unsure about the contents of an email message.

9 RECORDS DESTRUCTION

According to the *Municipal Act, 2001,* records are eligible for destruction if they are classified according to a retention schedule and the retention period has expired, or if they are duplicates or copies (s. 255[2]).

To ensure that the Town of LaSalle if following sound and secure records destruction practices, records must be:
1) Recorded on a records destruction form and approved for destruction
    a. This destruction form must be kept permanently by records management
2) Destroyed while protecting personal, confidential, and third party information and security
3) Destroying <u>ALL</u> copies of the record including:
    a. Electronic copies → Overwrite
    b. Emails → Shift + DEL to permanently delete
    c. Paper copies → Iron Mountain Bin
    d. Copies on I: Drive → Overwrite
    e. Copies in Laserfiche → Records management to destroy

Records which are eligible for destruction, but which are subject to **Archival Review** must be transferred to the Records Management Clerk to sign off on Destruction or for archiving.

For more on Records Destruction, please see procedure document 9.0 Records Destruction or the Current Records Retention By-Law for principles governing the destruction of records.

9.1 Records Destruction Considerations

Routine records destruction will not only support the integrity of the Town of LaSalle's records practices and program, but it will ensure that the Town of LaSalle records holdings will be managed efficiently. The below considerations should be taken with respect to records destruction:

1) **Records must be destroyed promptly after the expiration of the retention period in the regular course of business.**
    a. If records are not destroyed promptly, it undermines the Town of LaSalle's retention and disposition practices, meaning we may have problems proving that we no longer have certain records and we may face extra costs and risk. For example, the records management clerk destroys Council Services and Administration records, after approval, on a monthly basis as Iron Mountain picks up records for shredding monthly.
2) **Records not destroyed promptly and in accordance with the retention schedule will be required to be produced in response to a claim, litigation or an information request. This places the Town of LaSalle in a position of risk. *If we have it, we have to produce it!***
    a. **<u>This includes emails!</u>** Please ensure that each email that is an official record is filed in the appropriate subject file and deleted from user inboxes. This saves time when searching for records in response to a claim, litigation, an FOI request, and in keeping email inboxes tidy. It also ensures that if someone if off or no longer in the employ of the Town, we still have access to these records.

3) **All records should be destroyed in a manner protecting privacy and confidential information.**
   a. Physical records should be put in one of the Iron Mountain or Shred-it bins located at each facility.
   b. Electronic records should be overwritten or securely destroyed.
4) **Unauthorized destruction of records could mean that the individual destroying records could be subject fines and convictions (s. 48(1)[c.1]), *MFIPPA*).**

9.2 Suspension of Records Destruction

Records should be destroyed as soon as possible when the retention period has expired and in the regular course of business. However, if records eligible for destruction are subject to claims, litigation, or other legal matters, regular destruction should be suspended until the matter is completed. A formal legal hold notice will be issued by the Council Services Department upon discovery of or receipt of notice of pending FOI request, litigation, claim, investigation or audit. When the matter is concluded, a release of legal hold notice will be issued by the Council Services Department.

For more on Legal Holds, please see procedure document 9.2 Legal Hold Procedure.

9.3 Physical Records

All physical records containing personal, confidential or third party information are to be disposed of in our Iron Mountain or Shred-it bins. Two Iron Mountain bins are located on each floor (one in each copy room) of Town Hall. The Vollmer Complex and the Environmental Services buildings both have Iron Mountain bins located at the facilities.

9.4 Electronic Records

9.4.1 Computer Files
All computer files should be overwritten to ensure that the records and information cannot be restored.

9.4.2 Emails
Emails can be permanently deleted by using *SHIFT + DEL*.

9.4.3 Laserfiche Files
Laserfiche files will be securely destroyed by records management. All metadata will remain in the system to track files past their destruction.

9.4.4 Hard Drives
Secure destruction of hard drives is to be arranged with Records Management. The Town currently has a media destruction agreement with Iron Mountain for the secure destruction of media.

9.4.5 Orphan Data

Orphan Data is existing data which is not machine readable by any existing computer system or software. Machine readable data not having sufficient content, context or structure to render it understandable.

Prior to the destruction of any orphan data, the following information is required:
1) A written description of the orphan data, to the extent that such information is available, the following:
   a. Title of the system
   b. The department or division responsible for the creation or use of the orphan data
   c. A brief description of the system's purpose
   d. Where possible, a contents list of the information to be destroyed
   e. A brief description of any sub-systems, their purpose and relationship to the main system or other sub-systems
   f. The name of the technical contact person who is responsible for documenting the system
2) The written approval of the department head or designate.
3) Where applicable to satisfy the provisions of the Federal Income Tax Act, Excise Tax Act, Employment Insurance Act or Canada Pension Plan, an exemption from the Minister of National Revenue from the requirement to keep records in an electronically readable format.
4) After destruction of the orphan data, documentation must be provided to the Records Management Clerk providing proof of destruction.

10 ARCHIVING AND PRESERVATION OF RECORDS

Records subject to archival review are to be transferred to the Records Management Clerk for review. Records Management will determine if the subject records have archival value. Prior to the destruction of any records lacking archival value, records management will request approval from the Department head or designate.

10.1 Preservation Formats

Preservation of electronic records shall be considered in the creation of all records. Though preservation has typically been an afterthought, it begins with record creation. Careful deliberation should be taken when determining the desired format for preservation. For example, the Town of LaSalle's By-Laws are vital records. These records are irreplaceable and have a permanent retention. The Town would not be able to perform various functions or enforce standards without access to these By-Laws. We must ensure that they will be available 10 years from now, 50, or 100 years. Due to these factors, paper with an electronic copy is the recommended format for creation and preservation of By-Laws.

According to *CAN/CGSB 72.34-2017* and *ISO 19005-1:2005*, the recommended file format for the long-term preservation of records is PDF or PDF/A. It is therefore recommended that any final version of a record be saved to PDF or TIFF rather than proprietary formats.

10.2 Migration and Conversion

There are two approaches to help in ensuring the long term preservation and retention of records.

10.2.1 Migration
Migration refers to the movement of records to another storage platform or storage medium, without changing the file format.

10.2.2 Conversion
Conversion of records refers to converting a record from one format to another. Records shall be converted to new formats or software to protect from software obsolescence and access issued.

Records may require conversion if:
1) Software or technologies are no longer supported
2) File formats are superseded
3) File formats become too costly to support
4) Change in business processes or requirements

10.2.3 Conversion / Migration Requirements

Certain information must be documented at the time of conversion or migration to ensure that the document continues to be authentic and reliable. Every measure should be taken to preserve the content, context and structure of the source records.

- The process should be performed on sample records to ensure that there is no conversion loss or loss of any kind
    - o Context, content and structure should be compared between the source version and new version of records to ensure there has been no loss of information
        - ▪ If content, context and structure are lost in the process, it can diminish the authenticity and reliability of records
- Approval and documentation of the activities and process should be fully documented
- Document any data loss prior to completing the migration or conversion
- Document the metadata required to reproduce the content, context, structure, relationships and searching requirements

10.3 Vital Records

Vital records are records essential to resumption or continuation of operations after an emergency or disaster; those necessary to recreate the corporation's legal and financial position; and/or those necessary to preserve the rights of the corporation, its employees, customers, and ratepayers. Examples of vital records include accounts receivable / accounts payable records, tax rolls, contracts and agreements, By-Laws, policies and procedures, etc.

A vital records program will be developed to ensure the proper preservation and protection of these valuable corporate assets.

11 COMPLIANCE AND QUALITY CONTROL

Policy, procedure and control documents form for foundation of the records management program. Compliance and quality assurance will be tools to ensure that these concepts and controls are put into action in the workplace and identify areas where additional training or attention may be required. To ensure the proper corporate-wide implementation of the records management program, compliance audits will be completed. Quality control will also be performed on electronic records to ensure that all file naming, classification and indexing is accurate and updated.

11.1 Compliance with Records Management Policies and Procedures

Compliance Audits will be completed each year by Records Management for each department or division. The audit will provide insight into any gaps in the program and aid in the development of updated training plans. The compliance audit is divided into sections pertaining to general records management practices, records classification, records storage, electronic records, privacy and security and any additional areas requiring attention.

11.2 Quality Control

11.2.1 Electronic Records

Quality control will be performed on electronic records added to Laserfiche to ensure accuracy of file naming conventions, metadata and file classification. This will support the integrity of the records system.

Records Management will perform searches on new records added to Laserfiche on a regular basis. File naming, indexing and classification will be verified.

Depending on the record classification, existing workflows may tag new documents or folders for certain departments as *QC Needed.* Each morning, records management will receive an email listing the records requiring quality control and the file path of each document or folder.

11.2.2 Digitization Projects

When records are digitized for retention purposes, quality control will be performed on the electronic records before the destruction of the physical copy.

12 BACK-UP AND RECOVERY

The IT division has established back-up and recovery procedures. Information on drives and in Laserfiche will be backed up regularly. Back-up copies are for recovery only and will not be used to satisfy records retention.

In the event of a disaster, recovery times ranging between 24-72 hours will be assigned based on priority. A vital records program will be developed to outline the recovery time of records-types.

13 SEARCHING FOR RECORDS

The Town of LaSalle's common and individual drives are convenient ways for departments and divisions to store and share information. However, there are limited search capabilities and this means of storage lacks the ability to store important metadata about the document or file. Laserfiche is able to ensure that the required metadata can be attached to each record and provides a wide variety of search functions and options for files and documents.

Laserfiche allows users to input data into fields and templates, allowing users to search on field-specific data or record-type specific fields. Our ability to search for records is only as good as the data entered in these fields and templates. Because of this, users must ensure that free text fields are accurately input and that *Key Terms* used to describe our information resources are consistent. One of the means of ensuring consistency is the use of the *CONTROLLED VOCABULARY* document.

13.1 Controlled Vocabulary Document

The controlled vocabulary document has been created by records management to ensure a standardized set of *Key Terms* or words are used when describing records. This will minimize search time and ensure that ALL records related to this key term are returned in a search.

For example, if one is searching for an application to remove holding zone, the possible search terms may include:
- Remove Holding Zone,
- Holding Zone removal, etc.

Using only one of the search combinations as the *authoritative term* will ensure all records are returned in one search. The document will list any alternative terms associated with the subject.

<u>Zoning</u>
    Air Conditioning
    Definitions
    Heat Pump
    Holding Zone
    Holding Zone Symbol Removal – Use *Remove Holding Zone*
    Home Occupation
    Lot Coverage
    Multi-Unit Dwellings
    Non-Conforming Use
    Permitted Use
    Private Home Day Care
    Public Authority
    Remove Holding Zone

Document *6.7 Controlled Vocabulary* can be found in Laserfiche under series *Z99 - LASERFICHE / RECORDS MANAGEMENT HELP.* If key terms should be added to this list, please email the records management clerk (lolszewski@lasalle.ca) for inclusion of this term.

13.2 Search Methods

There are a number of different search methods that can be used to located records in Laserfiche. Depending on the level of metadata available on each record, different search methods can be used to locate the records. The goal is to have all records fully indexed (full metadata), but this is an ongoing process.

See the document *13.2 Searching for Records in Laserfiche*, for more on search methods.

14 TRAINING

Departmental training sessions and assistance will be offered as time permits. The records management manual, training aids, and the records retention schedule will be made available to each department.

Assistance will be available in the following areas:
- i. Records and information management basics
- ii. The records retention schedule, classification and destruction of records
- iii. Records an information management policies and procedures
- iv. Security and access of records and information
- v. Laserfiche software and workflow assistance
- vi. Records storage
- vii. Digitization of records
- viii. Departmental records and information solutions

15 QUESTIONS?

Do you have any questions? Require assistance or training? Contact:

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Records Management Clerk
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519-969-7770 ext. 1252

Linda Jean
Deputy Clerk
ljean@lasalle.ca
519-969-7770 ext. 1256

APPENDIX A: Definitions

Active Dissemination	The periodic release of government records in the absence of a request.
Active Records	Records that are consulted regularly. These records are stored in the departmental area or at an employee workstation for convenience.
Archival Records	Records that have been appraised and deemed to have enduring historical value.
Archival Review	An evaluation of records for potential archival value conducted by Records Management.
Archive	A repository of archival records that have been appraised for permanent retention.

Audit Trail	A system log and reporting tool which allows for the reconstruction of processes performed on a record in the system.
Back-up	A copy of data for the purposes of recovery in the event of disaster or data loss.
Classification System	A systematic means of coding, categorizing and arranging records for use, retrieval and retention purposes.
Confidential Information	Information subject to exceptions outlined in *MFIPPA* or information which the Town of LaSalle has deemed confidential.
Controlled Vocabulary	A standardized set of terms used for search and retrieval of information.
Conversion	The process of changing recorded information from one format to another.
Copy	Refers to a duplicate copy of an original record.
Destruction	Refers to the permanent deletion or obliteration of records, regardless of format. Methods for physical destruction of records include shredding and recycling. Records containing personal or sensitive information shall be destroyed in a secure manner.
Digitization	The process of converting physical documents into electronic form, by scanning or imaging of physical records such as paper documents, photographs, drawings, plans, etc.
Disposition	The final stage of the records life cycle. Records may be destroyed, retained permanently, or archived for preservation.
Freedom of Information (FOI) Request	A formal request made under Freedom of Information legislation (MFIPPA).
Inactive Record	A record that is no longer consulted on a regular basis, but is retained to fulfil legal, regulatory and operational requirements, or historical need.
Metadata	Metadata is data about data; information about information; a description of the information at hand providing content, context and structure of records and their management through time.
MFIPPA	*The Municipal Freedom of Information and Protection of Privacy Act, 1990*
Migration	The process of moving recorded information, including any existing characteristics, from one hardware or software configuration to another without changing the file format.
Official Record	A record providing documentary evidence of the activities, rights, obligations and responsibilities of the Town on LaSalle. Recorded information that was created, received, distributed or maintained by the company in compliance with a legal obligation.
Permanent Record	A record with permanent retention due to its ongoing administrative, historical, fiscal, legal or operational value.

Personal Information	Recorded information about an identifiable individual (not a corporation, partnership or sole proprietorship), including information relating to: a) race, national or ethnic origin, colour, religion, age, sex, sexual orientation or marital or family status of the individual; b) education, medical, psychiatric, psychological, criminal or employment history, financial transactions; c) any identifying number, symbol, address, telephone number, fingerprints or blood type; d) personal opinions or views of the individual except if they relate to another individual, and views or opinions of another individual about the individual; e) correspondence sent to the Town which is implicitly or explicitly of a private or confidential nature and replies to the correspondence; f) the individual's name if it appears with any other personal information.
Preservation	The principles, policies and strategies designed to ensure the protection of records through time. Preservation is meant to prolong the life of a record with minimal alteration to the record.
Quality Control	The process of monitoring records and the records system to ensure that the standard level of quality has been attained. May include monitoring file naming and indexing (metadata).
Record	All recorded information, regardless of structure or form, created, captured, received or maintained by the municipality and which serves as documentary evidence of daily activities. Records are valuable corporate assets of the Town of LaSalle. Records may include, but are not limited to: correspondence, email, memoranda, invoices, minutes, photographs, maps, plans, drawings, microforms, books, reports, etc.
Records Life Cycle	The life span of a record from creation, receipt or capture, through active, semi-active and inactive stages, to final disposition.
Records Management	The planning and systematic control of the creation, capture or receipt, maintenance, use and final disposition of records.
Records Series	A group of related documents that are filed together for retrieval and retention. This group is assigned an identifying code and title.
Retention Period	The period of time that records must be kept to fulfill operational, legal, regulatory, fiscal or other requirements before they are eligible for final disposition.
Retention Schedule	A control document defining the record series (categories) and the period of time each series must be kept. This document will be used to classify records and establishes legal authority of the destruction of records after the retention period has expired.
Routine Disclosure	Shall refer to the department that currently has control or custody of the record.

Signing Authority	Refers to the Department Head or designate.
Transitory Records	Records having only temporary or limited usefulness or have been used in the preparation of a record. Often maintained for the completion of a routine task or in preparation of other records and are not required for operations or statutory obligations. Examples include working papers, external publications, duplicate copies, etc.
Vital Records	Records essential to resumption or continuation of operations after an emergency or disaster; those necessary to recreate the corporation's legal and financial position; and/or those necessary to preserve the rights of the corporation, its employees, customers, and ratepayers. Examples of vital records include accounts receivable / accounts payable records, tax rolls, contracts and agreements, By-Laws, policies and procedures, etc.