



A People Place, A Change of Pace
SHELBURNE
ONTARIO, CANADA

Meeting Date: Monday, April 25, 2022

To: Members of Council

From: Jennifer Willoughby, Director of Legislative Services/Clerk

Report: LS 2022-05

Subject: Record Retention Bylaw #19-2022, And Records and Information Management Policy Manual

Recommendation

BE IT RESOLVED THAT Council receives report LS2022-05 from the Clerk as presented and circulated;

AND THAT leave be given for the reading and enacting of Bylaw #19-2022, being a bylaw to establish a Records Retention Bylaw, and Records and Information Management Policy Manual for the Corporation of the Town of Shelburne.

Background

The current Records Retention Bylaw was enacted in 1990 and is currently non-compliant with legislation.

With the adoption of Bill 68: Modernizing Ontario's Municipal Legislation Act, 2017, Sections 254 and 255 (1)(3) of the Municipal Act, 2001, requires that the municipality shall retain and preserve its records in a secure and accessible manner and provides that the municipality may establish retention periods.

Analysis

The proposed Records Retention Bylaw, attached as Appendix 1, (henceforth referred to as the Retention Bylaw) authorizes the use of both electronic and paper records and establishes a Records and Information Management Program.

The Retention Bylaw provides a functional system for classifying and retaining all corporate records created and used in the Town of Shelburne for departments and divisions, regardless of format. It is based on directions, recommendations, and best practices from a variety of sources, including:

- Federal and Provincial legislation
- Industry standards and associations,
- Association of Records Managers and Administrators (ARMA) International
- Generally Accepted Recordkeeping Principles
- Canadian Standards Association Privacy Code
- Analysis of the Town's processes

The Retention Bylaw and its attached Schedule "A" performs 4 functions:

- Inventories corporate record types created and used by the Corporation of the Town of Shelburne
- Indicates retention standards for all record types
- Indicates records series that include Personal Information Banks (PIB)
- Indicates series to which Routine Disclosure and/or Open Data principles may apply

Corporate records must be classified with file codes based on their associated business functions and activities, regardless of format, to indicate how long those records should be kept.

Keeping everything forever is not effective, economical, or legally wise, and the Records Retention Bylaw guards against this practice.

The Retention Bylaw applies equally to paper and electronic records.

Requirements for electronic records used as evidence have been identified and the Records and Information Management Program ensures compliance through the auditing and verification processes. The proposed bylaw will also designate and authorize the Clerk to:

- create, maintain, and manage the Records and Information Management Program Manual and Procedures Manual;

- review, manage and amend the Records Classification and Retention Schedule;
- coordinate the final disposition of records in accordance with the Retention Schedule;
- comply with provincial policy and applicable legislation and regulations, including but not limited to Bill 68, and the Municipal Act, 2001 S.O. 2001; and
- audit records for the purpose of monitoring compliance and ensure quality assurance is maintained.

A Records and Information Management Policy Manual, attached as Appendix 2, has also been developed to assist Municipal Staff in understanding the records management principles applicable to the information they create and receive and will also assist municipal staff to manage their information in a secure and efficient manner.

Attached for Council's Information is a copy of the Records and Information Management Program Policy Manual. This manual along with the Retention Bylaw and it's attached Schedules are "living" documents which will be reviewed and updated as required.

The Program Manual explains how municipal records are to be maintained, preserved, archived, or destroyed; and defines roles and responsibilities of key records management staff.

Financial Impact

N/A

Policies & Implications Affecting Proposal

No known policies or impacts at this time.

Consultation and Communications

TOMRMS, The Ontario Municipal Record Management System

Bill 68: Modernizing Ontario's Municipal Legislation Act, 2017

Ontario Municipal Act 2001, S.O. 2001

MFIPPA, Municipal Freedom of Information and Protection of Privacy Act

FIPPA, Freedom of Information and Protection of Privacy Act,

City of Kingston

City of Burlington

City of Peterborough

City of Wawa

Canada Evidence Act R.S.C. 1985, cC-5;

National Standard of Canada-Electronic Records as Documentary Evidence, CAN/CGSB-72.342017; and

Archives Ontario

Council Strategic Priorities

Council's Strategic Priorities has three Goals - Sustainable, Engaged and Livable. There are a total of 12 targets with the three Goals.

This report aligns with the sustainable goals within targets:

Target T2 – municipal services review and evaluation

Target T6 – promote more open communication

Supporting Documentation

Appendix 1 - Records Retention Bylaw #19-2022

Appendix 2 Record and Information Management Program Policy Manual

Prepared by:

Tami Abbot and Jennifer Willoughby

Respectfully Submitted:

Jennifer Willoughby, Director of Legislative Services/Clerk

Reviewed by:

Denyse Morrissey, CAO

**THE CORPORATION OF THE TOWN OF SHELBURNE
BY-LAW 19-2022**

**BEING A BY-LAW TO ESTABLISH THE RETENTION PERIODS FOR
RECORDS REQUIRED TO BE KEPT FOR THE CORPORATION OF THE TOWN
OF SHELBURNE**

WHEREAS Section 254 of the Municipal Act, 2001, S.O. 2001, Chapter 25, as amended, requires municipalities to retain and preserve the records of the municipality and its local boards in a secure and accessible manner;

AND WHEREAS Section 255 of the Municipal Act, 2001, S.O. 2001, Chapter 25, as amended, permits municipalities and its local boards to destroy records if a retention period for the record has been established under this section and the retention period has expired or the record is a copy of the original record;

AND WHEREAS all records generated or received by staff and elected officials of the Municipality in connection with the transaction of public business are the express property of the Corporation of the Town of Shelburne;

AND WHEREAS the Council of the Corporation of the Town of Shelburne deems it expedient to establish retention periods for the records of the municipality;

NOW THEREFORE BE IT RESOLVED THAT the Council of the Town of Shelburne enacts as follows:

1. SHORT TITLE

1.1 This By-law may be cited as the “Records Retention By-law”.

2. DEFINITIONS

2.1 In this By-law:

- a) "Archival" means a record that is eligible for archival storage;
- b) “Current” means records that are created during the current calendar year;
- c) “Classification” means the systematic identification and arrangement of records into categories according to logically structured conventions, methods, and procedural rules, represented in a classification scheme;
- d) “Destruction” means the process of eliminating or deleting data, documents, and records so that the recorded information no longer exists;
- e) “Information Management” means applying common management principles (planning, directing, controlling, evaluating) to information and data assets. It involves establishing disciplined and consistent practices related to the planning, creation, capture or collection, organization, use, accessibility, dissemination, storage, protection and disposition of information assets;
- f) “Obsolete” means that the record or item is no longer required;
- g) “Official records” means recorded information in any format or medium that documents the Town’s business activities, rights, obligations or responsibilities or recorded information that was created, received,

distributed, or maintained by the Town's staff or elected officials in compliance with a legal obligation;

- h) "Originating" means the departmental division that has primary responsibility and control of a particular group or type of records, typically being the division where records were initially created or received;
- i) "P" shall represent a Permanent Retention Period for a file that is never to be destroyed;
- j) "Personal Information" means recorded information about an identifiable individual, as defined by the Freedom of Information and Protection of Privacy Act, 1990;
- k) "Publication" means information that is created, collected, produced, or reproduced for public distribution or with the intention to make this information widely available;
- l) "Retention schedule" means a control document that indicates the length of time that each record shall be retained before its final disposition;
- m) "Record" means information however recorded or stored, whether in printed form, on film, by electronic means or otherwise, and includes;
 - i) correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine-readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof, and
 - ii) subject to the regulations, any record that is capable of being produced from a machine-readable record under the control of an institution by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution; ("document")
- n) "Regulations" means the regulations made under this Act; Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. F 31;
- o) "Retention Period" means the maximum number of years a record is required to be stored within the Municipality before destruction, if applicable;
- p) "Selective Retention" means records subsequently identified as being of enduring value are to be preserved once the retention period has ended;
- q) "Superseded" means records or items that have been updated and replaced by a new version;
- r) "Town Employee" means full-time, part-time, contract, seasonal, and student;
- s) "Transitory Records" means records of a temporary nature regardless of format, typically required for a short time to ensure the completion of a routine action;
- t) "Vital" shall mean a record that is vital to the continued operations of the municipality or has archival importance;

3. RETENTION SCHEDULE

- 3.1 That the Retention Schedule attached hereto as Schedule "A" and forming part of this By-law to be, and it is hereby established for disposition of the records of the Town of Shelburne.
- 3.2 That all records on the Retention Schedule attached hereto as Schedule "A" and forming part of this By-law shall be preserved for the number of years indicated under the column entitled "Retention " and may then be destroyed.
- 3.3 That all records with a designation of "Permanent" shall be retained permanently.

4. RESPONSIBILITIES OF STAFF AND ELECTED OFFICIALS

- 4.1 All Town employees, and elected officials who create, work with, or manage records shall:
 - a) Comply with the retention periods as specified in Schedule "A" attached hereto;
 - b) Ensure that official records in their custody or control are protected from inadvertent destruction or damage; and,
 - c) Ensure that transitory documents in their custody or control are destroyed when they are no longer needed for short-term reference.
- 4.2 Records created or accumulated by elected officials outside of Council business are not corporate records where these records are stored and managed separately from Town records using non-Town equipment and not handled by Town staff.

5. CLERK OR DESIGNATE

- 5.1 The Clerk shall:
 - a) Develop and administer policies and establish and administer procedures for the Town's Records Management;
 - b) Amend Schedule "A" as required, and obtain approval of the changes from the municipal clerk;
 - c) Ensure that official records are preserved and disposed of in accordance with Schedule "A" attached hereto; and,
 - d) Ensure that all disposition notices prepared pursuant to Section 5 of this by-law and all certificates of disposition prepared pursuant to Section 5 of this by-law are preserved.
 - e) Include the current Records Retention Schedule in Council's orientation information at the beginning of each term.

6. DESTRUCTION OF RECORDS

- 6.1 The departments, in conjunction with the Clerk's office, will identify records scheduled for disposition, and prepare a notice of disposition list. If there are any records that need to be retained beyond the disposition date, notice must be provided by the Department Head to the Clerk's office in writing and include the reasons for which further retention is requested.

- 6.2 Where appropriate and considering the principles governing the destruction of records, the Clerk shall reschedule the destruction of any records listed in the noticed referred to in this Section as requested by the Department Head or employee.
- 6.3 If no notice is received prior to the scheduled response date, the records shall be deemed to be authorized for destruction by the applicable Department Head or employee.
- 6.4 When records have been destroyed pursuant to this By-law, the Town Clerk or their designate, shall retain written confirmation of such destruction.

7. PRINCIPLES GOVERNING THE DESTRUCTION OF OFFICIAL RECORDS

- 7.1 The following principles govern the destruction of official records:
- a) When there are no further business or legal reasons for retaining official records, they shall be destroyed or expunged as appropriate;
 - b) Official records pertaining to pending or actual investigation or litigation shall not be destroyed;
 - c) Official records disposed of at the end of a retention period, as well as drafts and copies of records disposed of on a regular basis, shall be destroyed in a way that preserves the confidentiality of any information they contain.
- 7.2 Official records in the custody or control of the Town shall not be destroyed unless such records are older than the retention period set out in Schedule "A" attached hereto and have been identified in a disposition notice prepared pursuant to Section 5 of this by-law.
- 7.3 Copies of official records may be destroyed at any time if the original records are being retained in accordance with Schedule "A" attached hereto.

8. REPEAL

- 8.1 That By-law # 44-1990 is hereby repealed.

9. EFFECT

- 9.1 That this by-law shall come into force and effect on the date it is passed.

BY-LAW READ A FIRST, SECOND and THIRD TIME in Open Council, and enacted this 11th day of April 2022.

MAYOR, WADE MILLS

CLERK, JENNIFER WILLOUGHBY

Schedule A of By-law #19-2022

Introduction

Schedule A of By-law ## -2022 (henceforth referred to as the Records Retention By-law) is a functional system for classifying and retaining all corporate records created and used in the Town of Shelburne departments and divisions, regardless of format. It is based on directions, recommendations, and best practices from a variety of sources, including:

- Federal and Provincial legislation
- Industry standards and associations,
- Association of Records Managers and Administrators (ARMA) International
- Generally Accepted Recordkeeping Principles
- Canadian Standards Association Privacy Code
- Analysis of the Town's processes

The Records Retention By-law and the attached Schedule performs 4 functions:

- Inventories corporate record types created and used by the Corporation of the Town of Shelburne
- Indicates retention standards for all record types
- Indicates records series that include Personal Information Banks (PIB)
- Indicates series to which Routine Disclosure and/or Open Data principles may apply

Corporate records must be classified with file codes based on their associated business functions and activities, regardless of format, to indicate how long those records should be kept.

Keeping everything forever is not effective, economical, or legally wise, and the Records Retention By-law guards against this practice.

The Records Retention By-law applies equally to paper and electronic records.

Primary Classification: Categories reflecting broad business activities

A - Administrative Operations
C - Council and Governance
D - Development and Planning
E - Environmental Services
F - Financial Management
H - Human Resources
J - Justice
L - Legal Affairs

M - Communications and Public Relations
O - Operations
P - Protection and Enforcement
R - Recreation and Culture
S - Services
T - Transportation Services
V - Vehicles and Equipment

It is very important to classify corporate records and information to indicate accurate retention periods for future reference. Departments and divisions are free to develop unique organizational systems for paper or electronic filing based on operational needs. This retention schedule describes the length of time municipal records are to be kept until their destruction or transfer to the Town Archives.

Transitory documents are those kept solely for convenience of reference and of limited value in recording the planning or implementation of Town policy or programs, such as:

Structure

The schedule reflects the functions documented by the records, rather than the divisions creating them. It is divided according to the primary functions and secondary categories identified in the Town's records classification scheme, plus a special section for transitory records. The primary functions are not arranged by the names of the divisions/offices creating or receiving the records.

Informational Content vs. Record Format

The schedule does not generally specify the physical format of the records. Instead, it indicates the period for which the information contained in the records needs to be maintained. Records should be organized and retained according to their subject matter and not the format they are stored in.

Disposal of Entire "File" vs. Individual Components

The basis of the Town's records classification scheme is that all like documents in a calendar year or for a specific case or project are maintained together under the appropriate classification category within each work unit. Generally, the retention periods contained in the schedule refer to the entire body of documents maintained as a file. Unless file components have been specifically listed with different retention periods, or records have been selected to be maintained for archival purposes, related files and documents should be maintained and disposed of together.

Schedule Format

Schedule entries are identified by the secondary categories (records series) from the Town's classification scheme. Each file has a category, file plan reference number, a title and columns entitled Description, Responsible Department, Retention, and Remarks.

All numbers in retention columns refer to years unless otherwise specified.

Description

Notes and information regarding the description of records to be kept in the secondary category (records series).

Retention

The period of time the records are to be retained by the corporation, in years (unless indicated differently).

Remarks

Notes and information regarding the retention of the record series.

Abbreviations

The following abbreviations are used to indicate retention information:

- A = Archival: The archivist must be notified before these records are moved out of the division. These records have been identified as archival, and will be stored in the Archives.
- C = Current Year: Retention period indicated begins at the end of the current calendar year. (e.g. C + 2 = Current Year plus the previous 2 calendar years).
- E = Event: Refers to records for which a specific retention period cannot be predetermined as they must be kept until after the termination of a defined activity, event, or function. In some cases, "E" has been defined to guide the decision.
- P = Permanent: A file with this retention limit is never destroyed. It has permanent value and is to be properly stored in the department or records centre.
- PIB = Personal Information Bank: Contains a collection of like/similar information; the personal information is organized; the information is linked to an identifiable individual; and the personal information is capable of being retrieved through the use of a personal identifier such as name, number or symbol.
- SR = Selective Retention: Indicates that some of the records may have enduring value and are to be reviewed by the Clerk prior to disposal. Those records subsequently identified as being of enduring value are to be preserved in the Town Archives once the retention period has ended.
Records will be selected based on recognized archival practices such as weeding (all files kept but some contents destroyed), sampling (only some files kept based on specified criteria, the others destroyed), or a combination of the two.

Omissions and Changes

Although the retention schedule is based on the most accurate information available, some records may not be included. Where specific authority is not provided in this schedule, records cannot legally be disposed. They must be retained until the schedule is amended.

In addition, retention periods prescribed in this schedule may be altered due to changes in legislation or functional requirements. Once such changes become known, no disposal may take place until the appropriate amendments are made to the schedule.

Transitory Documents

Transitory documents are those kept solely for convenience of reference and of limited value in recording the planning or implementation of Town policy or programs, such as:

- a) copies of miscellaneous notices or memoranda concerning routine administrative matters or other minor issues;
- b) information copies of widely distributed materials, such as minutes, agendas, and newsletters, unless the information copy has been annotated to reflect significant input or for other program purposes;
- c) preliminary drafts of letters, memoranda or reports and other informal notes which do not represent significant steps in the preparation of a final record, and which do not record decisions;
- d) duplicate copies of documents in the same medium which are retained only for convenience or future distribution;
- e) voice-mail messages;
- f) e-mail messages and other communications that do not relate to Town business;
- g) copies of publications, such as, published reports, administration manuals, telephone directories, catalogues, pamphlets, or periodicals;
- h) duplicate stocks of obsolete publications, pamphlets, or blank forms;
- i) unsolicited advertising materials, including brochures, company profiles and price lists.

Transitory Records

The following records are common to most divisions and are normally required for a very limited period of time. Unless otherwise specified in the schedule, or unless required for legal or legislated purposes, these records may be destroyed when their value ceases as determined by the individual work unit. Note that blank forms are not records and they should not be maintained within a records system. Until they are used, blank forms are considered to be office supplies.

Reference Number	Record Series Description	Retention
N/A	Additional Duplicate Copies Additional copies of records. Includes those created for ease of reference or for distribution at meetings, training sessions, etc. Examples include multiple copies of project or committee materials such as minutes, reports, agendas, etc. as sent to various committee members and staff. Duplicate copies of documents retained only for distribution or convenience (e.g. multiple copies of reports or memos).	SR
N/A	Telephone Messages Includes personal telephone messages and simple telephone messages recorded on post-it notes, message pads, log books, and in voicemail which do not record official business decisions, or have future business, financial, operational, administrative, legal, vital, or archival value.	SR
N/A	Working Papers Rough notes, work preparation materials and instructions, calculations, preliminary drafts, rough research notes and similar materials used in the preparation of correspondence, statistical tables, reports or other records. Preliminary drafts of letters, memoranda, reports, etc. which do not form significant stages in the preparation of a final document and do not record official business decisions, or have future business, financial, operational, administrative, legal, vital, or archival value.	SR
N/A	Miscellaneous notices or memoranda Includes "All Staff" emails, messages on upcoming special events, or memos on minor administrative details.	SR
N/A	External Publications Includes administrative manuals, directories, catalogues, newsletters, pamphlets and periodicals produced by organizations external to the municipality. Also Includes unsolicited advertising, brochures and flyers.	SR

Administration

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Administration	A00	Administration - General	Includes Admin. Records which cannot be classified elsewhere. Use only where there are no other headings available.	Originating	C + 3	
Administration	A01	Associations and Organizations	Includes correspondence, minutes, agenda, notices and reports regarding organizations and associations to which staff belongs or with which they communicate in the course of their duties such as AMCTO, AMO, etc..	Originating	C + 3	Excludes membership fees (See F01)
Administration	A02	Staff Committees and Staff Meetings	Includes records regarding the activities of staff committees, task forces and working groups. Includes notices of meetings, agenda, minutes, etc. and copies of staff activity reports.	Originating	C + 5	Excludes Council Minutes & Agendas (See C03 & C04) & Council Committee (See C05 & C06)
Administration	A03	Computer and Information Systems	Includes records relating to the design of computer systems and/or software and network architecture.	Originating	SR	Excludes acquisitions (see F18). Excludes Reports (File by Subject)
Administration	A04	Conferences and Seminars	Includes invitations, approvals, agendas, records, re: conferences, conventions, seminars, special functions attended by staff, travel arrangements, accommodations, itineraries or sponsored by the Municipality.	Originating	C + 3	Excludes Speeches & Presentations (See M08), Employee & Council Expenses (See F09), Invoices (See F01), Ceremonies & Events see M02), Rental Agreements (See L14)
Administration	A05	Consultants	Includes correspondence, proposals, resumes, documents, regarding: the selection, appointment and monitoring of consultants.	Originating	C + 3	Excludes Quotations & Tenders (See F18) and Invoices (See F1)
Administration	A06	Inventory Control	Includes inventory statement and reports, records, regarding control of supplies, fuel and small equipment stock levels.	Originating	C + 3	Excludes Assets (See F06)

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Administration	A07	Office Equipment and Furniture	Includes records regarding the design and maintenance of owned and leased office equipment and furniture. Includes chairs, desks, tables, photocopiers, printers, scanners, etc.	Originating	E + 3	Excludes Quotations & Tenders (See F18) and Invoices (See F1)
Administration	A08	Office Supplies and Services	Includes records regarding rates and services provided by courier, mail and postage firms. Also includes records regarding the inter-office mail system, internal printing, and the management of forms and templates.	Originating	E + 3	Excludes Quotations & Tenders (See F18) and Invoices (See F1)
Administration	A09	Policies and Procedures	Includes policy and procedure manuals, work instructions, protocols, guidelines and directives relating to administrative, governance and operational processes.	Originating	P	
Administration	A10	Record Management	Includes information regarding the management of corporate records, regardless of medium. Specific records include file listings, classification structures, feasibility studies, and records centre operations.	Legislative Services	SR	Retention By-Law - see C01 Policies and Procedures - see A09 Records Disposition - see A11
Administration	A11	Records Disposition	Includes records regarding the disposition of municipal records. Includes the disposal method used and forms authorizing and describing the destruction of records.	Legislative Services	P	
Administration	A12	Telecommunications Systems	Includes records regarding all types of telecommunications systems. Includes telephone systems, facsimile machines, base and mobile stations, towers, antennae, police and fire communications systems, and 911 emergency systems.	Originating	SR	Excludes: Licenses - see P09 Assets - see F06 Long Distance Call Records – see F01 Agreements - see L04 or L14
Administration	A13	Travel and Accommodation	Includes records regarding travel and accommodation arrangements. Includes itineraries, maps, authorizations, reservations, rented vehicles and catalogues and brochures concerning hotels, convention sites and restaurants	Originating	C + 3	Excludes employee and council expenses (see F09)

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Administration	A14	Uniforms and Clothing	Includes records regarding uniforms and special clothing used by municipal staff members, such as police uniforms, firefighters clothing and safety clothing used by utilities operators.	Originating	SR	
Administration	A15	Vendor and Suppliers	Includes records regarding vendors and suppliers of goods and services as well as information about these goods and services, such as catalogues, price lists, correspondence, and bidders' information sheets.	Originating	C + 2	Excludes: Purchase Orders and Requisitions - see F17 Office Equipment - owned and leased - see A07 Fleet Management - see V01
Administration	A16	Intergovernmental Relations	Includes correspondence and other records of a general nature regarding the relationship between the municipality and all other levels of government (such as telephone numbers, contact names, etc.). May include correspondence to and from Boards and Commissions. Where possible, these records should be filed by their subject, not the originator or recipient of the report and/or correspondence.	Originating	C + 5	Excludes Legislation (see L10/L11)
Administration	A17	Accessibility of Records (Freedom of Information)	Includes documents regarding the municipality's responsibilities under the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) and records regarding the handling of requests under the Act. Includes routine disclosure requests and processing, notices of disclosure, responses to FOI request made to the municipality, access request transfers to another institution, FOI requests made by the municipality, notices of appeal and privacy breach investigation/processing. Also includes lists of Personal Information Banks (PIBs).	Legislative Services	C + 2	Excludes: Copies of the Act - see L11 Complaints and Inquiries - see M04
Administration	A18	Security	Includes reports, requests, logs, and other records regarding the security of offices/facilities and properties such as security passes, control of keys and closed-circuit television (CCTV) output.	Originating	C + 5	Excludes: Vandalism Reports - see P05 Computer Security - see A03

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Administration	A19	Facilities Construction and Renovations	Includes records for the planning and construction of municipal facilities such as fire stations, pools, and office buildings. Includes site meetings, consultant's reports, cost reports, and design, inspections and site safety certification of equipment such as scaffolds and safety platforms for construction sites controlled by the municipality.	Development and Operations	P	Excludes: As-Builts and drawings – see A27
Administration	A20	Building and Property Maintenance	Includes records regarding the maintenance of the municipality's buildings and properties, such as cemeteries, bus terminals, garages, libraries, and office buildings. Includes exterior maintenance to buildings, landscaping, grounds keeping and grass cutting. Also includes interior design of buildings, including floor layouts, office cleaning and pest control as well as licenses for devices such as elevators.	Development and Operations	C + 20	Excludes: Parks Management - see R04 Building Systems – see A26
Administration	A21	Facility Bookings	Includes copies of permits and bookings issued for the rental of recreational and administrative facilities for specific activities.	Development and Operations	C + 3	
Administration	A22	Accessibility of Buildings	Includes records relating to the accessibility of Municipal buildings, services and information to disabled persons. Includes multi-year accessibility plan, efforts to remove barriers and notices of availability of these services.	Legislative Services	C + 5	Excludes Report on Service (See A25)
Administration	A23	Information Systems Production Activity and Control	Includes records relating to computer system operations and backup tapes. Includes activity logs, help desk tickets, change control sheets, change orders, file access control reports.	IT	C + 2	
Administration	A24	Access Control and Passwords	Records related to the management of and access to programs. Includes individual access, password management, etc.	IT	SR	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Administration	A25	Performance Management/ Quality Assurance	Includes records regarding the performance of the Municipality as a whole and quality assurance programs such as the Ontario Municipal Benchmarking Initiative (OMBI), Excellence Canada (formerly the National Quality Institute), Benchmarking, and Balanced Score Cards. Types of records included are key performance indicators, annual reports submitted to a Ministry such as the Leaf and Yard Waste System Annual Waste Reduction Reports, Waste Recycling Sites Annual Report, drinking water system annual report, Long-Term Care Home Licensee Annual Report, Personal Health Information Annual Report, Housing Services Annual Report, Funding Agencies Annual Report, and other information related to the efficiency and effectiveness of municipal operations as designated by a Ministry.	CAO	C + 6	Excludes: Employee performance appraisal - see H03 Council Goals & Objectives - see C08 Financial Regulatory reporting, FIR and MPMP – see F27
Administration	A26	Building Structure Systems	Includes records regarding building systems that are part of the building structure such as HVAC, ventilation, fire and life systems, electrical safety, elevators, furnace, and emergency lighting. Includes manufacturer's operation/technical manuals and warranties; inspection and testing reports; approved life safety studies, approved compliance equivalencies, inspection log books and remedial action for building systems.	Development and Operations Planning	SR	
Administration	A27	Drawings	Includes architectural and engineering drawings and As-Built drawings and supporting documentation such as specifications required to interpret the drawings and identify the current state of a facility or infrastructure for assessment, rehabilitation and warranty support purposes.	Development and Operations Planning	SR	

Council, Boards & By-Laws

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Council, Boards & By-Laws	C00	Council and By-Laws - General	Includes Council and Committee operations files which cannot be classified elsewhere. Use only where there are no other headings available.	Legislative Services	C + 3	
Council, Boards & By-Laws	C01	By-Laws	Includes final versions of the municipality's by-laws and amendments and attachments that are legally part of the by-laws. Also includes any background documentation required to explain or justify the By-Law.	Legislative Services	P	
Council, Boards & By-Laws	C02	By-Laws - Other Municipalities	Includes final versions of by-laws of other municipalities which are of interest.	Legislative Services	SR	
Council, Boards & By-Laws	C03	Council Agenda	Includes notices of meetings and agenda of Council meetings as well as working notes used in agenda preparation.	Legislative Services	SR	
Council, Boards & By-Laws	C04	Council Minutes	Includes minutes of the proceedings of Council meetings. Includes attachments to the minutes and voting records.	Legislative Services	P Working notes = 6 Copies = 2	Excludes: Council Committees - see C05, C06 Reports to Council - see C11
Council, Boards & By-Laws	C05	Council Committee Agenda	Includes notices of meetings and agenda for the committees of Council as well as working notes used in agenda preparation.	Legislative Services	SR	
Council, Boards & By-Laws	C06	Council Committee Minutes	Includes minutes of the committees of Council and copies of Local Board Minutes that members of Council belong to.	Legislative Services	C + 6	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Council, Boards & By-Laws	C07	Elections	Includes returned notices, lists of officials, initial MPAC and amended voters' lists, change of name applications, nominations, notices, ballots, election results, preliminary voters' lists, objections lists, candidate compliance reports, third party campaign financial and auditor reports, election report, election coordination documentation, oaths taken by council members and information on ward boundaries. Includes advertising.	Legislative Services	day action took effect or voting day + 4 Ballot = 120 days after voting or resolution of recount	
Council, Boards & By-Laws	C08	Goals and Objectives	Includes records concerning strategic planning, goals and objectives such as shared services and mission statements such as the municipal sustainability plan housing plan, and growth plan submissions prepared for the Ministry.	Originating	C + 10	Excludes: Environmental Planning – see D03 Official Plan – see D08
Council, Boards & By-Laws	C09	Motions and Resolutions	Includes final signed versions of resolutions and motions of Council.	Legislative Services	P	
Council, Boards & By-Laws	C10	Motions and Resolutions – Other Municipalities	Includes final versions of motions and resolutions of other municipalities which are of interest.	Legislative Services	SR	
Council, Boards & By-Laws	C11	Reports to Council	Includes all departmental reports to Council such as staff reports, the Treasurer's agreements, investments and funds disposition reports. Filed by subject.	Legislative Services	P	
Council, Boards & By-Laws	C12	Appointments to Boards and Committees	Includes records regarding appointments by Council of staff and council members to roles on council committees and boards.	Legislative Services	P	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Council, Boards & By-Laws	C13	Accountability Transparency & Governance	Includes records relating to Council Code of Conduct complaints and related investigations, Integrity Officer appointments and reports (including Integrity Commissioner reports, Ombudsman investigations and reports), closed meeting investigations and initiatives., registry of lobbyists, etc.	Legislative Services	C + 2	

Development & Planning

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D01	Demographic Studies	Includes records regarding trends in population growth, census reports, and density studies. Also includes records regarding the type, level and rate of growth of employment, unemployment statistics, composition of the workforce, etc.	Planning	C + 10	Excludes: Vital Statistics - see L12
Development & Planning	D02	Economic Development	Includes records regarding the growth of the economy and economic trends. Includes studies, statistics, projections, etc.	Planning	C + 10	Excludes: Demographic Studies - see D01 Residential Development - see D04 Tourism Development - see D06 Industrial/Commercial Development - see D21
Development & Planning	D03	Environment Planning	Includes records regarding general types of environmental studies with a long-range planning emphasis, such as salt usage impact, storm drainage and flood control, parks and open spaces, water sustainability and conservation, pollution prevention and waste management planning. Also contains information on invasive species and source water protection such as risk assessments, well development and purging, risk management plans, site condition reports and information prepared for Phase One and Phase Two environmental assessments.	Planning	P	Excludes: Environmental Monitoring - see E05, E13 - E15 Waste Management - see E07 Source Water Protection Committee– see E20
Development & Planning	D04	Residential Development and Development	Includes records regarding the availability of housing. Includes general assessments of the need for affordable housing, occupancy rates, housing cost statistics, etc.	Planning	C + 10	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D05	Natural Resources Planning	Includes records regarding planning for the management and preservation of forests, natural features, the characteristics of various minerals as well as mineral deposits, and other natural resources information.	Planning	C + 5	Excludes: Tree maintenance – see E04 Natural Resource management and preservation – see E18
Development & Planning	D06	Tourism Development	Includes records regarding the tourism industry and efforts made to promote and encourage tourism such as the use of the municipality as a convention site or special event.	Planning	C + 10	
Development & Planning	D07	Condominium Plans	Includes records regarding the pre-consultation and the approval of plans of condominiums. Includes drawings, technical reports, and correspondence, written comments, working notes, background information and applications.	Planning	P	
Development & Planning	D08	Official Plans	Includes the official plan, and exemptions and amendments to the official plan. Also includes secondary plans and amendments, containing detailed objectives and policies concerning the planning, development, and redevelopment of specific planning districts.	Legislative Services	P	
Development & Planning	D09	Official Plan Amendment Applications	Includes the pre-consultation and applications to amend the official plan or secondary plans, staff reports, meeting minutes and written comments on the application, notices, resolutions and decisions.	Planning	E + 5	
Development & Planning	D10	Severances	Includes records regarding the granting of severances to parcels of land including application for severance.	Planning	P	
Development & Planning	D11	Site Plan Control	Includes records regarding approval for the provision of services to individual land sites. Includes water, sewage, utility approvals, comments and correspondence. Also includes correspondence regarding parking areas, drainage and driveways.	Planning	P	Excludes: Systems for Servicing Land - see relevant subject Site Plan Agreements - see L04

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D12	Subdivision Plans	Includes records regarding the pre-consultation and the approval of plans of subdivisions (both residential and commercial). Includes drawings, technical reports, correspondence, written comments, working notes and background information. Includes clearance letters, draft approved plans and "red line" revisions, applications, registered plans, and changes to approved plans. Also includes notices of approval.	Planning	P	Excludes: Subdivision Agreements - see L04
Development & Planning	D13	Variance Applications	Includes records regarding the pre-consultation and the granting of minor variances in land use including zoning applications from existing zoning regulations.	Planning	P	Excludes: Budget Variances - see F05
Development & Planning	D14	Zoning	Includes records and standards regarding the designation of zones for land use planning purposes and zoning applications for other municipalities.	Planning	P	Excludes: Zoning By-Laws - see C01 Variances - see D13
Development & Planning	D15	Easements	Includes all records on Rights of Way and Easements concerning municipal ownership of private lands in order to maintain public service such as water and sewer lines that cross private property.	Planning	P	Excludes: Original Agreements - see L04
Development & Planning	D16	Encroachments	Includes all records regarding private properties encroaching on municipal lands including encroachment permits. Also includes surveys and any other related documentation.	Planning	P	Excludes: Original Agreements - see L04 Original Encroachment By-Laws - see C01
Development & Planning	D17	Annexation/ Amalgamation	Includes all records pertaining to the annexing and amalgamating of land adjacent to municipal lands to accommodate growth. Also includes amalgamation of municipalities. May include studies on county restructuring.	Legislative Services	P	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D18	Community Improvement	Includes records, studies, statistics and any required background information on community development programs. Examples include Ontario Neighbourhood Improvement Programs, Community Area Improvement Programs, BIA, BIC, PRID, etc. May also include records on housing rehabilitation programs, ie. RRAP, CMHC.	Planning	E + 7	Excludes: Economic Development - see D02
Development & Planning	D19	Municipal Addressing	Includes records regarding requests for and assignment of new subdivision and other street names and numbers. May include correspondence, reports, drawings, and copies of related bylaws.	Planning	P	
Development & Planning	D20	Reference Plans	Includes Registered Deposit Plans (RD Plans), site plans, property survey plans as received from Registry Office. May include correspondence.	Planning	P	
Development & Planning	D21	Industrial / Commercial Development	Includes records regarding promotion and development of industry and commerce. Records include studies, statistics, projections, etc.	Planning	P	Excludes: Agricultural Development – see D23
Development & Planning	D22	Digital Mapping	Includes all records used to produce maps and updates in a digital format as in a GIS.	Planning	C + 10	
Development & Planning	D23	Agricultural Development	Includes all records regarding development of agricultural growth.	Originating	C + 3	
Development & Planning	D24	Official Plan Background	Includes reports pertaining to amendments and changes to the Official Plan	Originating	C + 10	
Development & Planning	D25	Deeming Process	Includes records regarding applications and background material for Deeming By-law applications, including Council decisions, by-laws, correspondence, etc. A Deeming By-law application is applied for in order to allow for two or more neighbouring lots on a registered plan of subdivision to merge. Only applicable to parcels of land contained within a plan of subdivision that has been registered for at least 8 years.	Originating	C + 10	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D26	Development Charges Study	Includes records related to the development of and the final Development Charges Study as required under the Development Charges Act. Includes advertising, public meeting notices, responses, stakeholder lists, public meeting information, background information and supporting documentation, consultant reports, notices regarding adoption of the development Charges By-law, and other records related to requirements for the development of the Development Charges By-law	Originating	C + 10	
Development & Planning	D27	Part Lot Control	Includes records regarding applications and background material for Part Lot Control exemptions, council decisions, by-law, correspondence, etc. A Part Lot Control application is applied for to allow the conveyance of a portion of a lot without requiring approval of a land division committee (typically used to separately convey semi-detached and townhouse units). Only applicable to parcels of land contained with a registered plan of subdivision.	Planning	E + 10	
Development & Planning	D28	Removal of 'H' Holding Symbol	Applications made pursuant to the Planning Act for the removal of a Holding 'H' Provision. Includes all records, correspondence, application forms, Council resolutions and by-laws.	Planning	E +10	
Development & Planning	D29	Land Use Planning	Records associated with land usage including the management of growth and development for agricultural, social, economic and environment requirements. May include information about agricultural uses, activities, standards and practices.	Planning	P	
Development & Planning	D30	Property Files	Includes building permits, lawyers letters, correspondence, and any other information on specific properties.	Planning	E + 20	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Development & Planning	D31	Geographic Information Resources	Includes records regarding the Geographic and Information systems (GIS) resources utilized by the Town.	Originating	SR	
Development & Planning	D33	Planning Statistics	Includes Planning statistical records and analysis related to the Town of Shelburne, including Building Department records, property assessment data, and inventory and statistics by land use type.	Planning	P	
Development & Planning	D34	Urban Design	Includes the arrangement, appearance and functionality of towns and cities, and in particular the shaping and uses of urban public space.	Planning	P	

Environmental Services

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E01	Sanitary Sewers	Includes records regarding the design, construction and maintenance of sanitary sewers such as underground conduits that carry off waste matter.	Engineering	P	Excludes: Waste Management - see E07 Storm Sewers - see E02 Treatment Plants - see E03 MOE Approvals – see E21 Drawings/As Built and specifications – see A27
Environmental Services	E02	Storm Sewers	Includes records regarding the design, construction and maintenance of storm sewers such as underground conduits that carry off drainage water.	Engineering	P	Excludes: Drawings/ As Built and specifications – see A27
Environmental Services	E03	Treatment Plants (Wastewater Treatment and Collection Systems)	Includes records regarding the operation of sewage treatment and pumping stations and lagoons. Includes wastewater treatment facility/collection, identification reports, operator-in charge records, treatment unit instructions, equipment operating status records and equipment design, construction and maintenance records (work orders) as well as the operations and maintenance manuals. Work orders will include compliance work orders, equipment work orders (WSPM), and general work orders (callouts & site-specific collection related work (i.e. sewer rodding, lateral inspections, etc.). Also includes facility classification certificate and license to operate. May include records pertaining to Wastewater Treatment Facility and/or Collection upgrades design, construction and commissioning.	Engineering	P	Excludes: Private Sewage Disposal Systems – see E12 Drawings/ As Built and specifications – see A27
Environmental Services	E04	Tree Maintenance	Includes records of tree removal, planting, trimming, pruning and preservation measures taken.	Development and Operations	C + 5	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E05	Air Quality Monitoring	Includes records regarding the routine monitoring of air quality as well as responses to interference with quality or quantity from pollution sources such as smoke, dusk, smog or gaseous impurities. Also includes claims and compliance orders.	Environment	P	Excludes: Water Quality – see E13 to E15 By-Law Enforcement - see P01 Complaints and Inquiries - see M04 Land Quality Monitoring – see E23
Environmental Services	E06	Utilities	Includes maps and location drawings provided to the municipality from utility companies such as telephone lines, gas mains, power lines, water mains etc.	Originating	C + 5	Excludes: Site Plans - see D11
Environmental Services	E07	Waste Management	Includes records regarding the collection and disposal of waste. Includes site operating plans, landfill site records, facility inspections and stack testing, recycling, energy from waste, source separation, collection services, recycling site vicinity maps, hazardous waste collection, hauled sewage waste collection and composting records. Also includes transportation manifests, transfer compliance records and records of site condition, daily waste reception and inspection records, dust suppression records and closure reports.	Solid waste	E + 3	Excludes: Sanitary Sewers - see E01 Environment Planning - see D03 Private Sewage Disposal Systems – see E12 Annual reports on blue boxes, recycling program, etc. – see A25

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E08	Water Works (Drinking Water Plant)	Includes records regarding the design, construction and maintenance of water mains, tanks, pipelines, hydrants and related facilities and equipment as well as operational plans. Includes water meter registration numbers. Includes point of entry water treatment record, operator in charge shift monitoring and inspection records, water treatment facility/distribution and equipment design, construction, manuals, process adjustment records and maintenance records (work orders). Work orders will include compliance work orders, equipment work orders (WSPM), and general work orders (callouts & site-specific distribution-related work (i.e. water meters, curb stops, etc.) May include records pertaining to Water Treatment Facility and/or Distribution upgrades design, construction and commissioning and operations manuals for equipment. Also includes notices of potential problems and disinfection equipment continuous performance records.	Engineering	E + 15	Excludes: Water Pumping Stations – see E03 Drawings/ As Built and specifications – see A27
Environmental Services	E09	Drains	Includes records regarding the design, construction and maintenance of drains (channel or pip) carrying surplus liquid such as rainwater or liquid waste, usually to a sewer. Also includes engineer reports, petitions, assessments, general specifications and correspondence. May include convenience copies of tenders, bylaws and grants.	Engineering	P	Excludes: Drawings/ As Built and specifications – see A27
Environmental Services	E10	Pits and Quarries	Includes records regarding the design, construction, maintenance and monitoring of all pits and quarries. Includes engineer's reports, assessments, general specifications and correspondence.	Engineering	P	Excludes: License/permits – see P09

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E11	Nutrient Management	Includes the records regarding the control of storing/spreading /using waste materials such as liquid manure and sewage bio-solids on land, near waterways, runoff etc. Includes the agricultural management strategy/plan, the Greenhouse Nutrient Feedwater Strategy, Site Characterization Plan, documentation relating to the storage and distribution of nutrient material, non-agricultural source material (NASM) plans and sampling results. Also includes broker transfer and hauled sewage disposal site records.	Engineering	P	Excludes: Strategy/plan review – see A25
Environmental Services	E12	Private Sewage Disposal Systems	Includes records regarding the design, construction, maintenance and monitoring of private sanitary sewers and septic systems.	Engineering	Created, approved or plan no longer in force + 15	
Environmental Services	E13	Water Monitoring	Includes records regarding the routine monitoring of water quality, water quantity for source water protection purposes, as well as warning notice checks and posting of them and responses to interference with quality or quantity such as and chemical samples collected quarterly (trihalomethanes, nitrate and nitrites), water taking logs, methodology and reports. Also includes monitoring and control of creeks and floods, weeds, noise, erosion, top soil and storm water. Includes records of Ministry of the Environment drinking water and waste water Compliance Inspection Reports, data request items, inspection responses and related documents.	Engineering	Created, approved or plan no longer in force + 15 child care facility plumbing flush and water testing = 6	Excludes: Air Quality Monitoring – see E05 Land Quality Monitoring – see E23 By-Law Enforcement - see P01 Complaints and Inquiries - see M04 Annual reports – see A25

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E14	Water Sampling	Includes operational checks, weekly and monthly microbiological sampling and testing, chain of custodies, report of analysis – adverse samples, notices to Ministry – Spills Action Centre and local Health Unit. Includes hydrocarbon records, drinking Water and Wastewater routine sampling and Determination results, systems effluent information records, sewer overflow reports, CoC and laboratory related communications or documentation (LSN, Scope of Accreditation & Procedures/Requirements). Includes phosphorous content records, Hydrocarbon records of Upset Condition and Spill Reports for Wastewater Treatment and/or Collection systems to Ministry of the Environment and local Health Unit.	Engineering	created, approved or plan no longer in force + 15 child care facility plumbing flush and water testing = 6	Excludes: Air Quality Monitoring – see E05 By-Law Enforcement - see P01 Complaints and Inquiries - see M04 Facilities Routine water use, monitoring & testing – see P21
Environmental Services	E15	Chemical Sampling of Water	Includes chemical samples collected and tested, inorganic and organics, samples collected and tested every 60 months and lead, sodium and fluoride samples collected and tested annually, and engineer evaluation and corrective action reports and pesticide parameter test results.	Engineering	created, approved or plan no longer in force + 15	Excludes: Air Quality Monitoring – see E05 By-Law Enforcement - see P01 Complaints and Inquiries - see M04 Facilities Routine water use, monitoring & testing – see P21

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E16	Backflow Prevention and Cross Connection Control	Includes records relating to backflow prevention and cross connection control By-law program. Records will include: cross connection surveys, test reports and test results, inspection reports, list of approved and installed backflow prevention devices/assemblies, compliance tracking and notifications; plumbing drawings/schematics; correspondence, forms, copies of work orders, job reports, copies of invoices, fees structures and any other type of media related directly to backflow prevention and cross connection control.	Engineering	C + 15	
Environmental Services	E17	Energy Management	Includes all records relating to the municipality's Energy Management Program. Includes published annual energy plans, copies of utility invoices and consumption profiles, commodity procurement strategies, energy related feasibility studies, audit reports and retro-fit project files and reports and records pertaining to the benchmarking of energy cost and consumption and greenhouse gas emissions. Also includes conservation and demand measures information and management of energy consumption and conservation at municipal buildings and facilities.	Engineering	End of reporting period to which relates + 7	
Environmental Services	E18	Natural Heritage	Includes records regarding green lands, municipal forests and forestry including tree by-law preparation and enforcement records. Also includes records relating to the management and preservation of parks, harbours and beaches and plans to manage, control or eradicate invasive species or prevent release.	Development and Operations	end of plan or designated year + 3	Excludes: Natural Resources Planning – see D05 Tree Maintenance – see E04 Conservation district plans – see R01 Archaeological and heritage site investigation reports – see R01

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E19	Renewable Energy	Includes data, applications, standards, monitoring and reports/studies regarding renewable energy facilities powered and renewed by natural processes (e.g., wind, water, biomass, biogas, biofuel, solar energy, geothermal energy and such other energy sources as may be prescribed by senior governments) and their environmental and public health impacts. Also includes reports on hazards to birds and bats monitoring and locations of wind turbines as well as land requirement transfers.	Engineering	created, approved or facility no longer in force + 15	
Environmental Services	E20	Source Water Protection	Includes Risk Management Official and Inspector appointment certificates and the Risk Management Official's Annual Report, fee schedules for risk management applications, plans, issuing of notices or compliance orders or the acceptance of an assessment. Also includes modelling analysis, vulnerability assessments, source protection area assessment reports and comments, technical studies and Significant Drinking Water Threat (SDWT) verification surveys. Includes Source Water Protection Committee's Terms of Reference and Meeting Minutes.	Engineering	created, approved or plan no longer in force + 15	Excludes: Risk Management Plans and/or Assessments - see D03 Prohibition Notices and Orders - P20 Contracts and Agreements - Simple (Not Under Seal) - L14 Soil Contamination – E23 Nutrient Management – E11
Environmental Services	E21	Ministry of the Environment (MOE) Environmental Compliance Approvals	Includes Environmental Compliances issued by MOE to the municipality for municipal drinking water systems, municipal & private sewage works and waste disposal sites, air quality, noise, storm-water management, storm sewers, culverts, etc.	Engineering	Cease to apply + 3	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E22	Private/Small Water Systems	Includes records and correspondence regarding the design, construction, operation and maintenance of private water systems and development agreements for private waterworks. Includes operating manuals, maintenance orders, maintenance logs, warning notice checks and system audit reports.	Engineering	E+15 maintenance = as long as equipment in use	
Environmental Services	E23	Land Quality Monitoring	Includes records regarding the routine monitoring of land/soil quality and site condition reports as well as responses to interference with quality or contamination.	Engineering	C + 7	Excludes: Water Quality – see E13 to E15 By-Law Enforcement - see P01 Complaints and Inquiries - see M04 Air Quality Monitoring – see E05 Natural Heritage – E18

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Environmental Services	E24	Gasoline Storage and Dispensing	and dispensing records relate to loading and dispensing throughput volume; vapour control equipment operation, daily/weekly visual inspection/deficiency remedy actions and maintenance; Free Oil Layer and Separated Solid Layers Measurements and removal records measurements; tank bottom water removal; temporary tank removal; Loss of Product / Inventory Control and Reconciliation Records; excavation and nearby construction potentially affecting the storage tank system integrity; vapour barrier equipment downtime record; pumping equipment tests; pumping connection leak records; storage leak tests; gasoline levels measurement, and loss and gain records; and piping system pressure tests. System records relate to drawings and specifications for system; installation record; tank and piping systems locates; storage tank and Stage II vapour recovery system commissioning inspection and testing records; and storage tank component inspection reports and compliance documents (including warnings and notices of violations.	Engineering	use = 7 tank install, inspection = system removed + 5	Excludes: Underground storage abandonment record – see L07 Major spills – see E23

Finance & Accounting

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Finance & Accounting	F00	Finance and Accounting	Records, re: Finance and accounting which cannot be classified anywhere.	Financial Services	C + 1	
Finance & Accounting	F01	Accounts Payable	Includes records documenting funds payable by the municipality, such as paid invoices, receipts, copies of cheques issued to pay account, rebates, levies payable, reports, telephone bills and membership fees.	Financial Services	C + 7	Excludes: Cancelled Cheques – see F07 Employee and Council Expenses – see F09
Finance & Accounting	F02	Accounts Receivable	Includes records documenting funds owing to the municipality, such as invoices, billing listings, requests from mortgage companies and recoveries reports. Includes correspondence related to tax collection and supporting documentation.	Financial Services	C + 7	Excludes: Write-offs - see F23 Tax Assessments, Rolls and Tax Arrears - see F22
Finance & Accounting	F03	Audits	Includes records regarding internal and external financial audits of accounts.	Financial Services	C + 7	Excludes: Operational audits - see relevant subject. Audited Financial Statements - see Financial Statements, F10
Finance & Accounting	F04	Banking	Includes records regarding banking transactions and relationships with banks. Includes bank reconciliations and deposit records.	Financial Services	C + 7	Excludes: Banking Statements - see F07
Finance & Accounting	F05	Budgets and Estimates	Includes departmental and corporate budgets and plans, both capital and operating. Includes all working notes, calculations and background documentation. Also includes Budget Variances.	Financial Services	C + 10	
Finance & Accounting	F06	Assets	Includes records regarding current and fixed assets. Includes fixed asset inventory including records of initial expenditure, depreciation, amortization, and disposal. Also includes supporting information required for Public Sector Accounting (PSAB) purposes.	Financial Services	E + 7	Excludes: Land Acquisition and Sale - see L07

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Finance & Accounting	F07	Cheques	Includes all cancelled cheques issued. Also includes cheque requisitions, cheque listings, and supporting documents used to authorize issuance of cheques, N.S.F. cheques and bank statements.	Financial Services	C + 7	Excludes: Banking - see F04
Finance & Accounting	F08	Debentures and Bonds	Includes records regarding debentures and bonds issued. Includes information regarding the initial issuance of the debenture or bond as well as all records of payments made to investors.	Financial Services	C + 7	Excludes: Debenture Registers - see Subsidiary Ledgers, Registers and Journals, F14
Finance & Accounting	F09	Employee and Council Expenses	Includes travel and meeting expense statements and all receipts submitted by employees or Council and Committee members to substantiate their claims. May include Credit Card information i.e. account numbers and statements etc. May also include employee time sheets combined with travel and expense statements.	Financial Services	C + 7	Excludes: Attendance - see H01 Honoraria and fees to Council – see F16
Finance & Accounting	F10	Financial Statements	Includes the Balance Sheet, Income Statement and Statement of Source and Application of Funds. Also includes audited financial statements.	Financial Services	P	Excludes: all working notes, calculations and background documentation, see F26
Finance & Accounting	F11	Grants and Loans	Includes records regarding revenue generated in the form of grants-in-lieu, provincial and federal grants, loans and subsidies such as the Road and Farm Tax Rebate, Waste Management Improvement Program etc. Also includes submissions, acknowledgements, and reports such as market value of assistance report	Financial Services	E + 7	
Finance & Accounting	F12	Investments	Includes records regarding the municipality's investments, term deposits, and promissory notes.	Financial Services	E + 7	
Finance & Accounting	F13	Journal Vouchers	Includes completed journal voucher forms, input forms, and all background documentation used to substantiate journal entries.	Financial Services	P	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Finance & Accounting	F14	Subsidiary Ledgers, Registers and Journals	Includes all subsidiary ledgers, registers, and Journals such as Payment and Receipt Journals, Payroll Registers, and Debenture Registers.	Financial Services	C + 7	Excludes: Documents and vouchers used to support entries - see relevant subject in this Primary.
Finance & Accounting	F15	General Ledgers and Journals	Includes all records in the Books of Original Entry.	Financial Services	P	
Finance & Accounting	F16	Payroll	Includes all records of payments of salary, wages and deductions to employees including vacation entitlement and pay, alternative vacation entitlements, notice of garnishment and termination or severance pay. Includes time sheets and vacation taken, pay lists, T4 Slips, Record of Earnings for pension contribution purposes, Records of Employment (ROE) and Statistics Canada reports. Also includes honoraria and fees to Council.	Financial Services	E + 7	Excludes: Payroll Registers - Subsidiary Ledgers, Registers and Journals - see F14 Non-payroll related government and statistical reporting – see F27
Finance & Accounting	F17	Purchase Orders and Requisitions	Includes purchase orders and requisitions, blanket orders, and all background documentation authorizing the procurement of goods and services.	Financial Services	C + 10	Excludes: Quotations and Tenders - see F18
Finance & Accounting	F18	Quotations and Tenders	Includes records regarding quotations and tenders obtained from suppliers of goods and services. Includes Requests for Proposal, Invitations to Tender, Proposals, Tender Submissions, Pre-qualifications, and all documentation regarding the selection process.	Financial Services	Successful = E + 7 Un-successful = C + 1	Excludes: successful quotations and tenders - see Contracts and Agreements, L04
Finance & Accounting	F19	Receipts	Includes receipts issued for payment of items such as licenses, rentals and taxes and for charitable donations made to the municipality	Financial Services	C + 7	
Finance & Accounting	F20	Reserve Funds	Includes records documenting obligatory and/or discretionary reserve funds such as reserves for working funds, contingencies, future capital projects, and information systems, etc.	Financial Services	E + 7	Excludes: Accounts Receivable - see F02 Tax Rolls - see F22

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Finance & Accounting	F21	Revenues	Includes records regarding the generation of revenues other than taxes such as development charges and building code principal authorities authorized fees.	Financial Services	C = 7 Mortgage related if no Disability = 10	
Finance & Accounting	F22	Taxes and Records	Includes taxation records of long term importance, such as assessment rolls, tax sale records, tax sale deeds, property tax registrations, tax arrears register cards and tax collector's rolls.	Financial Services	P	Excludes: Accounts Receivable - see F02 Mortgage Companies - see F02 Correspondence related to tax issues that are not of a long term importance - see F02
Finance & Accounting	F23	Write Offs	Includes accounts receivable that have been written off as uncollectible. Also includes records of bankruptcies.	Financial Services	C + 7	Excludes: Accounts Receivable - see F02
Finance & Accounting	F24	Trust Funds	Includes records regarding funds established by the municipality for money held in trust, such as bequests, cemetery trust funds, cemetery care and maintenance programs, Homes for the Aged Residents (including authorization, receipts and statements of withdrawal) and Ontario Home Renewal Program such as fund accounting records, bank statements, banking instructions and fund audit records.	Financial Services	E + 7	
Finance & Accounting	F25	Security Deposits	Includes development deposits, letters of credit, certificates of insurance when required and records of monies held as security (i.e. bonds).	Financial Services	E + 7	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Finance & Accounting	F26	Working Papers – Financial	Includes all working notes, calculations, reconciliations, end of year payment in lieu of taxes statements to school, and background documentation used to calculate financial statements such as the Monthly Trial Balance.	Financial Services	C + 1	Excludes: Financial Statements - see F10
Finance & Accounting	F27	Regulatory Reporting – Financial	Includes regulatory, financial information returns and government reporting such as HST returns, tax rebate filings, and the Ministry of Municipal Affairs Financial Information Return (FIR) and the Municipal Performance Measurement Program (MPMP) that collects municipal services data on an annual basis as a part of the FIR.	Financial Services	C + 7	Excludes: Performance management & quality assurance – see A25
Finance & Accounting	F28	Federal and Provincial Taxes	Includes all records and correspondence relating to the collection, payment and tracking of all federal and provincial taxes by the municipality.	Financial Services	C + 7	

Human Resources

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Human Resources	H00	Human Resources – General	Includes Records, re: human resources cannot be classified elsewhere.	Human Resources	C + 1	
Human Resources	H01	Attendance and Scheduling	Includes records regarding the planning of employee attendance. This includes dates and times of hours worked and as well as of on-call schedules and any changes made to on-call scheduling including cancellations, and driver daily logs and record of on-duty and off-duty time. Includes statements related to public holiday substitution dates.	Human Resources	C + 3	Excludes: Individual Time Sheets - see F16 Vacation Time and Pay – see F16
Human Resources	H02	Benefits Program	Includes rates, quotes, correspondence and explanatory documents regarding current health benefits offered to employees, such as group insurance and dental plans.	Human Resources	E + 2	Excludes: Payroll - see F16 Individual Pension and Benefit records – see H10
Human Resources	H03	Employee Records	Includes records regarding the employment history of municipal employees. Includes initial resumes and applications, performance evaluations, leave documentation, training reports, correspondence with the employee, and employee assistance. Also includes agreements on extended hours and averaging hours of work, annual summary of hours worked. Includes fulltime, part-time, student employees and volunteers. Includes CVOR operator safety record, certificates and licences such as lifeguard, instructor, first aid and retirement home staff certificates; and training records such as working at heights and service station operations training and training certificates for employees related to legislation such as the Safe Drinking Water Act, Environmental Protection Act, Occupational Health and Safety Act and the Ontario Water Resources Act.	Human Resources	E + 7	Excludes: Grievances – see H14 Harassment – see H15 Health & Safety Training - see H04

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Human Resources	H04	Health and Safety	Includes records regarding the occupational health and safety of staff. Includes lists of designated substances and assessments, designated substance assessments, fire drill records, ventilation and air quality inspection, fire hydrant flushing, first aid records, non-lost time accident reports, traffic protection plans, portable fire extinguisher maintenance records, chimney test and inspection records, fire safety inspections, safety inspections, Workplace Safety & Insurance Board reports, WSIB certificates, and information on health and safety programs training for staff. Also includes Health & Safety Committee meeting minutes.	Human Resources	E + 3 Accidents = E + 15	Excludes: Accidents of the Public - see P05 Lost-time reports and claims – see H13
Human Resources	H05	Human Resources Planning	Includes records of succession planning, executive placement, retirement programs, staff turnover rates, staffing level plans, annual hire/promotion targets, recruitment freezes, employment equity, performance management, volunteer plans, employee information reporting and related records.	Human Resources	Day last used + 1 year (Human Rights special program designation minimum of 5 years)**	Excludes: Employee Records - see H03
Human Resources	H06	Job Descriptions	Includes job descriptions and specifications as well as background information used in their preparation or amendment.	Human Resources	SR	
Human Resources	H07	Labour Relations	Includes records regarding the relationship between labour and management. Includes collective bargaining, correspondence with unions and negotiations.	Human Resources	E + 10	Excludes: Collective Agreement – see L04

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Human Resources	H08	Organizational Design	Includes records regarding reporting relationships, reorganization, organizational analysis, etc. Includes organization charts.	Human Resources	C + 7	Excludes: Job Descriptions - see H06
Human Resources	H09	Salary Planning	Includes records regarding the planning and scheduling of salaries, such as job evaluations, job classification systems, compensation ranges, salary surveys and schedules. Also includes any reference material retained regarding issues related to pay equity and compliance.	Human Resources	C + 7	Excludes: Employee Records - see H03
Human Resources	H10	Pension and Benefits Records	Includes offers, declines, registration and enrollment.	Human Resources	E + 7	Excludes: Deductions for pensions – see F16 General information on pension plans - H02 Payments made to OMERS - F01
Human Resources	H11	Recruitment	Includes records regarding the recruitment of staff. Includes job postings, copies of advertisements, records regarding competitions and unsuccessful applications.	Human Resources	C + 7	Excludes: Successful applications – see H03
Human Resources	H12	Training and Development	Includes records regarding courses offered to employees, and information on career and professional development programs. Also includes orientation and course content delivery materials and attendance records for specific courses.	Human Resources	E + 3	Excludes: Individual Employee Training Records - see H03
Human Resources	H13	Claims	Includes records regarding claims to WSIB or insurance carriers for lost-time incidents, accidents, STD or LTD. Includes accident notice, accident report	Human Resources	C + 3	Excludes: Non lost-time incidents or accidents - See H04 Self-insured STD – See H04
Human Resources	H14	Grievances	Includes records dealing with grievance complaints filed against the municipality such as the initial complaint, investigation, reports and final resolution including arbitration and arbitration awards.	Human Resources	SR	Excludes: Harassment & Violence – see H15

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Human Resources	H15	Harassment and Violence	Includes records dealing with harassment and/or violence complaints by or against employees of the municipality. It includes documents such as the initial complaint, investigation, reports and final resolution.	Human Resources	Resolution of complaint + 3	Excludes: Grievances – see H14 Abuse investigation records not involving staff – P08
Human Resources	H16	Criminal Background Checks	Includes records listing any criminal code convictions that have not been pardoned for all existing and new employees, service providers and volunteers. Also includes annual Criminal Offence Declaration.	Human Resources	date employee ceased to be employed by employer + 7	
Human Resources	H17	Employee Medical Records – Hazardous Materials	Includes records of exposure to asbestos and other hazardous materials. Also includes serious incident and chemical exposure records for firefighters.	Human Resources	E+40 or 20 years after last record of exposure	
Human Resources	H18	Employee Medical Records	Includes doctor's notes, correspondence, and health reports related to an employee's medical situation.	Human Resources	When STD/LTD claims are resolved + 3	
Human Resources	H19	Disability Management	Includes all records related to occupational and non-occupational injuries and illnesses. Also includes accommodation records related to permanent impairment under the Human Rights Code resulting in permanent accommodation.	Human Resources	day issued or earlier as may be specified by Commission + 5	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Human Resources	H20	Confined Spaces	Includes records relating to the assessment of confined spaces and written plan and procedures for the control of hazards in confined spaces. Also includes confined space atmospheric tests and a record of each worker's entries and exists.	Human Resources	1 year or the period necessary to ensure 2 most recent records retained	Excludes: Health & Safety – see H03 Staff training – see H12
Human Resources	H21	Employee Recognition	Includes all records and correspondence related to employee awards and honours granted by the Municipality. Includes: organized employee events such as staff barbeques, retirement celebrations, service awards, recognition parties, etc.	Human Resources	C + 5	
Human Resources	H22	Employee Certifications	Includes records regarding individual employee certification, credentialing and mandatory training required by legislation or professional standards as a condition of employment. Includes applications, confirmation of mandatory training, certificate renewals and appointment renewals such as fire fighter mandatory training, water quality analyst certificates, sewage works operator certificates and commissioner of oaths appointment.	Human Resources	Certification expired + 2	

Justice

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Justice	J00	Justice General	Includes Records, re: justice cannot be classified elsewhere.	Court Services	SR	
Justice	J01	Certificates of Offence (Part I)	Includes Part 1 Certificates of Offence excluding Accident and Careless Driving offences. Records identified as POA schedule # CD-4R1.	Court Services	Completion + 2	Excludes: Part 1 accident and careless driving matters - see J02
Justice	J02	Information's (Part III)/ Accident and Careless Driving Part I	Includes all Part 3 Information's and Part 1 Information's Certificates of Offence relating to accident and careless driving matters. Records identified as POA schedule # CD-2.	Court Services	completion + 6	
Justice	J03	Control Lists/ Justice Reports	Includes certificate control lists and reports from Municipal and Provincial agencies such as Police, M.T.O. and M.N.R. etc.	Court Services	C + 4	

Legal Affairs

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Legal Affairs	L00	Legal Affairs, General	Includes records regarding legal affairs which cannot be classified elsewhere.	Legal Services	C + 7	
Legal Affairs	L01	Appeals and Hearings	Includes zoning appeals, development and educational charges appeals, official plan appeals, and Committee of Adjustment appeals. Records include notices of appeal, all transcripts and related documentation regarding appeals, hearings, legal proceedings and final judgments. Also includes orders issued by regulatory bodies and boards.	Legal Services	P	Excludes: Litigation - see Claims - L02-L03 Harassment & Violence – see H15
Legal Affairs	L02	Claims Against the Municipality	Includes all litigation and insurance claims made by other parties against the municipality.	Legal Services	Resolution of claim and all appeals + 2 ultimate limitation = 15 years	Excludes: Appeals and Hearings - see L01
Legal Affairs	L03	Claims By the Municipality	Includes all litigation and insurance claims made against other parties by the municipality.	Legal Services	Resolution of claim and all appeals + 2	Excludes: Appeals and Hearings - see L01

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Legal Affairs	L04	Contracts and Agreements - Under By-Law	Includes all agreements entered into by the municipality which require a by-law for approval. Includes construction contracts, collective agreements, child care centres/home child care agency licensee agreements, development front-ending agreements, and subdivision agreements. Also includes agreements regarding tax arrears payment extension, easements, encroachments, area ways, laneways and records transfer.	Legal Services		Excludes: Office Equipment Maintenance Agreements - see L14 Contracts regarding Land - see L07 Insurance Policies - see L06 Line fence agreements – see P01
Legal Affairs	L05	Insurance Appraisals	Includes appraisals of municipal property for insurance purposes.	Legal Services	After a new appraisal has been done + 15	
Legal Affairs	L06	Insurance Policies	Includes municipal insurance policy documents, such as vehicle, liability, theft, and fire insurance.	Legal Services	E + 15	Excludes: Employee Group Insurance - see H02 Third Party Contracts - see L04 Insurance Claims – see L03
Legal Affairs	L07	Land Acquisition and Sale	Includes records regarding real estate transactions and conveyance of land such as lot sales, alley closings and allowances whether through voluntary transactions or expropriation. Includes leases, deed including underground storage abandonment record, expropriation plans, purchase letters and appraisals.	Legal Services	E + 10	Excludes: Tax sales – see F22
Legal Affairs	L08	Opinions and Briefs	Includes copies of opinions and briefs prepared by the municipality's legal counsel on specific issues and by-laws.	Legal Services	P	
Legal Affairs	L09	Precedents	Includes records regarding judgments and decisions which may affect the municipality's position in actual or potential legal matters.	Legal Services	SR	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Legal Affairs	L12	Vital Statistics	Includes registers of births, deaths and marriages. Registers include license or permit serial numbers, date of issue and name of the parties.	Legal Services	P	Excludes: Population Statistics - see Demographic Studies - D01
Legal Affairs	L13	Prosecutions	Includes records regarding prosecutions to enforce by-laws and federal and provincial legislation.	Legal Services	E + 7	Excludes: By-Law Enforcement - see P01 Appeals and Hearings - see L01
Legal Affairs	L14	Contracts and Agreements – Simple	Includes contracts and agreements which do not require by-law approval, such as equipment rental and service contracts and vehicle lease, purchase agreements, waste removal agreements, apprenticeship training contracts, vehicle leases, housing service managers and long-term care home licensee agreements relating to funding, service accountability and charges between licensees and authorized persons or residents. Also includes consents required under The Canadian Anti-Spam Legislation (CASL)	Legal Services	P	Excludes: Contracts and Agreements Under By-Law – L04 Line Fences agreements – see P01
Legal Affairs	L16	Corporate Interests	Includes records regarding the acquisition and protection of intellectual property rights on behalf of the municipality. Includes patent, trademark and copyright applications as well as records dealing with the use of the Town's name and/or logo by third parties.	Legal Services	P	
Legal Affairs	L17	Litigation	Includes records regarding litigation disputes involving the Town, its employees, and various municipal boards and commissions.	Legal Services	E + 7	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Legal Affairs	L18	Land and Property Sale and Acquisition	Includes land and buildings acquisition records regarding real estate transactions and conveyance of land whether through voluntary transactions or expropriation. Includes expropriation plans, purchase letters and appraisals, allowances. Also includes records regarding the sale of municipal land and buildings.	Legal Services	P	

Media and Public Relations

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Media and Public Relations	M00	Media and Public Relations – General	Records, re: media and public relations which cannot be classified elsewhere	Originating	C + 1	
Media and Public Relations	M01	Advertising	Includes records regarding public advertising in magazines, newspapers, radio, television, and transit.	Originating	C + 5	Excludes: News Releases - see M06 Recruitment - see H11 Elections - see C07
Media and Public Relations	M02	Ceremonies and Events	Includes records regarding participation in special events, openings, and anniversaries, such as Remembrance Day and Winter Carnival. Also includes records regarding the set-up and running of special events.	Originating	C + 5	Excludes: permit to hold event – see P11
Media and Public Relations	M03	Charitable Campaigns/Fund Raising	Includes records regarding the raising of funds and donations for the municipality, for municipality run programs or for other charitable organizations. This would include the United Way, Cancer Fund, community interest groups, etc.	Originating	C + 7	Excludes: Receipts - see F19
Media and Public Relations	M04	Complaints Commendations and Inquiries	Includes records regarding commendations, requests for information, and very general types of inquiries and general complaints related to services provided by the municipality. Also includes concerns about services offered by the municipality, inquiries about council proceedings and congratulatory letters. May also include compliance letters issued in response to a lawyer's request.	Originating	C + 3	Excludes: Accessibility of Records (Freedom of Information) requests - see A17 Grievances or harassment/violence complaints by or against employees – see H14, H15 Employee recognition – see H21
Media and Public Relations	M05	News Clippings	Includes clippings from newspapers, information from journals and other printed media. May also include information related to online media coverage, radio or television clips.	Originating	C + 3	Excludes: Clippings used as reference material - see relevant subject.

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Media and Public Relations	M06	News Releases	Includes background notes and final versions of news releases issued. Includes messages for inclusion in special event programs.	Originating	C + 7	
Media and Public Relations	M07	Publications	Includes typed manuscripts, artwork, printed copies and related records regarding the publication of tourism information, program and services pamphlets, trade shows, current events, industrial directories, business directories, and maps. May include annual reports of a non-financial nature as well as copies of social networking sites (website, Facebook, etc.) published by the municipality.	Originating	SR	
Media and Public Relations	M08	Speeches and Presentations	Includes background notes and final versions of speeches, presentations and news conferences given by elected and non-elected officials.	Originating	C + 5	Excludes: Media coverage of speeches/presentations - see M05 News Releases - see M06
Media and Public Relations	M09	Visual Identity and Insignia	Includes records regarding branding and the standards which apply to graphic designs as part of a Visual Identity Program. Includes trademarks, logo and letterhead design, signage, flags, vehicle identification, etc. Also includes records regarding corporation insignia and seals of office.	Originating	P	
Media and Public Relations	M10	Website & Social Media Content	Includes records of website content and copies of web pages created by the municipality for general public use. Also includes information on social media sites such as Facebook & Twitter.	Originating	SR	Excludes: Published website content – see M07
Media and Public Relations	M11	Public Relations and Public Awareness	Includes outgoing letters of support, congratulations, greetings, honourable achievement awards, welcome letters, etc. Also includes issues regarding internal/external communications. Includes programs designed for public awareness and engagement.	Mayor's Office Originating	P C + 3	

Protection & Enforcement Services

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Protection & Enforcement Services	P00	Protection & Enforcement Services – General	Includes records that do not fall into another category.	Originating	C+1	
Protection & Enforcement Services	P01	By-law Enforcement	Includes records of municipal efforts to enforce bylaws such as parking tickets and fence-line disputes. Includes order to comply, inspection reports, stop work orders, working notes, correspondence, exhibits, photographs, line fence agreements, etc.	Legislative Services	C + 7	Excludes: Health & Fire Inspections - see P07 Investigations – see P08 Environmental Monitoring - Industrial/Commercial - see E05 Prosecutions - see L13 Animal Control Enforcement - see P14 Lottery license Enforcement - see P09
Protection & Enforcement Services	P02	Daily Occurrence Logs	Includes daily occurrences logs maintained by the Chief Building Official	Fire and Rescue	C + 5	
Protection & Enforcement Services	P03	Emergency Planning and Response	Includes records regarding the planning, testing, rehearsal of and response to emergency, safety and contingency measures. May also include records of previous disasters including emergency command centre operation, response reports, press clippings, etc.	Fire and Rescue	SR + 5	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Protection & Enforcement Services	P04	Hazardous Materials	Includes information and reports on chemicals and substances that pose fire or environmental hazards such as PCBs, refrigerants and halocarbons, also includes Material Safety Data Sheets (MSDS) and records dealing with toxic substances control, halocarbon charging records, halocarbon leak tests and release reports, transportation and effects as well as records of pesticide use and environmental spills.	Human Resources	E + 5	Excludes: Staff Safety Training - see H04 Personal exposure - see H17 Manifests - see E07
Protection & Enforcement Services	P05	Incident/ Accident Reports	Includes vandalism and security incident reports and reports of accidents that occur at recreational facilities and other municipal properties.	Originating	C + 5	Excludes: Security - see A18 Accidents of Municipal Staff - see H04 Compensation claims and vehicle accidents - see L02 or L03 Long Term Care Home medication incidents – see S18 Private Child Care Centre incidents – see S14 Municipal Child Care Centre incidents – see S10
Protection & Enforcement Services	P06	Building and Structural Inspections	Includes building and structural tests and inspection reports relating to work platforms; plumbing and sprinkler systems; fire alarm circuits, power supply and system; fire suppression systems; electrical; and other structural inspections. Also includes inspections of marijuana grow operations after appropriate notification from a police force.	Fire & Rescue Building Services	C + 7	Excludes: By-Law Enforcement – see P01

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Protection & Enforcement Services	P07	Health and Fire Safety Inspections	Includes Fire Marshall's, Public Health and related health and safety violation and verification inspection reports conducted or performed on private, public and commercial properties.	Human Resources	C + 7	Excludes: Internal Health & Safety Inspections – see H04 Routine building and structural inspections – see P06
Protection & Enforcement Services	P08	Investigations	Includes records of investigation pertaining to law enforcement, or the origin or cause of traffic accidents, serious occurrences and abuse allegations, ambulance and fire response scrutiny.	Fire & Rescue	E + 10	Excludes: By-law Enforcement – see P01 Harassment & Violence staff investigations – see H15
Protection & Enforcement Services	P09	Licences	Includes records regarding licences administered by or required by the municipality, or required by the province, such as licensing for dog kennels, dogs, liquor, cemetery, crematorium, funeral establishment licenses, businesses, lotteries, accessible transportation operation and quarries, etc.	Licensing	E + 7	Excludes: Marriage Licences – see L12
Protection & Enforcement Services	P10	Building Permits	Includes permits issued to builders, contractors, and residents giving them permission to build or renovate. Also includes permits for construction of cell towers and the structure for windpowered turbines.	Building Services	P	Excludes: All other permits – see P11
Protection & Enforcement Services	P11	Permits - Others	Includes applications and copies of permits issued by other government bodies within the municipality as well as permits issued by the municipality giving permission to hold special events, temporary road closure, drinking water works permits, transport oversize loads, erect signs, park on the street, etc.	Originating	E + 5	Excludes: Building Permits – see P10 Encroachment Permits – see D16 Burial Permits – see S09 Road and lane opening/closings – see T09
Protection & Enforcement Services	P12	Warrants	Includes all warrants issued for By-Law enforcement purposes	Legal Services	E + 5	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Protection & Enforcement Services	P13	Criminal Records	Includes all documentation relating to individuals with a history of criminal activity.	Legal Services	E + 5	Excludes: Staff Police Background Checks – see H16 Investigations – see P08 Prosecutions – see L13
Protection & Enforcement Services	P14	Animal Control	Includes records regarding the control of household pets, strays, livestock and wildlife and livestock evaluation reports. Also includes records of distraised animals and pound animal records.	Originating	C + 7	Excludes: Dog Licenses – see P09
Protection & Enforcement Services	P15	Community Protection Programs	Includes records on community protection and crime prevention such as Community Policy, Victim Services Neighbourhood Watch and Block Parents. Also includes programs aimed at public education on fire, water and traffic safety and similar programs. Records include correspondence and brochures. Also includes video surveillance footage of high incident and public spaces	Originating	SR	
Protection & Enforcement Services	P16	Emergency Services	Includes records regarding police, land ambulance, fire and rescue services	Originating	SR	

Recreation and Culture

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Recreation and Culture	R00	Recreation, Heritage & Culture – General	Recreation, heritage and culture records which cannot be classified elsewhere	Originating	C + 1	
Recreation and Culture	R01	Heritage Preservation	Includes records regarding heritage and historical development, including designations and registers of buildings, districts, and cemeteries as well as archaeological digs, archeological and heritage assessments, and heritage conservation district studies and plans. May also include heritage registries.	Originating	P	Excludes: Historical Designation By-Laws - see C01 Natural heritage preservation – see E18
Recreation and Culture	R02	Library Services	Includes circulation lists, recommendations for additions to library collections, information searches, inter-library loan requests and more general records regarding the operation of libraries. May include subscription renewals of magazines and receipts from book sales. May also include copy logs.	Originating	C + 5	
Recreation and Culture	R03	Museum and Archival Services	Includes registers of holdings, museum programming, activity reports, historical society holdings, archival operations, conservation information and related records. May also include copy logs.	Legislative Services	P	Excludes: Record Centre Operations - see A10+
Recreation and Culture	R04	Parks Management	Includes correspondence, descriptions, reports and other records dealing with the management design, set-up, landscaping and maintenance of specific municipal parks. Includes maps and plans. Also includes information dealing with maintenance of playground equipment.	Engineering	P	Excludes: Building and Property Maintenance – see A20
Recreation and Culture	R05	Recreational Facilities	Includes correspondence, descriptions, reports and other records dealing with the management, operation and design of specific municipal recreational facilities, such as arenas, rinks, pools, and fitness centres. Includes floor plans, architectural and engineering drawings. More specific information is filed by subject.	Development and Operations	E + 5	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Recreation and Culture	R06	Recreational Programming	Includes correspondence, policies, applications, registrations and general information regarding the development and delivery of recreational programs to the community, such as youth, sport and fitness, adult education, crafts and other programs.	Development and Operations	C + 7	
Recreation and Culture	R11	Parks Maintenance	Includes records related to the maintenance of municipal parks, including activities such as grass cutting, planting and landscaping.	Engineering	C + 7	

Social and Health Care Services

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Social and Health Care Services	S00	Cemetery – general	Includes records which cannot be classified elsewhere	Legislative Services	SR	
Social and Health Care Services	S09 – S00 & S01	Cemetery Interment	Includes cemetery license, burial permits, maps, plot ownership records, deemed cancellations, death certificates and warrants to bury, interment or scattering rights certificates, created remains and body disposal registers, and indexes for municipal cemeteries and abandoned cemeteries.	Legislative Services	P	Excludes: Building and Property Maintenance - see A20 Promotional materials – see M07 Price lists and cemetery operation – see S20
Social and Health Care Services	S20 – S02	Cemetery Operations	Includes records relating to the business operation of a municipal cemetery including price lists and removed markers records.	Cemetery	Contract fulfilled or no longer applies + 6 years	Excludes: burial permits, interment records, etc. – see S09

Transportation Services

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Transportation Services	T00	Transportation – General	Includes records which cannot be classified elsewhere.	Development and Operations	SR	
Transportation Services	T01	Illumination	Includes records and studies regarding the installation and repair of equipment used to illuminate roads such as street lights, pedestrian crossover lights, etc. Also includes records on power consumption.	Development and Operations	E + 6	
Transportation Services	T02	Parking	Includes records and studies regarding municipal parking issues such as handicapped parking, lot and garage operations, fire routes and employee parking.	Development and Operations	E + 6	
Transportation Services	T03	Public Transit Operations	Includes records regarding public transit systems. Includes schedules, routes, maps and similar information. Also includes project records, route administration and planning, fare policies, intergovernmental transit co-ordination.	Development and Operations	E + 2	Excludes: Accessible transportation application and approval - see S11 Driver scheduling – H01
Transportation Services	T04	Road Construction	Includes records and studies regarding construction projects on roads. Includes the construction of new roads and major improvements to existing roads, such as resurfacing, widening, etc.	Development and Operations	E + 2	Excludes: Design and Planning - see T05 Routine maintenance and minor improvements to road systems - see Road Maintenance – see T06 As-Builts – see A25
Transportation Services	T05	Road Design and Planning	Includes estimates, studies and other records regarding the design and planning of specific road construction projects. Also includes design of curbs and sidewalks, cycle ways, footpaths, walkways, etc.	Development and Operations	E + 2	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Transportation Services	T06	Road Maintenance and Salt Usage	Includes records and studies regarding the inspection and maintenance of roads. Minor repair maintenance includes the installation of culverts, minor repairs to the road surfaces, curbs and side-walks, cycle-ways, footpaths, walkways, etc. Routine maintenance includes grading, ploughing and sanding of roads, and snow removal and cleaning. Also includes Salt Management Plan and revisions, yearly review, Reports, other records, studies, and information regarding salt usage and contamination from salt used on roads. Includes training program materials and records of training for all personnel when managing or performing winter maintenance activities involving the use of road salts.	Development and Operations	E + 15	Excludes: Non salt usage training records - see H03
Transportation Services	T07	Signs and Signals	Includes records and studies regarding the manufacture, installation, servicing and maintenance of signs and signals.	Development and Operations	E + 15	Excludes: Visual Identity Program - see M09 Sign Permits – see P11
Transportation Services	T08	Traffic	Includes records and studies regarding the flow of traffic on roads. Includes intersection drawings, pedestrian crossovers, crossing guards, traffic counts, accident statistics and related records. Also includes records regarding impacts of temporary road closures for special events.	Development and Operations	C + 15	Excludes: Permits for temporary closure – see P11
Transportation Services	T09	Roads and Lanes Openings/Closures	Includes records on roads and lanes closed on a permanent or regular basis. Records include reports, appraisals, correspondence and district court applications. As well as records related to requests to open road and street allowances.	Development and Operations	E + 2	Excludes: Temporary road closures - see T08 Land Sales - see L07 Road Closing By-Laws - see C01
Transportation Services	T10	Field Survey/Road Survey Books	Includes engineering field survey notes as well as books.	Development and Operations	E + 2	

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Transportation Services	T11	Bridges	Includes estimates, studies and other records Regarding projects specifically for bridge construction, also includes bridge repairs and maintenance.	Development and Operations	E + 2	

Vehicles and Equipment

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Vehicles and Equipment	V00	Vehicles and Equipment - General	Includes records which cannot be classified elsewhere.	Originating	E + 2	
Vehicles and Equipment	V01	Fleet Management	Includes records of summary fleet information and fleet records for each vehicle (including attached devices such as Fire-Fighting Chassis Mounted Aerial Devices) leased or owned, operated and maintained by the municipality. This includes plate permits, CVOR certificates, operating manuals, routine/daily inspections, vehicle history files, ignition interlock device installation, and vehicle maintenance, registration and disposal.	Originating	E + 15	Excludes: Insurance Policies - see L06 Accident Claims - see L02, L03 Leases/Contracts - see L14
Vehicles and Equipment	V02	Mobile Equipment	Includes records and operating manuals regarding mobile (motorized) equipment used in conjunction with vehicles. Also includes routine inspections, maintenance and history files on equipment such as generators, pumps, snow-blowers, sanders, etc.	Originating	E + 1	
Vehicles and Equipment	V03	Transportable Equipment	Includes operating manuals and records regarding transportable equipment used by the municipality. Also includes routine inspections, maintenance and history files on equipment such as lawnmowers, hoses, weed-eaters, drills, and rescue equipment.	Originating	E + 1	
Vehicles and Equipment	V04	Protective Equipment	Includes operating manuals and records regarding protective equipment used by the municipality. Also includes routine inspections, maintenance and history files on equipment such as portable fire extinguishers, rescue equipment, breathing apparatus, breathing tanks, down alarms, etc.	Originating	E + 1	Excludes: Uniforms and Clothing - see A14

Category	Reference Number	Title	Description	Responsible Department	Retention	Remarks
Vehicles and Equipment	V05	Ancillary Equipment	Includes records regarding fixed equipment, which is non-vehicle and non-office in nature. Includes equipment such as work or suspended platforms, lifting devices not attached to a structure, appliances such as autoclaves and dishwashers, garbage compactors, industrial shredders etc. Includes correspondence, equipment user and procedural manuals, warranty, routine inspections, maintenance, licences and history records. Includes setup tests and manuals.	Originating	E + 1	Excludes: Gasoline storage tanks – see E24 Mechanical & operational systems integral to building structure – see A26 Private/small water systems – see E22

Record Disposition – Consent Form

Pursuant to section 6 of the Town of Shelburne By-law #19-2022, the Clerk shall notify the appropriate signing authority in writing of the scheduled destruction of a record, including a list of records to be destroyed and the scheduled destruction date.

Please review and complete the below sections of this form.

Please complete section A if you would like record(s) destroyed.

Please complete section B if you require the record(s) to be retained past the scheduled destruction date.

Section A: Records to be Destroyed

Please complete Section A, initial each record to be destroyed on: _____, indicating that you agree to the proposed disposition.

Item #	Reference Number	Record Name / Description	Expiration Date	Responsible Department	Authorizing Initial
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

By signing below, I hereby give my consent to the destruction of the records listed in section A of this form. Thereby agreeing to the permanent destruction of the records.

Name

Date

Schedule B of By-law #19 -2022

Section B: records to be retained past scheduled destruction date.

Please complete Section B of this form if you require the record to be retained past the scheduled destruction date.

Item #	Reference Number	Record Name	Reason for Further Retention
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			



A People Place, A Change of Pace
SHELBURNE
ONTARIO, CANADA

THE CORPORATION OF THE TOWN OF SHELBURNE

Records and Information Management Policy Manual

March 2022
(Full revision)

Effective Date:
2022

Applies to:

All Departments, Employees and Members of Council and Members of Committees, Boards and Agencies of the Corporation of the Town of Shelburne

1. Policy Statement

1.1 Statement

1.1.1. The records of the Corporation are valuable corporate assets needed to support effective decision-making, meet operational requirements, protect legal, fiscal, and other interests of the Corporation, preserve historically valuable information, and adhere to the requirements of applicable legislation.

1.1.2. Effective records management makes program and service delivery more efficient, supports transparency and collaboration across the Corporation, and preserves historically valuable information.

1.1.3. In accordance with the Records and Information Management Bylaw, all records in the custody and control of employees of the Town, which are created or received in the context of their functional responsibilities, are the property of the Town. As such, when an employee leaves the Town, the records will remain with the Town and shall not be removed by the departing staff.

1.1.4. In accordance with the Records and Information Management Bylaw, all records in the custody and control of members of Council, and members of Town Committees, Boards, and Agencies, which are created or received in the context of their functional responsibilities, are the property of the Town. As such, when a member leaves the Town, the records will remain with the Town and shall not be removed by the departing member.

2. Policy Definitions

2.1 Definitions

2.1.1. "Archival record" means a record that is to be retained on a permanent basis due to its historic and research value, include but are not limited to:

- a. administration changes: i.e., policies, procedures, standards; protocol and relations; strategic organizational planning and performance;
- b. audits, reviews and investigations: i.e., Ombudsman matters, Office of the Privacy Commissioner Investigations;
- c. awards and benchmarks;
- d. community development and planning;
- e. financial accountability: i.e., audits, budgets and projects, donations, financial statements, taxation assessments, taxes collected on individual properties;
- f. historical events and celebrations;
- g. governance matters: i.e., Boards, Committees, Council, taskforces records and proceedings; bylaw development;
- h. intellectual and identity: i.e., patents, trademarks, articles, corporate branding, visual identity, flags, emblems, etc.;
- i. legal matters: i.e., agreements, contracts, leases, legal opinions, litigation, covenants, easements, rights-of-way; other negotiations;

- j. municipal corporations and subsidiaries;
- k. regulatory matters: i.e., regulations, permits, inspections, licenses (not dog or marriage).

2.1.2. "Corporation" means the Corporation of the Town of Shelburne.

2.1.3. "Disposition" means the elimination or deletion of data, documents, and records so that the recorded information no longer exists.

2.1.4. "Electronic" means created, recorded, transmitted, or stored in digital form or in other intangible forms by electronic, magnetic, or optical means, or by any other means that have capabilities for creation, recording, transmission, or storage similar to those means, and "electronically" has a corresponding meaning.

2.1.5. "Electronic record" means a record of information that is created, generated, sent, communicated, received, or stored electronically.

2.1.6. "MFIPPA" means the *Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56*. ("LAIMPVP")

2.1.7. "Municipal Act" means the *Municipal Act, 2001, S.O. 2001, c. 25*.

2.1.8. "Official record" means recorded information in any format or medium that documents the Corporation's business activities, rights, obligations or responsibilities, or recorded information that was created, received, distributed, or maintained by the Corporation in compliance with a legal obligation.

2.1.9. "PHIPA" means the *Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Sched. A*.

2.1.10. "Physical record" means a record, such as paper, that can be touched, and which takes up physical space.

2.1.11. "Record" means information, however recorded, or stored, irrespective of the medium or form, by electronic means or otherwise, that includes, but is not limited to, documents, financial statements, minutes, accounts, emails, correspondence, memoranda, plans, maps, drawings, photographs, databases, and films.

2.1.12. "Records classification system" means a standardized system of identifying and classifying records for ease of use, retrieval, and disposal.

2.1.13. "Records management system" means a network, database systems, and any document management systems using the Corporation's records classification system.

2.1.14. "Records retention schedule" means a schedule indicating the length of time that each category of records shall be retained before its final disposition. It specifies those records to be preserved for their historic or legal values and authorizes on a continuing basis the destruction

of the remaining records after the expiry of a specified retention period or the occurrence of specific actions or events. The records retention schedule serves as the legal authorization for the disposal of the Corporation's records.

2.1.15. "Retention period" means the period of time during which the Corporation must keep records before they may be disposed of.

2.1.16. "TOMRMS" means The Ontario Municipal Records Management System, a standardized classification system that was designed specifically for municipal records.

2.1.17. "Transitory record" means records for which there is no legal, regulatory, policy obligation or recordkeeping directive to preserve according to a set retention period and disposition instructions including, but not limited to:

- a. copies of miscellaneous notices or memoranda concerning routine administrative matters or other minor issues;
- b. duplicates of documents;
- c. preliminary drafts of letters, memoranda, or reports, and other informal notes which do;
- d. not represent significant steps in the preparation of a final document and which do not record decisions;
- e. voicemail messages;
- f. emails and other communications that do not relate to the Corporation's business;
- g. copies of publications, such as published reports, administration manuals, telephone directories, catalogues, pamphlets, or periodicals;
- h. duplicate stocks of obsolete publications, pamphlets, or blank forms;
- i. unsolicited advertising materials, including brochures, company profiles, and price lists.

2.1.18. "Vital record" means a record of any form or format, containing information essential for the continuation of the immediate operation of the Corporation and necessary to recreate its legal and financial situation and to preserve its claims and rights and those of its stakeholders.

3. Purpose of the Policy

3.1 Purpose

3.1.1. The purposes of this Policy are:

- a. to ensure that the records in the custody or under the control of the Corporation, regardless of their physical format or medium, are organized, retained, managed, and disposed of in accordance with applicable legislation including, but not limited to, the Municipal Act, MFIPPA, PHIPA, the Corporation's Records Retention Schedule adopted as per the Corporation's Records Retention Bylaw, and the principles of TOMRMS;

- b. to apply systematic controls and standards to the creation, security, use, retention, conversion, management, and disposition of records in every Department of the Corporation;
- c. to ensure that the records in the custody or under the control of the Corporation are retained and preserved in a secure and accessible manner;
- d. to protect the integrity and authenticity of records so that they may be relied upon as evidence of organizational activity and administrative decisions and thereby meet legal and evidential requirements;
- e. to foster government accountability and transparency by promoting and facilitating good record-keeping;
- f. to promote organizational efficiency and economy through sound record-keeping practices, including reducing storage costs through the use of an electronic records management system or other technologies;
- g. to enhance collaboration across the Corporation; and
- h. to establish and define responsibility and roles in terms of records management.

4. Policy Application

4.1 Application

4.1.1. This Policy applies to all Departments and Members of Council, and Members of Committees, Boards and Agencies of the Corporation.

4.1.2. This Policy applies to all records in the custody or under the control of the Corporation, regardless of their physical format or medium, including, but not limited to, the records created, received, retained, managed, or disposed of by all employees, departments, committees within the Corporation, or by Members of Council in the course of carrying out their duties as Elected Officials.

5. Policy Requirements

5.1 Records Management System

5.1.1. The Corporation maintains a decentralized records management system where the Corporation's Departments are responsible for managing the records retained within their respective Department in accordance with the Corporation's Records and Information Management By-law, and this Policy.

5.1.2. The Corporation's records management system includes physical records and electronic records.

- a. All Departments shall classify and store their physical records in a secure manner, as described in this Policy, and in accordance with the Corporation's Records Retention By-law.
- b. All Departments shall retain their electronic records in the authorized software, systems or services that meet specific requirements, such as having unalterable

records, unalterable audit log of actions on records, and retention or disposition functionality, may be designated as acceptable.

5.2 Records Retention Schedule

5.2.1. The Corporation's Records Retention Schedule is based and structured in accordance with TOMRMS, although some minor variations exist.

5.2.2. When establishing the Records Retention Schedule, the Clerk shall consider, in consultation with Departmental Directors or designated employees, the following points:

- a. the operational value of the records;
- b. the legal value of the record;
- c. the fiscal value of the record; and
- d. the historic value of the records.

5.2.3. All official records shall be retained in the most cost-effective manner, and only for as long as needed, in accordance with the Corporation's Records Retention schedule.

5.3 Records Classification System

5.3.1. The Corporation shall categorize records, regardless of medium or format, as either transitory records or official records.

5.3.2. All official records shall be classified with file codes based on their associated business functions and activities, in accordance with the Corporation's Records Retention Schedule, in order to indicate how long they must be retained.

5.3.3. There are no requirements to classify or retain transitory records unless an employee has become aware that such records may be subject to a MFIPPA request or an investigation or litigation.

5.4 Records Format

5.4.1. Duplicates of the same official record shall be avoided at all times because this causes confusion as to which duplicates constitute the original copy of the record. Consequently, official records shall be retained either in physical or electronic format, but not both at the same time.

5.4.2. When an official record is initially produced in physical format, the original copy shall be retained in physical format unless it is converted into an electronic format in accordance with the below-mentioned principles. If this is the case, the electronic records will thereafter be considered as the original copy of the said record:

- a. The conversion to electronic format shall be an accurate reproduction with the intention of taking the place of the physical record.
- b. The conversion to electronic format shall provide the same information as the physical record.

- c. The significant details of the conversion to electronic format shall not be obscured because of limitations in resolution, tonality, or hue.
- d. The final record format shall be in PDF or PDF/A depending on the remaining lifecycle to the record.
- e. After the electronic record is safely stored, the original physical record shall be destroyed in a secure manner in accordance with this Policy.
- f. If the Department Director or designated employee decides to convert physical records of a certain record category to electronic records,
 - i. a decision shall be made as to how far back in time the physical records will be converted to electronic records; and
 - ii. a going-forward date must be chosen after which all records belonging to that records category shall be converted to an electronic format.
- g. If the conversion of physical records to electronic records is outsourced to a scanning provider, the provider shall comply with the above requirements.

5.4.3. When an official record is initially produced in electronic format, the original copy shall be retained in an accessible and readable electronic format. The electronic record shall be in PDF or PDF/A depending on the lifecycle of the document.

5.4.4. Just as the records of the Town come in a variety of formats, the storage of records can vary throughout the Town depending on the physical properties of the records. Records should be stored on media that ensure their usability, reliability, authenticity, and preservation for as long as they are needed. The storage environment should be designed to protect records from unauthorized access, loss, destruction, theft, or disaster. Storage may be located in a centralized location or decentralized across various departments and locations within the entity, or some combination thereof depending on the phase of the lifecycle. The existence of a searchable electronic file tracking system, such as LASERFICHE is invaluable to locating records managed within the TOMRMS Program.

5.5 Vital Records

5.5.1. All the Corporation's records which have been deemed as vital records by the Clerk, in collaboration with Departmental Directors or designated employees, shall be identified as vital in the Corporation's Records Retention Schedule.

5.5.2. The records identified as vital records will be appropriately identified, protected, and preserved.

5.6 Emails and Voicemails

5.6.1. The Corporation's electronic mail (email) system is not part of the records management system of the Corporation and shall not be used for the storage of records.

5.6.2. Emails deemed transitory records shall be deleted by the Corporation's employees in accordance with this Policy.

5.6.3. Emails deemed official records shall be classified in accordance with the Corporation's records classification system and filed within the Corporation's records management system. Once the email has been saved, classified, and filed, the copy residing within the Corporation's email system may be treated as a transitory record and destroyed accordingly.

5.6.4. The Corporation's voicemail system is available for day-to-day operations, is not part of the Corporation's records management system, and shall not be used for the storage of records.

5.7 Personal and Confidential Records

5.7.1. Access restrictions and security measures shall be applied to records containing sensitive, personal, or confidential information in order to comply with access and privacy provisions outlined in the MFIPPA, PHIPA, or other applicable legislation.

5.7.2. Every employee entrusted with personal and confidential records shall ensure that the confidentiality of such records is maintained at all times.

5.7.3. The Corporation shall collect and retain only necessary personal information.

5.7.4. Records containing personal information shall be identified in the Corporation's Records Retention Schedule.

5.8 Ownership of Records

5.8.1. All records created, received, or maintained by an employee or a Member of Council or a member of a committee, board, or agency of the Corporation in the course of carrying out their duties are the property of the Corporation. This includes records held on personal electronic devices. Care must be taken to avoid the use of personal electronic communication devices, particularly as these may be held in the case of a legal hold or a MFIPPA request. No officer, employee, or member of council, or member of a committee, board, or agency, by virtue of their position, any personal or property right to the records.

5.8.2. A record may not be sold, loaned, given away, destroyed, or otherwise alienated from the Municipality of Shelburne's custody unless in accordance with policy or any of its associated policies, procedures, by-laws, and retention schedules.

5.8.3. Every officer, employee, member of council, or member of a committee, board, and agency shall deliver to the Town all records pertaining to the position held by the same.

5.8.4. Records in the custody of consultants, contractors, and private-service providers performing work for the Corporation may be under the control of the Corporation and may be subject to this Policy, the Records Retention By-law, and the provisions of the MFIPPA.

5.8.5. Records created or received by volunteers or part-time workers performing work under the direction of an employee of the Corporation are records subject to this Policy, the Records Retention By-law, and the provisions of the MFIPPA.

5.9 Change of Custody, Control, or Ownership

5.9.1. When physical custody of records is transferred to another institution not covered by this Policy, an agreement must be in place. The agreement must identify the records in question, define the rights retained by the Corporation, and ensure that the records will be managed in accordance with the Corporation's Records Retention By-law, this Policy, and other applicable legislation.

5.10 Access to Records

5.10.1. The Corporation's employees are to ensure that official records within their custody and under their control remain accessible to other employees designated as requiring access in order to perform the functions of their job and retrievable for the entire period set out within the Corporation's Records Retention Schedule. However, access restrictions will be applied to records where specifically required by the Department and in order to comply with access and privacy provisions outlined in the MFIPPA, PHIPA, or other legislation.

5.10.2. Requests from the public for access to the Corporation's records shall be provided in accordance with the MFIPPA or PHIPA.

5.11 MFIPPA or PHIPA Requests, Investigations, and Litigation

5.11.1. No transitory records or official records pertaining to an access request under the MFIPPA or PHIPA, or to an investigation or litigation shall be destroyed by any employees of the Corporation who have such records in their custody or under their control until the request, investigation, or litigation pertaining to those records has concluded.

5.11.2. The Clerk shall provide notice of any MFIPPA or PHIPA requests, investigations, or litigation to the Department Director or designated employee of the affected Department in order to ensure that any records relevant to the request, investigation, or litigation are not being destroyed.

5.12 Disposition Procedures

5.12.1. The movement of records through the lifecycle process improves operational efficiency, assists in consistent record disposition, ensures compliance with legal and regulatory retention requirements, and reduces space requirements which can result in significant cost savings. Records disposition occurs on a planned and routine basis, as part of the usual and ordinary course of business. An annual destruction process is carried out to ensure that the destruction process is controlled, appropriately authorized and creditable.

5.12.2. As such, all of the Corporation's Departments shall adhere to the following disposition procedure:

- a. Transitory records may be disposed of in a manner that is appropriate for their level of confidentiality once they have fulfilled their purpose.
- b. Official Records:
 - i. records that have fulfilled their total retention period according to the Corporation's Records Retention Schedule shall be destroyed promptly in accordance with this Policy and the Records Retention By-law. Exceptions to this planned destruction process include records that are the subject of a request under the MFIPPA and PHIPA, as well as records required for ongoing legal purposes, as described in section 5 of this Policy;
 - ii. the Department Director or designated employee shall provide the Clerk with a written notification prior to the scheduled destruction date of any records that should be retained for a longer period and the reason for the extension. Then, the Clerk, in consultation with the Department Director or designated employee who is requesting the extension, shall establish a new destruction date;
 - iii. records shall be destroyed using a method appropriate for their medium, format, and content, which may include, but are not limited to, deletion, shredding, and paper recycling;
 - iv. destruction operations must maintain the confidentiality of information and protect the privacy of individuals whose personal information may be contained in the records;
 - v. no records are to be disposed of or otherwise destroyed by any person without the written approval of the Clerk and the Department Director or designated employee and without first ensuring that the records have been documented on a Destruction Notice;
 - vi. whenever possible, records are to be disposed of as part of an annual disposal process, as opposed to being randomly destroyed;
 - vii. should the Clerk deem the official records to have archival value, the disposal process will be stopped, and the archival records shall be removed and placed with other records having archival value;
 - viii. the Destruction Notice Form that shall be used when disposing of official records is attached to this Policy; and
 - ix. all original Destruction Notices shall be provided to and retained permanently by the Clerk's Office.

5.13 Preservation of Archival Records

5.13.1. Archival records will be stored in formats that ensure the longest possible life of records or of the information contained in them. They will be handled and stored in a manner that minimizes damage and deterioration while in use.

5.13.2 The Town recognizes that many historical and archived records have been maintained in their physical form which may have jeopardized their longevity. Records were also created and

archived in their physical form because no other options existed. The conversion of these records is an integral part of the TOMRMS Program.

5.14 Records Management Training

5.14.1. Ongoing training shall be offered to all employees involved in records management.

5.14.2. The objective of employee training is to enable the Corporation to implement, use, and maintain a standardized records management system.

5.14.3. Training must be appropriate for the level of involvement with records management. This involves basic training for all employees and specialized training for designated employees responsible for records management.

5.15 Compliance and Audits

5.15.1. Compliance with the Corporation's Records Retention By-law will be reviewed on a scheduled and random basis by the Clerk.

5.16 Contravention

5.16.1. Subsection 48(1) of the MFIPPA clearly states that no person shall alter, conceal, or destroy a record, or cause any other person to do so, with the intention of denying a right under this Act to access the record or the information contained in the record.

5.16.2. Subsection 48(2) of the MFIPPA provides that every person who contravenes subsection 48(1) is guilty of an offence and could be subject to a fine up to \$5,000.

5.16.3. If an employee, or member of Council or member of a Town Committee, Board or Agency is guilty of an offence that results in a fine under the MFIPPA, the employee must pay the fee in whole and assume the consequences related to this violation and may also involve a range of disciplinary measures.

6. Responsibilities

6.1 Clerk

6.1.1. The Clerk shall be responsible for the administration and is designated as the Manager of the Records and Information Management Program, the Record Retention Bylaw including the development of current and subsequent schedules.

6.1.2. The Clerk is a critical success factor in embracing and implementing both paper and electronic practices in the usual and ordinary course of business.

6.1.3. The Clerk's responsibilities include but are not limited to the following:

- a. develop and administer this Policy and the Corporation's Records Retention By-law in accordance with legislative requirements and industry best practices;
- b. review the Records Retention Schedule annually and make amendments to ensure that the Schedule remains compliant with all legislative requirements and industry best practices;
- c. identify and implement the requirements for records creation, management, use, destruction and preservation;
- d. review and initiate any classification or retention changes if required, based on the business need;
- e. review electronic record retention compliance audit reports and escalate issues or concerns to the appropriate authority within the organization;
- f. initiate records disposal procedure and authorize records destruction or other disposal method, in accordance with the procedures in the Records Classification and Retention Schedule and the Records Management Policy Manual;
- g. suspend the destruction or transfer of records subject to legal hold, organizational or government review or audit;
- h. maintain and amend the Record and Information Management Policy Manual;
- i. ensure quality assurance measures and processes are fulfilled. These measures include performance, compliance monitoring, self-assessments, external audits, incident handling, documenting, and certifying that all duties are fulfilled; and
- j. provide record management education and training to staff, members of council and members of the corporation's committees, boards and agencies as warranted; and
- k. develop and communicate processes which enable Departments and employees to maintain compliance with this Policy.

6.2 Department Directors and Managers

6.2.1. Directors and Managers have overall responsibility for records and information management in their departments. Active records and information management is administered in a decentralized format, therefore within each separate department.

6.2.2. Department Directors and Managers responsibilities include but are not limited to the following:

- a. oversight of the creation and receipt of documents, records and information; ensure that records are maintained and disposed of in accordance with this Policy and the Corporation's Records Retention By-law;
- b. oversight of the maintenance of active file systems;
- c. adherence to Program policies and procedures, including the classification and retention of records within their department in accordance with the current Records Classification and Retention Schedule;
- d. ensuring the department's file equipment and supplies meet Program standards, including implementation of vital records protection methods;
- e. reviewing and signing Annual Records Destruction Authorization Forms.

- f. ensure that all employees of their Department are aware of their responsibilities under this Policy;
- g. demonstrate support and compliance with this Policy; and
- h. address any non-compliance with the Policy;

6.3 Employees

6.3.1 All employees shall:

- a. familiarize themselves with this Policy;
- b. comply with this Policy;
- c. report any violation of this Policy to the Department Director or Manager;
- d. create, classify, retain, and dispose of records in accordance with this Policy and the Corporation's Records Retention By-law;
- e. ensure that records are created and maintained to effectively and accurately document and provide evidence of the Corporation's business transactions and activities in which they are involved in the performance of their duties and the services offered by their Department;
- f. identify and distinguish official records and transitory records;
- g. ensure that transitory records in their custody or control are destroyed when they are no longer needed for short-term reference;
- h. ensure that emails are classified and saved within the Corporation's records management system;
- i. ensure that official records in their custody or under their control are protected from inadvertent destruction or damage and properly preserved throughout their lifecycle;
- j. protect records from unauthorized use or access; and
- k. maintain the confidentiality of confidential records.

7. Legislative Authority

7.1 Legislative Authority

7.1.1. Sections 254 and 255 of the Municipal Act state that a municipality shall retain and preserve the records of the municipality in a secure and accessible manner and may only destroy a record of the municipality if a retention period for the records has been established.

Identifying Business and Transitory Records: Should it Stay or Should it Go?

