


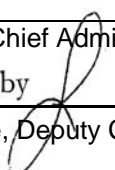
HALIFAX

P.O. Box 1749
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Item No. 11.1.1
Halifax Regional Council
June 16, 2015

TO: Mayor Savage and Members of Halifax Regional Council

SUBMITTED BY: Original signed by 
Richard Butts, Chief Administrative Officer

Original Signed by 
Mike Labrecque, Deputy Chief Administrative Officer

DATE: May 11, 2015

SUBJECT: **New Administrative Order 2015-001-GOV and Repeal of Administrative Orders #13 and #31**

ORIGIN

This report originates from staff. The 2013 strategic operations planning for records and information management resulted in a recommendation that the information governance framework for Halifax Regional Municipality (HRM)'s Corporate Information Management Program be further developed. During this process it was identified that revisions to Administrative Order #31 and the repeal of Administrative Order #13 would be necessary to advance the Corporate Information Management Program. The revisions required to Administrative Order #31 proved extensive and therefore staff is recommending approval of Administrative Order 2015-001-GOV and repeal of Administrative Orders #13 and #31.

LEGISLATIVE AUTHORITY

Pursuant to the *Halifax Regional Municipality Charter*, s. 38(1), Council may adopt a policy for the management and destruction of records and may, by policy, specify further classes of records that are not to be destroyed or that are to be kept for specified time periods.

RECOMMENDATION

It is recommended that Halifax Regional Council:

1. Approve Administrative Order # 2015-001-GOV, *the Corporate Information Management Administrative Order*, as outlined in Appendix A of this report;
2. Repeal Administrative Order # 13 as provided in Appendix B of this report; and
3. Repeal Administrative Order # 31 as provided in Appendix C of this report.

BACKGROUND

HRM recognizes that records and information assets are valuable corporate assets and government resources that must be managed like other assets and resources (financial, physical and human resources). Effective information management makes program and service delivery more efficient; supports transparency; enables collaboration across business units and other organizations; supports informed decision-making in municipal operations; protects the municipality's records and other information assets; and preserves information of historic or enduring value for the benefit of present and future generations.

Administrative Order # 13, the *Pre-Amalgamation Administrative Records Administrative Order*, was approved by Council in 1998 to permit the bulk disposition of pre-amalgamation administrative records in accordance with the file plan that was approved with Administrative Order #13.

Administrative Order # 31, the *Corporate Records and Information Management Administrative Order*, was originally approved by Council in 2003 to adopt the Association of Municipal Administrators (AMA)'s manual for the disposition of records, to standardize HRM's classification system and records retention scheduling, and to establish the Corporate Records and Information Management Program and the Municipal Records Centre. In 2006, Administrative Order # 31 was amended to establish the Municipal Archives.

To support information governance, Administrative Order 2015-001-GOV has been developed to further establish roles and responsibilities for the management of records and information assets while transferring the responsibility for approving records classifications, retention schedules and disposition plans to HRM staff. The repeal of Administrative Orders # 13 and # 31 and the implementation of Administrative Order 2015-001-GOV supports the consistent and efficient management of all HRM records and information assets, regardless of format, and establishes one corporate standard for:

- administrative records retention and disposition policies;
- the format and process for developing and approving file plans (records classifications, retention schedules and disposition plans);
- disposition authorizations; and
- implementation of an electronic records management system.

DISCUSSION

Repeal File Plan Approved by Administrative Order #13

The file plan approved by Council in 1998 under Administrative Order # 13, *The Pre-amalgamation Records Classification and Retention Schedule*, was prepared as a one-time schedule to quickly dispose of administrative records of the former municipal units. This File Plan does not conform to the corporate standard approved by Council in 2003 under Administrative Order #31 and at times its retention policies conflict with the newer File Plan approved by Administrative Order #31. It is therefore recommended that Administrative Order #13, including the file plan forming Appendix A to Administrative Order #13 be repealed.

Continue to Use File Plan Approved by Administrative Order #31

The file plan approved by Council in 2003 under Administrative Order # 31, *The Association of Municipal Administrators' Records Classifications and Retention Schedules, version 3.1* contains more recent records classifications and retention schedules for administrative, operational and executive records than

the file plan approved by Administrative Order #13. The file plan was not fully implemented within HRM, however it is being used to classify records for off-site storage and disposition.

In 2013, HRM's Corporate Information Management division initiated a project to work closely with business units to develop file plans that reflect HRM's current mandated business functions, defined as any high-level purpose, responsibility, task or activity which is assigned to the accountability agenda of the municipality by legislation, policy or mandate.

While it is recommended that Administrative Order #31 be repealed, in order for HRM to continue to classify records while new file plans are being developed, Administrative Order 2015-001-GOV provides that the Association of Municipal Administrators (AMA) Record Management Manual, version 3.1, serve as the approved file plan of HRM's business units until such time as a file plan that supersedes the Association of Municipal Administrators (AMA) Record Management Manual is approved for use by the business unit in accordance with Administrative Order 2015-001-GOV.

Scope of Corporate Information Management Program under proposed Administrative Order 2015-001-GOV

The scope of the Corporate Information Management Program proposed in Administrative Order 2015-001-GOV encompasses records from all business units of the Municipality, which may include a department, committee, council or other body of persons which the CAO has designated as a business unit for the purposes of the Administrative Order.

File Plan Approval Process under proposed Administrative Order 2015-001-GOV

File plans are dynamic documents that must be reviewed at least every two years to ensure records retention policies remain compliant with changing legislation, policy, operational requirements and the reformatting of documents (e.g. paper to digital). The AMA Records Management Manual no longer reflects all of today's mandated functions and it is expected that it will gradually be superseded over time by the file plans developed by business units in accordance with the proposed Administrative Order 2015-001-GOV.

Administrative Order 2015-001-GOV proposes a new administrative process where business units work closely with Corporate Information Management (CIM) to ensure file plan standards are met and that archival records are identified. The process also provides for the vetting of file plans by the head of the business unit, the Municipal Solicitor, the Manager of Corporate Information Management and the Chief Financial Officer to ensure records retention schedules and disposition plans in the file plan can reasonably be expected to meet operational, legislative, legal, financial, audit and historical requirements, as well as provides for the final approval of the file plan by the CAO.

Current Definition of a Record

The current definition of a record found in section 2(a) of Administrative Order #31 and the definition of a record proposed in Administrative Order 2015-001-GOV both support the definition of a record in s.461(h) of the *Municipal Government Act's* freedom of information and protection of privacy (FOIPOP) provisions:

"Record means a record of information in any form including books, documents, maps, plans, machine readable records, drawings, photographs, letters, vouchers and papers, sound recordings, videotapes, microfilm, electronic files, electronic mail transmissions, databases and spreadsheets, and any other information that is written, photographed, recorded or stored in any manner and that is produced or received by the Municipality."

This definition of a record is very broad in scope and would include an employee's own personal information stored in email and other systems by HRM employees and all draft documents, communications, and other non-essential information. This definition of a record does not consider the practicality of retention and disposition of all records. To address this issue, staff has included in the proposed Administrative Order #2015-001-GOV definitions of official records, copies/duplicates, non-government records and transitory records to clarify the distinction between official government records and other transitory and non-essential information.

Role of the Municipal Archives

The Municipal Archives was formally established in 2006 as per Administrative Order #31 as a result of the repatriation of municipal government records from Nova Scotia Public Archives. The Municipal Archives' primary responsibility is the preservation and provision of access to archival municipal government records and was designated to act as the permanent repository for these records.

FINANCIAL IMPLICATIONS

There are no direct financial implications to the adoption of the new Administrative Order. The implementation of the Administrative Order should result in more timely destruction of non-essential and outdated records which will have a positive effect on record storage costs for both paper and electronic records. Archival records will be identified in a more timely manner, providing greater access to them by researchers. Operational efficiencies can be realized from more efficient and timely records retrieval of the most concise, authentic record.

COMMUNITY ENGAGEMENT

No community engagement implications identified.

ENVIRONMENTAL IMPLICATIONS

No environmental implications identified.

ALTERNATIVES

Council could chose not to authorize some or all of the recommendations set out in this report and the approval of Administrative Order #2015-01-GOV, however this course of action is not recommended.

ATTACHMENTS

Appendix A – Administrative Order # 2015-001-GOV

Appendix B – Administrative Order #13 and File Plan – as approved by Council in 1998

Appendix C - Administrative Order #31 – as approved by Council in 2006

A copy of this report can be obtained online at <http://www.halifax.ca/council/agendasc/agenda.php> then choose the appropriate meeting date, or by contacting the Office of the Municipal Clerk at 490-4210, or Fax 490-4208.

Report Prepared by: Angela Smith, Manager of Corporate Information Management, 490-1288

Report Approved by: _____
Cathy Mellett, Municipal Clerk, 490-6456

Report Approved by: _____
John Traves QC, Director, Risk Management, Insurance and Legal Services

Halifax Regional Municipality Administrative Order Number 2015-001-GOV Respecting Corporate Information Management

BE IT RESOLVED AS AN ADMINISTRATIVE ORDER of the Council of the Halifax Regional Municipality under the authority of the *Halifax Regional Municipality Charter*, as follows:

Short Title

1. This Administrative Order may be known as Administrative Order No. 2015-001-GOV, the *Corporate Information Management Administrative Order*.

Application

2. This Administrative Order applies to the records and information assets of business units of the Municipality, including the records and information assets of former municipal units of the Municipality.

3. (1) This Administrative Order does not apply to personal or political records of elected officials of the Council.

(2) If this Administrative Order conflicts with another enactment or contract, the enactment or contract shall prevail to the extent of the conflict;

Interpretation

4. In this Administrative Order,

(a) “accession” means the formal acceptance into custody by the Municipality of a record, and the recording of such acceptance;

(b) “alienation” means the transfer of custody and control of records and information assets, whether or not such records have completed the records life cycle, to an entity or person not governed by this Administrative Order;

(c) “archival record” means a record that is no longer required by the Municipality for current operations, legal, auditor, or financial requirements but which has been appraised as having enduring legislative, historical, informational, evidential, research or other value;

(d) “business unit” means:

(i) a service unit of the Municipality, including a department, committee, Council, community council, or other body of persons, whether incorporated or unincorporated, providing that all members are:

(A) appointed by the Council, or

(B) in the discharge of their duties, public officers or servants of the Municipality in a business unit designated by the CAO as a business unit for the purposes of this Administrative Order; or

(ii) for the purposes of HRM's File Plan, the office of primary responsibility for official records in the custody and control of the business unit;

(e) "copies/duplicates" means copies and duplicates of records in any format that are made and preserved only for mass distribution, convenience or reference, providing that nothing has been altered, added or deleted since their creation;

(f) "CAO" means the Chief Administrative Officer of the Municipality, or his or her delegate;

(g) "Chief Financial Officer" means the Chief Financial Officer of the Municipality, or his or her delegate;

(h) "Chief Information Officer" means the Chief Information Officer of the Municipality, or his or her delegate;

(i) "Council" means the Council of the Municipality;

(j) "deaccession" means permanently removing records from the holdings of the Municipal Archives.

(k) "destroyed" means the recorded information has been shredded, deleted or otherwise obliterated so it cannot be retrieved;

(l) "disposition" means that a record has been destroyed, transferred to the Municipal Archives or transferred to another entity as a result of organizational changes or new legislative requirements;

(m) "file plan" means a comprehensive classification scheme and description for official records of a business unit, including a records retention schedule governing the records life cycle from creation or receipt of the records through to their disposition;

(n) "head" means:

(i) the director or managing director of a business unit of the Municipality,

(ii) chair or presiding officer of a committee, Council, community council, or other body of persons of the Municipality, or

- (iii) the person designated by the CAO as the head of a business unit;
- (o) “HRM’s File Plan” means the compilation of all business unit file plans;
- (p) “information asset” means a definable piece of information stored in any manner, which is recognized by the Municipality as having value;
- (q) “information governance” means the specification of decision rights and an accountability framework to encourage desirable behaviour in the valuation, creation, storage, use, archival retention and deletion of information assets, and includes the processes, roles, standards and metrics used by organizations to ensure the effective and efficient use of information assets in achieving their goals;
- (r) “information management” means the coordinated and consistent application of legislation, strategies, policies, and practices used to manage records and information assets throughout the life cycle of the information, from planning and systems development to disposal or long-term preservation.
- (s) “Manager of Corporate Information Management” means the Manager of Corporate Information Management of the Municipality, or his or her delegate;
- (t) “Municipal Solicitor” means the Solicitor of the Municipality, or his or her delegate;
- (u) “Municipality” means the Halifax Regional Municipality;
- (v) “non-government record” means recorded information that does not provide evidence of a business transaction, action, decision, obligation or right of the Municipality, including emails containing personal conversations and documents used for general research;
- (w) “office of primary responsibility” means the business unit with the responsibility for maintaining the authoritative version of a specific series of records that support the functions and operations of such unit;
- (x) “official record” means the record of information, in any form or media, that:
 - (i) is designated in the file plan to serve as the Municipality’s official record of a transaction, action, decision, obligation or right;
 - (ii) serves as the most complete, final, accurate and authentic record of the Municipality; and
 - (iii) serves as the best source of evidence;
- (y) “record” means a record of information in any form including:

(i) books, documents, maps, plans, machine readable records, drawings, photographs, letters, vouchers and papers, sound recordings, videotapes, microfilm, electronic files, electronic mail transmissions, databases and spreadsheets, and

(ii) any other information that is written, photographed, recorded or stored in any manner and that is produced or received by the Municipality, such as official records, non-government records, copies, duplicates, and transitory records;

(z) “record life cycle” means the stages of activity from creation or receipt of a record up to and including its final disposition; and

(aa) “transitory record” means records:

(i) of temporary usefulness which are not an integral part of a record series within a file plan; and

(ii) that are not required for evidence or to complete the official record, including preliminary drafts, input documents, such as paper document created for the purpose of entering the information into a database, notes, calculations and drafts used in the preparation of reports and other documents.

Purposes

5. The purposes of this Administrative Order are to establish a corporate information management policy for the Municipality to:

a) apply information governance and information management to the records and information assets of the Municipality throughout their entire life cycle;

b) vest the records and information assets of the Municipality in the custody and control of the business units; and

c) ensure that the records and information assets of the Municipality are managed to support the daily business of the Municipality, preserve corporate memory and meet legal requirements.

Roles and Responsibilities

6. (1) The CAO shall:

(a) consider for approval all proposed file plans and corporate records and information management policies, procedures, guidelines and standards;

(b) designate and establish classes of records for the purpose of retention, destruction or permanent preservation of the records of the Municipality

(c) make policies, procedures, and guidelines and establish standards respecting any matter or thing that in the opinion of the CAO are necessary to effectively carry out the intent and purpose of this Administrative Order; and

(d) ensure that the records and information assets of the Municipality are managed to facilitate re-use, sharing and access to information, transparency, and the protection of privacy.

(2) The CAO may:

(a) establish procedures for the management of records, including the creation, use, disposition, retention, storage, and permanent preservation of records; and

(b) designate business units for the purposes of this Administrative Order.

7. The head of a business unit having custody or control over records shall:

(a) prepare one or more file plans that:

(i) describe, classify and index all official records in the custody or under the control of the business unit;

(ii) govern the record life cycle of the official records in the custody or under the control of the business unit;

(iii) provide precise retention periods for official records in the custody or under the control of the business unit; and

(iv) establish whether each class of official record in the custody or under the control of the business unit is to be permanently preserved, destroyed or otherwise alienated from the custody and control of the business unit;

(b) authorize the final disposition of official records in the custody or under the control of the business unit in accordance with the applicable approved file plan;

(c) ensure all proposed file plans of the business unit are reviewed by the Municipal Solicitor, the Chief Financial Officer and the Manager of Corporate Information Management in advance of requesting that the CAO approve the proposed file plans;

(d) ensure that the approved file plan(s) for the official records in the custody or under the control of the business unit are current and comply with the operational, legislative, legal, financial, audit, and historical requirements applicable to those records of the Municipality; and

(e) ensure that information management principals of records retention, protection of privacy, and the availability of information to meet service requirements, are considered in the development of all new or significantly changing projects, programs, services or systems of the business unit.

8. Managers and supervisors of a business unit shall apply approved file plans to the records and information assets in the custody and control of the business unit and protect and maintain records in the custody and control of the business unit to ensure that the records are:

- (a) usable, legible and accessible;
- (b) available for archival selection and appraisal where identified as having archival value;
- (c) authentic, reliable and trustworthy as evidence;
- (d) maintained in formats, media and conditions that ensures retention and preservation in accordance with approved records retention and disposition schedules and applicable legislation;
- (e) disposed of in accordance with approved file plans when they are no longer required;
- (f) organized and captured in the business unit's recordkeeping system;
- (g) protected against unauthorized access or destruction;
- (h) accessible to anyone who is authorized to access them; and
- (i) systematically retained or disposed of in accordance with approved file plans.

9. All employees or members of a business unit shall:

- (a) classify official records in accordance with approved file plans;
- (b) transfer official records not regularly used to the Municipal Records Centre where they will await their final disposition;
- (c) promptly dispose of copies, duplicates, non-government records, non-records and transitory records that are not required for legal, audit or operational purposes; and
- (d) comply with this Administrative Order and any approved records and information management file plans, policies, procedures, directives, standards and guidelines of the Municipality.

10. The Chief Information Officer shall:

(a) ensure that information management principles and practices are incorporated into all new and modified electronic systems considered for use by the Municipality prior to the development of such new and modified electronic systems; and

(b) implement, support, and maintain all new and modified electronic systems adopted by the Municipality to ensure that records are:

(i) accessible;

(ii) protected against unauthorized access or destruction; and

(iii) preserved so they can be transferred to the Municipal Archives or destroyed in accordance with approved file plans.

11. The Municipal Solicitor shall:

(a) provide legal advice to business units on the management of records and information assets;

(b) review all proposed file plans of business units for compliance with legal and legislative requirements and advise the CAO as to whether the file plans do or do not comply with legal and legislative requirements; and

(c) establish a legal hold process to protect from premature destruction or alteration, records and information assets in all formats and media, that are the subject of a subpoena, pending or actual litigation, or are otherwise required for another legal or legislative purpose.

12. The Chief Financial Officer shall:

(a) provide financial advice on the management of records and information assets; and

(b) review all proposed file plans of business units for compliance with financial and audit requirements and advise the CAO as to whether the file plans do or do not comply with financial and audit requirements.

13. The Manager of Corporate Information Management shall:

(a) develop policies, procedures, guidelines and standards to enable business units to manage records and information assets in compliance with this Administrative Order;

(b) review all proposed file plans of business units for compliance with corporate information management standards and to identify records for archival preservation and advise the CAO as to whether the file plans comply with corporate information management standards and identify records for archival preservation; and

(c) preserve all disposition notices and certificates of destruction and archival accession and de-accession records.

Municipal Records Centre

14. The Municipal Records Centre shall be the central storage repository for records that are no longer actively being used by business units, but must be retained for legal, legislative, financial, audit, or operational reasons.

15. The Municipal Records Centre shall receive, catalogue, store, protect, and provide access to records stored in the facility, provide secure destruction of records and information assets, and retain certificates of destruction.

Municipal Archives

16. The Municipal Archives shall be the permanent repository for archival records of business units of the Municipality and former municipal units.

17. The Municipal Archives shall, within all applicable legal restrictions and physical limitations, identify, acquire, preserve, protect and provide access to archival records in the custody and control of the Municipal Archives.

18. The Municipal Archives will take such measures as are necessary to accession, deaccession, appraise, arrange, describe, preserve and provide access to archival records within all applicable legal restrictions and physical limitations of the records.

19. The Municipal Archives may consider the acquisition of external records when such acquisitions will supplement the archival record of the Municipality.

20. Records that have been identified as having archival importance to the Municipality shall be transferred to the care and control of the Municipal Archives in accordance with applicable file plans and policies of the Municipality.

21. Except as otherwise directed by Council or the CAO, the Municipal Archives shall have the care and control of the records of a business unit that concern obsolete functions of the business unit, for the purposes of identifying and acquiring archival records for permanent storage.

General – File Plan

22. The Municipality adopts the Association of Municipal Administrators (AMA) Record Management Manual to serve as the starting point upon which the Municipality will develop its file plans.

23. The Association of Municipal Administrators (AMA) Record Management Manual, version 3.1, shall continue to be the approved file plan of a business unit until such time as a file plan that supersedes the Association of Municipal Administrators (AMA) Record Management Manual is approved for use by the business unit in accordance with this Administrative Order.

24. No file plan or corporate records and information management policy, procedure, guideline or standard shall come into effect until approved by the CAO.

General - Destruction

25. No person shall destroy, transfer to the Municipal Archives or alienate the official records of the Municipality except in accordance with an applicable file plans or procedures approved in accordance with this Administrative Order.

26. No records of the Municipality shall be destroyed if they are required for actual or potential legal, legislative or audit purposes.

27. Records which have been authorized for disposition shall be destroyed or transferred in a manner that preserves the confidentiality of any confidential information that they may contain.

28. Copies, duplicates, non-government records, and transitory records shall be destroyed according to established operational business rules.

29. A deaccessioned record may be destroyed, repatriated to its original owner, sold with the proceeds going to an appropriate revenue account of the Municipality, transferred to another organization or exchanged for a more useful record.

Repeal

30. The following Administrative Orders are repealed:

a) Administrative Order Number Thirteen, the Pre-Amalgamation Administrative Records Administrative Order; and

b) Administrative Order Number Thirty One, the Corporate Records and Information Management Administrative Order.

Mayor

Municipal Clerk

I, Cathy Mellett, Municipal Clerk of Halifax Regional Municipality, hereby certify that the above noted Administrative Order was passed at a meeting of Halifax Regional Council held on _____, 2015.

Cathy Mellett, Municipal Clerk

HALIFAX REGIONAL MUNICIPALITY

ADMINISTRATIVE ORDER NUMBER THIRTEEN

**RESPECTING THE RETENTION AND DESTRUCTION OF
PRE-AMALGAMATION ADMINISTRATIVE RECORDS**

BE IT RESOLVED AS AN ADMINISTRATIVE ORDER of the Council of the Halifax Regional Municipality as follows:

Short Title

1. This Administrative Order may be cited as Administrative Order Number Thirteen, the Pre-Amalgamation Administrative Records Administrative Order.

Definitions

2. In this Administrative Order
- (a) "Permanent Record" means
 - (i) deeds, mortgages or other documents or records relating to the title of real property
 - (ii) court records
 - (iii) records required to be kept by any enactment
 - (iv) records less than six years old
 - (v) minutes, bylaws, administrative orders or resolutions of the Council; or
 - (vi) plans and surveying records
 - (b) "Records" means all information of the Municipality in any recorded form other than permanent records and transitory records
 - (c) "Transitory Records" means information recorded in any form required for a limited time to complete routine tasks having no long term value to the Municipality including, without restricting the generality of the foregoing, telephone messages, fax covering pages, duplicate documents, blank forms and advertising material.
3. A permanent record shall not be destroyed.

4. A transitory record may be destroyed at anytime.
5. Records shall not be destroyed or altered except in compliance with the Pre-Amalgamation Administrative Records Schedule attached hereto.

Done and passed in Council this 14th day of July, 1998.

Mayor

Municipal Clerk

ADMINISTRATIVE RECORDS
Schedule
Pre-Amalgamation

DISPOSITION COMMITTEE

TABLE OF CONTENTS

| | |
|---|-----------|
| EXECUTIVE SUMMARY | 3 |
| 1.0 Reason for One-Time Schedule | 3 |
| 2.0 Previous Units Overview | 4 |
| 2.1 Town of Bedford | 4 |
| 2.2 City of Dartmouth | 6 |
| 2.3 City of Halifax | 8 |
| 2.4 Halifax County Municipality | 10 |
| 2.5 Metropolitan Authority | 12 |
| 3.0 Definitions | 13 |
| 4.0 Administrative Records Schedule Format | 15 |
| PRE-AMALGAMATION ADMINISTRATIVE RECORDS SCHEDULE | 16 |
| 010 Administration - General | 16 |
| 020 Facilities and Real Estate Management | 18 |
| 030 Financial Management - General | 20 |
| 031 Accounts Management | 21 |
| 032 Banking | 23 |
| 033 Budgets | 25 |
| 034 Procurement | 26 |
| 035 Taxation | 27 |
| 040 Human Resource Management - General | 29 |
| 041 Payroll, Pensions and Benefits | 31 |
| 050 Information Management | 33 |
| 060 Supplies and Equipment Management | 35 |
| 070 Damaged Records | 37 |

Halifax Regional Municipality (HRM) Records Schedule for Pre-Amalgamation Administrative Records

EXECUTIVE SUMMARY

Section 43.1 of the Halifax Regional Municipality Act (*SNS 1995, c.3*) states that Council may establish a policy for the destruction of records. The attached records schedule for Pre-Amalgamation Administrative Records is the first step in the process to develop comprehensive retention and destruction policies for HRM.

The retention schedules for pre-amalgamation records are developed by analysing **business activities** common to all previous municipal units. This methodology ensures that all financial, human resource, information services, etc. records are treated equally, regardless of the municipal unit creating the records. The focus is on the **type of record** and business activity, rather than the business unit. Information about the organization and structure of the previous units will be maintained separately.

Once the retention schedules are approved by Council, lists of records ready for destruction will be sent for authorization to the HRM Managers currently responsible for the records. If, at this time, a Manager feels there is still a legitimate business requirement for keeping some of records, these records will not be destroyed. Any records designated for archival retention will become part of HRM's Corporate Archives.

1.0 Reason for One-Time Schedule

On April 1, 1996 the following municipal units, including the **Metropolitan Authority**, amalgamated into the Halifax Regional Municipality (HRM):

Town of Bedford
City of Dartmouth
City of Halifax
Halifax County Municipality

These units have ceased to exist as separate entities and their records are now housed in various offsite storage facilities within HRM. It is the purpose of this schedule to provide the authority to properly dispose of **administrative**¹ records (regardless of form) created by these units.

¹ For a definition of “administrative record” and “other offices”, see **Section 3.0 Definitions** below.

All of the former units created administrative records, albeit arranged under different record-keeping systems. This schedule will briefly describe the structure of the administrative offices of the former units, their record-keeping policies, where the records are now housed, and the covering dates of the records. Administrative records from all former units will be subject to the attached schedule.

NOTE: Since administrative records are common to **ALL** departments and divisions in an organization, and are not strictly unique to the Corporate Services or Administration departments of the previous units, **this schedule also applies to all administrative records kept in other offices of the previous units** such as Engineering, Police, Fire, Social Services, etc.

2.0 Previous Units Overviews

2.1 *Town of Bedford*

The Town of Bedford was incorporated in 1980. Its population recorded by the 1991 census was 11,618 and the town had one district with 7 representatives. The majority of the Town of Bedford’s municipal offices were located on the 3d floor of the Royal Bank building in Sunnyside Mall in Bedford. The Recreation Department was housed in the LeBrun Centre, the Police Department was on the mezzanine level in Sunnyside Mall, and the Fire Department was located in its own building on Bedford Highway.

Bedford was organized into the following departments:

| | |
|----------------------------|--|
| Administration: | CAO/ Mayor/ Councillors |
| Corporate Services: | (includes Human Resources and Finance) |
| Planning: | (includes Information Services) |
| Engineering and Works: | (includes Property Management/ Real Estate) |
| Recreation | |
| Economic Development | |
| Fire | |
| Police | |

The highlighted offices above represent the **offices of primary responsibility (OPRs)** for the majority of the administrative records created by the Town of Bedford. As mentioned above, administrative records will also be found in the Police, Fire, Planning, etc. records.

The Finance Department maintained a “vault” where all tax bills and other financial

information was stored. A few years prior to amalgamation, the town also began storing records at Command Services due to a lack of on-site storage space. Records were destroyed periodically when they were no longer of use to the organization. Copies of Council minutes were sent to the Bedford Public Library. In 1997, the Finance files were cleaned out of the vault room in the Royal Bank building and shipped to HRM's Barrington Street warehouse.

2.1.1 Town of Bedford Information Systems

Bedford had a Local Area Network (LAN) run on a Novell communication server with fibre optic cable to the Police Department and a 56 KB leased MT&T line to the LeBrun Recreation Centre. The LeBrun Recreation Centre also had a Novell LAN. The communication software was GroupWise and there was dial-in access for councillors and the engineering office at Mill Road. Desktop applications were Lotus and Word Perfect. Bedford's application server was a UNIX AVION 8500. Bedford's primary systems were:

(NOTE: The systems in bold are those which support administrative record-keeping activities)

- RICHTER (managing accounting and the General Ledger also included modules for taxation, job costing, recreation programming and facilities management, and cemetery management);**
- Munimetrix (Clerk's indexing system);
- CityView (permitting and subdivision development applications, included a GIS component);
- AutoCAD (engineering designs);
- Gasoline System (information was down loaded and posted to the financial system);** and
- RAPID (Halifax City's police system also used by Bedford).

Payroll processing was managed by the Royal Bank and pensions/ benefits were managed by Maritime Life. CityView was adopted and re-configured for HRM as the corporate permitting system. RICHTER was also reconfigured as HRM's financial system. As of 1998, Bedford data resided on the AVION 5800.

The Fort Sackville Foundation manages some archival records from Bedford (photographs, etc.) which are housed at the Scott Manor House Museum.

Dates of Town of Bedford administrative records range from 1987 to 1996.

2.2 *City of Dartmouth*

The City of Dartmouth was incorporated in 1873 as a town and 1961 as a city. In 1991, its population was 67,798. The city had 7 wards/districts and 15 representatives. The Dartmouth municipal offices were housed in the Dartmouth City Hall building on Alderney Drive adjacent to the Alderney Gate Public Library building. The Police Department was located in buildings on Mt. Hope Avenue, Fire Services were on Ochterloney St., and the Museum was located in the former Library and City Hall Building on Wyse Road.

The City of Dartmouth was organized into the following departments:

CAO/ Mayor/ Solicitor

Corporate Services:

Finance and Accounting

Purchasing and Stores

Information Services

Fleet Management

Clerk's Office

Human Resources:

Payroll

Pension and Benefits

Engineering and Works

Planning and Development **(includes Economic Development/ Real Estate)**

Parks and Recreation

Social Services

Police Services

Fire Services

Dartmouth Heritage Museum

Dartmouth Public Library

The highlighted offices represent the **offices of primary responsibility (OPRs)** for the majority of the administrative records created by the City of Dartmouth. As mentioned above, administrative records will also be found in the Police, Fire, Social Services, etc. records.

Past record-keeping practice in Dartmouth involved transferring records which had ceased to be useful for business purposes to the MacKenzie Building (destroyed for the G-7 Visit 1995; the records were then transferred to the warehouse associated with the Police Station on Mt. Hope Avenue in Dartmouth).

Records required more frequently were stored in the "tunnel" connecting Alderney Gate with Dartmouth City Hall. A periodic purge would take place when records became 7 years old. Records considered to be of continuing historical/archival value were sent to

the former Dartmouth Heritage Museum (now the Regional Museum of Cultural Heritage). Copies of Council minutes and bylaws were deposited at the Dartmouth Public Library (Alderney Gate).

The Clerk's Office also maintained a vault which served as a central filing system for all the City's executable documents. The majority of these vault records will be covered under a separate retention schedule (*One-Time Schedule for Pre-Amalgamation Executive Records*).

2.2.1 City of Dartmouth Information Systems

Dartmouth had a Local Area Network (LAN) in City Hall and Alderney Gate using Gandalf equipment with fibre optic cable to Alderney Gate and multiplex lines to all the schools and various other city buildings for remote access dial-in. There were three main systems:

- an Digital Alpha 2100 running OpenVMS as the primary server for all Powerhouse applications;
- a Digital Alpha 2500 running Uniplex for all word processing applications; and
- a Digital Decsystem 3100 Unix server for engineering drawings and other engineering applications.

The LAN was fully integrated using Powerhouse (Cognos) and Basic applications with employees working from dumb terminals. Powerhouse applications were written in-house and included:

(NOTE: The systems in bold are those which support administrative record-keeping activities)

- Munimetrix (Clerk's Vault file index);
- School Board module for **teachers' payroll**, student registration and grade reporting connecting all schools in the Dartmouth School Board;
- Financial system including accounting, purchasing, inventory and job costing (the latter was integrated with the HRIS system for payroll and utilized intelligent work order numbers);**
- Taxation (integrated with the financial module);**
- HRIS (Human Resource Management system)**
- Social Services (integrated with the **financial** module);
- Budgeting (integrated with the financial module);**
- Police Time system (integrated with **HRIS**);
- Fire Call system (integrated with taxation system for properties);
- Dartmouth Sportsplex system (used for tracking registrations and programs)

- offered),
- RAPID (Police services management system),
- Water System (used by water utility), and
- GEARS fleet management system (integrated with job costing).**

Applications purchased from vendors included StarGarden’s HRIS payroll and personnel tracking system (carried over and used by HRM), Munimetrix and Data Processing Designs’ Word 11 word processing used by Police and still in use for HRM.

By 1997, all systems used by the City of Dartmouth were discontinued except for HRIS, the purchasing and inventory system, Word 11, the index to engineering drawings, the job costing module and GEARS. School Board data was transferred to the Halifax Regional School Board; the water system was transferred to the Halifax Regional Water Commission; Social Services data was printed out in hard copy form and given to the provincial Department of Community Services; and financial and taxation data was transferred to AV COLD for use by HRM.

Dates for City of Dartmouth administrative records are from the 1980s to 1996.

2.3 *City of Halifax*

The City of Halifax was incorporated in 1841. In 1991 the its population was 114,455. The city had 12 wards/districts with 13 representatives. The City of Halifax’s municipal head offices were housed in Halifax City Hall and on the second, third and fourth floors of Duke Tower (Scotia Square Mall). The Police Department’s headquarters were in the building on Gottingen St. and the Fire Department’s headquarters were on West Street. There were also satellite offices at Cowie Hill, MacIntosh St, and various Recreation facilities around the City.

The City was organized into the following departments:

City Manager/ Mayor/ Councillors

| | |
|---------------------------|--|
| Finance: | MIS/Taxation/ Accounting/ Payroll and Pension |
| Purchasing: | Printing/ Stores |
| Human Resources | |
| Legal: | Clerk’s Office |
| Engineering and Works | Fleet |
| Tourism | |
| Planning and Development: | Real Estate |
| Recreation | |
| Social Planning | |

Fire
Police
Auditor General

The highlighted offices represent the **offices of primary responsibility (OPRs)** for the majority of the administrative records created by the City of Halifax. As mentioned above, administrative records will also be found in the Police, Fire, Social Planning, etc. records.

Most semi-active, non-archival records were stored in the basement of the provincial Family Court building (the former Richmond School), and in basements of other schools owned by the City. The City used the Public Archives of NS (now NS Archives and Records Management -- NSARM) as their repository for archival records. In 1996, the NSARM staff appraised the City records and recommended a number of records series be destroyed. In 1997, HRM reviewed the list proposed by the archives and re-called some record series which HRM considered important to HRM's municipal history. This transfer is not completed to date.

The City began creating formal retention policies and procedures for their records in 1988; however the destruction cycles laid out in the schedules were not followed.

2.3.1 City of Halifax Information Systems

Halifax City had a LAN which ran on six RS 6000 servers with cable lines to City Field offices (MacIntosh St.), and various Recreation sites. There were some remote dial-in users. Most of the applications were written in COBAL and were managed by MIPS (the Municipal Information Processing System). A 9800 mainframe ran the financial system, payroll system and parking ticket system. The word processing software was Word Perfect.

The City's office automation tool was C-NET which had approximately 800 users and managed all messaging and calendaring applications. It also had a basic word processing component which was used by some departments which did not have Word Perfect. The following is an outline of the primary Halifax City systems:

(NOTE: The systems in bold are those which support administrative record-keeping activities)

- Parking Tickets System (COBOL)
- MIPS Financial System (MGC written in NEATUS -- managed accounts, GL, payroll processing, the job costing module, pensions, inventory and**

- Social Assistance -- all were written in COBOL);
 - COL Taxation System (managed LIP and BID charges and included a cash collection module for billings);**
 - Election System (Oracle, had a GIS component);
 - GIS Geographical Information System (purchased);
 - PERMITS (Oracle, permit management system);
 - CPO Case Project Outline system (managed development projects)
 - CLASS (ESCOM, recreation programming management system)
 - Munimetrix (Clerk's indexing system);
 - AutoCAD system (UNIX)
 - RAPID (Police case management system)
 - Computer Aided Dispatch (Oracle, for Fire Dept. responses)

As of 1998, the CLASS, GIS, RAPID and CPO systems were still in use by HRM and the City's Election System had been modified for HRM elections. Taxation, general ledger and payroll data were transferred to AV COLD after amalgamation. Outstanding unpaid parking tickets were transferred to a Powerhouse application on HRM's Alpha server.

Dates for City of Halifax administrative records are from the 1940s to 1996.

2.4 *Halifax County Municipality*

Halifax County Municipality was incorporated in 1879 and included two incorporated villages -- Uplands Park (1969) and Waverley (1986). There were service commissions in Upper Musquodoboit and Hammonds Plains and community councils in Sackville and Cole Harbour/ Westphal. Halifax County had a population of 136,975 in 1991 with 25 wards/districts and 25 representatives. The head offices of the former Halifax County Municipality were located on Dutch Village Road in Halifax.

The County was organized into the following departments:

| | |
|----------------------------|---|
| CAO/ Mayor/ Councillors: | Business Parks |
| Clerk's Office | |
| Corporate Services: | Human Resources/ Information Services/ Finance |
| | (accounting and tax) |
| Engineering: | Real Estate |
| Planning and Development | |
| Recreation | |
| Social Services | |

The County used Command Services for their archival and semi-active storage. The was also a vault located on the second floor for storing cheques, etc. Routine accounting

records would be recalled and shredded by municipal staff when they were seven years old. Some Council minutes were deposited at the Cole Harbour Public Library. The Cole Harbour Farm Museum transferred some municipal archival records back to the County in 1995.

2.4.1 Halifax County Municipality Information Systems

Halifax County had an AS 400 server which ran a LAN at the Dutch Village Road offices. The majority of the County applications were fully-integrated and were written in-house in RPG3 and CL (Control Language) with staff working from dumb terminals. Staff used WordPerfect and Lotus for wordprocessing and spreadsheet applications. The Royal Bank managed all payroll processing and supplied the software to the County . Payroll data was input centrally into the Royal Bank system.

The water, taxation and accounting systems produced computer output microfiche and the fiche were distributed to the line departments with a copy was sent to Command Services for storage. The following is an inventory of the County systems:

(NOTE: The systems in bold are those which support administrative record-keeping activities)

- GRSI Financial System (purchased software primarily for accounting general ledger activities);**
- Taxation System (linked to Capital Charge System);**
- Capital Charge System (for sewer, water, paving, etc. billings);**
- Payment Processing System (linked to the Capital Charge System and handled all bill, license, etc. payments);**
- Water System and Service Order Module (managed information about metre readings, metres checked or repaired and bills generated);
- Social Services module (client information, payments and cheque requests and reports for province);
- CPAS (purchased software for managing employee pension plans);**
- Election System;
- PIMS Property Information Management System (subdivision applications, permit processing, etc.);
- FDM (Fire Department system used by Sackville office);
- MIMS Microcomputer Information Management System (complete inventory of all hardware and software issued to staff); and
- Property System (used for managing sewer lateral connections, etc.)

As of 1998, the PIMS and CPAS systems were still in use at HRM. PIMS contains HRM

data and CPAS is used to manage all staff (HRM and Halifax County) who are covered by the Halifax County pension plan. Financial and taxation data were transferred to AV COLD at time of amalgamation.

Dates for Halifax County administrative records are 1950s to 1996.

2.5 *Metropolitan Authority*

The Metropolitan Authority head offices were located in the Halifax City Ferry terminal building and had representatives from all participating municipal units. Metro Transit head offices were in the terminal at 200 Ilesley Avenue in Burnside Industrial Park.

The Authority was organized into the following sections:

Executive Director

Finance and Administration

Solid Waste

Human Resources

Metro Transit

The Authority sent all the minutes of Board meetings and reports to the Public Archives of NS (NS Archives and Records Management). Most of the administrative records were shipped to Command Services in April 1996. These were sent back to HRM in the winter of 1996 and are stored in the HRM Barrington St warehouse. Some administrative records also reside in the storage room at the Metro Transit Ilesley Ave. Burnside terminal.

2.5.1 *Metropolitan Authority Information Systems*

The Metropolitan Authority had a small Novell LAN at 200 Ilesley Ave. which operated as a print server. A NCR 9020 ran a version of Halifax City's financial system and also gave the Authority offices at the Ferry Terminal access to Halifax's C-NET office automation tool. After year-end audits were completed, financial reports were printed off and stored. The Bank of Nova Scotia managed the Authority's payroll activities. The following is an overview of the Authority's main systems:

(NOTE: The systems in bold are those which support administrative record-keeping activities)

- VEMM (Vehicle management system running on Digital equipment with dumb terminals; managed inventory, vehicle records including maintenance histories, job costing and work orders);**
- GoTime (designed by Halifax City and used by the Authority);

- TOS Transit Operating System (from Telride; managed dispatch and also **recorded sick time**); and
- ParaTransit (from Rides Unlimited; scheduling software for pick up and delivery of Access-A-Bus passengers).

The Authority also had a PC-based application written in FoxPro which managed all the tipping fees and transferred the information to the financial system. As of 1998, GoTime, VEMM and ParaTransit were still in use by HRM’s Metro Transit division.

Covering dates for administrative records are 1980s - 1996.

3.0 Definitions²

In this document, the following definitions apply:

- Active records -** Records which are required and referred to constantly for current business purposes and need to be maintained and stored in the office close to users. Records are considered active if there is more than one reference or retrieval per month.
- Administrative records -** Administrative records are common to all units of government. These records support “housekeeping” or corporate service functions such as the management of facilities, finance, staff, information, and properties.
- Archival retention -** Records designated to be retained permanently and selected for continuous preservation because of their continuing legal, evidential, societal, fiscal or informational value to HRM. Records designated “AR” will form HRM’s Corporate Archives.
- Destruction -** The physical destruction of inactive records without long-term value by shredding or recycling methods.
- Disposition -** The planning for, and/or action taken with regard to, disposing of HRM’s records. This may happen by

² The majority of the definitions listed here are adapted from *Nova Scotia STAR: Standard for Administrative Records, version 4.0*, Nova Scotia Records Management, NS Department of Supply and Services - Information and Technology Management, May 4, 1995.

relocation to HRM's archives, destruction, or by transfer or other formal acts of alienation to other levels of government and/or HRM's private agencies.

- Disposition plan -** Plans which describe exemptions to the normal disposition process and special procedures for destruction. Disposition Plans may identify records to be transferred to another department, specify contents of a master file, describe instructions for special procedures, or specify a microfilming or vital records protection program.
- Fiscal year-** The year as calculated from April 1 to March 31 -- also considered to be the budget year or business year.
- Freedom of Information -** The *Freedom of Information and Protection of Privacy Act (FOI)* (SNS 1993, c.5) provides citizens the right to obtain information about themselves; it also protects personal privacy in records created by public bodies. [Note: HRM is not currently considered a "public body" under the *Act*, however, the recommendation has been made that all NS municipalities be made subject to *FOIPOP*.]
- Other offices -** Work sites, divisions, or sub-division sites or areas, other than the office of primary responsibility, which hold copies of records for reference or processing purposes.
- Restricted access -** Limitations placed on the availability of municipal records based on privacy/confidentiality guidelines, or in accordance with applicable statutory requirements, regulations or policies.
- Semi-active -** Records which are referred to infrequently (once every 3 - 6 months or less) and not required for constant use in the office. Semi-active records are usually stored in cost-effective, offsite storage facilities because there is no immediate business requirement for them.
- Superseded/Obsolete (SO) -** The "SO" designation defines an event or action which triggers the ageing process of a series of records.
- Personal Information Bank (PIB) -** A series of records which is arranged or retrieved by a personal identifier such as a name, SIN number, an employee number, a Health Card number, etc.

4.0 Administrative Records Schedule Format

Administrative records activities document internal, or corporate, services and fall into the following categories:

#010

ADMINISTRATION - General

These records include advertisements, information about municipal postal and printing services, fundraising campaigns, ceremonies and visits, and corporate identity programs.

#020

FACILITIES and REAL ESTATE Management

These records document land and structures acquisition and maintenance, including construction and facilities and real estate inventories.

#030

FINANCIAL Management

These records document accounts payable and receivable transactions, banking, budgets, debt management, fees and charges, funds and investments, procurement, and taxation.

| | |
|------------|----------------------------|
| 031 | Accounts Management |
| 032 | Banking |
| 033 | Budgets |
| 034 | Procurement |
| 035 | Taxation |

#040

HUMAN RESOURCES Management

These records document employment equity programs, employee histories, labour relations, occupational health and safety programs, payroll processing, pension and benefit programs, position classifications, staffing issues, and training and development programs.

| | |
|------------|--------------------------------------|
| 041 | Payroll, Pension and Benefits |
|------------|--------------------------------------|

#050

INFORMATION Management

These records describe records management procedures; document information systems developed and maintained; include manuals created and forms managed; library holdings managed; and LAN/ WAN and telecommunication networks developed.

#060

SUPPLIES and EQUIPMENT Management

These records document inventory and maintenance records, surplus and disposal items, stock and non-stock items and vehicle management (fleet).

ADMINISTRATION - General

These records include press releases and other media relations records, advertisements, information about postal and printing services, general administrative files kept on/ by departments, fund-raising campaigns, corporate identity programs, and risk management (insurance) records. These records also reflect the office of the Director of Corporate Services or Administration for each unit.

| 010 | Administration - General | ACT | SA | DIS | FOI |
|------------|---|------------|-----------|------------|------------|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Reports and Statistics | SO+0 | 0 | DP | |
| - 04 | Ceremonies and Visits | SO+0 | 5 | D | |
| - 05 | Correspondence Files | SO+0 | 0 | D | |
| - 06 | Director, Corporate Services/ Administration Files | SO+0 | 0 | AR | |
| - 07 | Department Files | SO+0 | 0 | D | |
| - 08 | Hospitality Services | SO+0 | 0 | D | |
| -09 | Insurance Claims | SO+0 | 3 | D | RA |
| - 10 | Insurance Policies | SO+0 | 6 | D | |
| - 11 | Life Insurance Cards | SO+0 | 6 | D | PIB |
| -12 | Media Relations/ Advertising Files | SO+0 | 0 | D | |
| -13 | Printing/ Publishing Files | SO+0 | 0 | DP | |
| 010 | Administration - General cont'd on next page ... | | | | |

| | | |
|--|---|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
| D: Destruction | PIB: Personal Information Bank | SO: Superseded/Obsolete |
| FY: Fiscal Year | | RA: Restricted Access |

| 010 | Administration - General (contd.) | ACT | SA | DIS | FOI |
|------------|--|-------------|-----------|------------|------------|
| - 14 | Postal Services | SO+0 | 0 | D | |
| - 15 | Subject Files | SO+0 | 0 | D | |
| 010 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 09 to - 11 Insurance Records become supered or obsolete once the policy expires or is replaced and once the claim is settled.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain reports or statistics which summarize information from working and case files and which document corporate activities which have enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.
- 13 Transfer publications to the Corporate Library for appraisal and disposition.

FOI Definitions

- 09 Insurance claims contain confidential information.
- 11 Life insurance cards for employees contain personal information.

ACT: Active (used by creating office)

AR: Archival Retention

D: Destruction

FY: Fiscal Year

DIS: Disposition

FOI: Freedom of Information and
Protection of Privacy

PIB: Personal Information Bank

DP: Disposition Plan

SA: Semi-active storage years

SO: Superseded/Obsolete

RA: Restricted Access

FACILITIES and REAL ESTATE Management

These records document land and structures acquisition, land and structures maintenance, construction, parking areas, physical security, space planning and inventories. This includes records relating to property sales and other property-related records.

For tax records which do not relate to properties, see 035 Financial Management - Taxation.

| 020 | Facilities and Real Estate Management | ACT | SA | DIS | FOI |
|------------|---|------------|-----------|------------|------------|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Contracts and Agreements | SO+0 | 20 | AR | |
| - 04 | Legal Matters | SO+0 | 20 | D | |
| - 05 | Reports and Statistics | SO+0 | 0 | DP | |
| - 06 | Construction Case Files | SO+0 | 20 | D | |
| - 07 | Correspondence | SO+0 | 3 | D | |
| -08 | Department Files | SO+0 | 0 | D | |
| -09 | Deeds, Easements, etc. | SO+0 | 20 | AR | |
| - 10 | Deed Transfer Affidavits (private property sale) | SO+0 | 7 | D | |
| - 11 | Deed Transfer Logs (private property sale) | SO+0 | 7 | D | |
| - 12 | Directors'/ Managers'/ Architects' Files | SO+0 | 0 | AR | |
| - 13 | Facilities Case Files | SO+0 | 5 | AR | |
| - 14 | Land Maintenance Case Files | SO+0 | 3 | D | |
| -15 | Mortgages | SO+0 | 20 | AR | |
| - 16 | Real Estate/ Property Case Files | SO+0 | 5 | AR | |
| 020 | Facilities and Real Estate Management cont'd on next page..... | | | | |

| | | |
|--|--|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
| D: Destruction | PIB: Personal Information Bank | SO: Superseded/Obsolete |
| FY: Fiscal Year | | RA: Restricted Access |

| 020 | Facilities and Real Estate Management (contd.) | ACT | SA | DIS | FOI |
|------------|--|-------------|----------|----------|-----|
| - 17 | Property/Housing Sales Agreements | SO+0 | 5 | DP | |
| - 18 | Structures Maintenance Case Files | SO+0 | 3 | D | |
| - 19 | Tax Certificates (property closings) | SO+0 | 5 | D | |
| - 20 | Tax Sale Title Searches (property sale research) | SO+0 | 3 | AR | RA |
| 020 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited.
- 04 Legal case concluded or closed.
- 06 Construction completed and warranties expired.
- 10 Property sale concluded.
- 11 Property sale concluded.
- 15 Mortgage paid or concluded.
- 17 Property transaction completed and audited.
- 19 Property transaction completed and audited.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain contracts/ agreements with continuing evidential value.
- 04 Retain legal files with continuing legal and evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.
- 17 Sales agreements to be reviewed by HRM Legal Services prior to destruction.
- 20 Sale searches to be microfilmed after 3 years. Paper records destroyed after microfilm verified and destruction authorized by Legal Services.

FOI Definitions:

- 20 Tax sale title searches may contain personal and confidential information about the owner or the property including the person's competency, estate, etc. and therefore access restriction apply.

ACT: Active (used by creating office)

AR: Archival Retention

D: Destruction

FY: Fiscal Year

DIS: Disposition

FOI: Freedom of Information and
Protection of Privacy

PIB: Personal Information Bank

DP: Disposition Plan

SA: Semi-active storage years

SO: Superseded/Obsolete

RA: Restricted Access

FINANCIAL Management - General

Information relating to the general management, planning, control and administration of financial divisions. This includes Directors', Managers', Treasurers', Deputy Treasurers', Project Managers' and Comptrollers' files; correspondence, including correspondence with and from departments; and financial statements.

- For information relating to **accounts management** see 031 Accounts Management.*
- For information relating to **banking and investments** see 032 Banking.*
- For information relating to **budgets** see 033 Budgets.*
- For information relating to **procurement/ purchasing** see 034 Procurement.*
- For information relating to **municipal taxation** see 035 Taxation.*

| 030 | Financial Management - General | ACT | SA | DIS | FOI |
|------------|--|-------------|----------|----------|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| -02 | Committees | SO+0 | 0 | DP | |
| - 03 | Legal Matters | SO+0 | 7 | D | |
| - 04 | Reports and Statistics | SO+0 | 0 | DP | |
| -05 | Boards and Commission files | SO+0 | 3 | D | |
| - 06 | Correspondence | SO+0 | 3 | D | |
| - 07 | Department files | SO+0 | 0 | D | |
| - 08 | Financial Statements | SO+0 | 0 | AR | |
| - 09 | Managers', Directors', Project Managers', Comptrollers', Treasures' etc. files | SO+0 | 0 | AR | |
| 030 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Legal case concluded or closed.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain legal files with continuing evidential value.
- 04 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.

ACCOUNTS Management

| | | |
|--|--|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
| D: Destruction | PIB: Personal Information Bank | SO: Superseded/Obsolete |
| FY: Fiscal Year | | RA: Restricted Access |

These records document the receipt of revenues, and the management of department accounts in the organization. Includes information about expenditures, grants, payments, fees and charges, fines, accounting transactions, and vendor files.

| 031 | Accounts Management | ACT | SA | DIS | FOI |
|------------|--|------|----|-----|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Accounts Payable Batches | FY+0 | 6 | D | |
| - 04 | Accounts Payable Invoices | FY+0 | 6 | D | |
| - 05 | Accounts Payable Vendor Files | FY+0 | 2 | D | |
| - 06 | Accounts Payable Vouchers | FY+0 | 2 | D | |
| - 07 | Accounts Receivable Receipts | FY+0 | 2 | D | |
| - 09 | Accounts Receivable Revenue and Recovery Details/ Files | FY+0 | 2 | D | |
| - 10 | Accounts Receivable Write-offs (taxes, bad debts, etc.) | FY+0 | 2 | D | |
| - 11 | Capital Invoices | SO+0 | 6 | D | |
| - 12 | Capital Project Account Files | SO+0 | 6 | D | |
| - 13 | Cash Receipts | FY+0 | 0 | D | |
| - 14 | Cheques (copies and cancelled cheques) | FY+0 | 6 | D | |
| - 15 | Correspondence | SO+0 | 3 | D | |
| - 16 | Daily Cash/ Cashier's Tapes | FY+0 | 2 | D | |
| - 17 | Daily Transaction Lists and Journals | FY+0 | 0 | D | |
| - 18 | Expenditures and Liabilities | FY+0 | 3 | D | |
| 031 | Accounts Management cont'd on next page..... | | | | |

| 031 | Accounts Management (contd.) | ACT | SA | DIS | FOI |
|-----|------------------------------|-----|----|-----|-----|
|-----|------------------------------|-----|----|-----|-----|

ACT: Active (used by creating office)
AR: Archival Retention
D: Destruction
FY: Fiscal Year

DIS: Disposition
FOI: Freedom of Information and
Protection of Privacy
PIB: Personal Information Bank

DP: Disposition Plan
SA: Semi-active storage years
SO: Superseded/Obsolete
RA: Restricted Access

| | | | | | |
|------------|--|-------------|----------|----------|-----|
| - 19 | Fines | FY+0 | 4 | D | |
| - 20 | Gas receipts/ fuel consumption | FY+0 | 0 | D | |
| - 21 | General Ledgers | FY+0 | 2 | D | |
| - 22 | General Ledger (year end detail) | FY+0 | 6 | DP | |
| - 23 | Grants Issued | SO+0 | 6 | DP | PIB |
| - 24 | Grants Received | SO+0 | 6 | D | |
| - 25 | GST returns | FY+0 | 2 | D | |
| - 26 | Journals | SO+0 | 6 | DP | |
| - 27 | Journal Entries | FY+0 | 2 | D | |
| - 28 | Revenues | FY+0 | 7 | D | |
| - 29 | Scale Slips/ Tipping Fees | FY+0 | 3 | D | |
| - 30 | Utilities Fees and Charges (water, etc.) | FY+0 | 2 | D | |
| 031 | Copies in Other Offices | SO+1 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 11 and -12 Capital project completed and audited.
- 23 and -24 Grant expired/audited and no longer required for business purposes.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.

FOI Definitions

- 24 Grants to individuals contain personal information.

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|--|---|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
| D: Destruction | PIB: Personal Information Bank | SO: Superseded/Obsolete |
| FY: Fiscal Year | | RA: Restricted Access |

032
BANKING

These records document banking transactions; fund management and investment activities; and debt and borrowing activities.

| 032 | Banking | ACT | SA | DIS | FOI |
|------------|--|------|----|-----|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| - 03 | Contracts and Agreements | SO+0 | 7 | AR | |
| - 04 | Legal Matters | SO+0 | 7 | D | |
| - 05 | Reports and Statistics | SO+0 | 0 | DP | |
| - 06 | Actuarial Files (relating to fund management) | SO+0 | 5 | D | |
| -06 | Bank Reconciliations | SO+0 | 0 | D | |
| -07 | Bank Statements | SO+0 | 0 | D | |
| - 08 | Bonds | SO+0 | 3 | D | |
| -09 | Capital Borrowing | SO+0 | 3 | D | |
| - 11 | Correspondence | SO+0 | 3 | D | |
| - 13 | Debentures | SO+0 | 3 | D | |
| - 14 | Debt | SO+0 | 3 | D | |
| - 15 | Funds (Pension Fund, Reserve Fund, Sinking Fund, etc.) | SO+0 | 3 | D | |
| 032 | Banking cont'd on next page | | | | |

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Protection of Privacy
PIB: Personal Information Bank

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RA: Restricted Access

| 032 | Banking (cont'd) | ACT | SA | DIS | FOI |
|------|---------------------------|------|----|-----|-----|
| - 17 | Electronic Funds Transfer | FY+0 | 0 | D | |
| - 18 | General Deposits | FY+0 | 0 | D | |
| - 19 | Investments | SO+0 | 3 | D | |
| 032 | Copies in Other Offices | SO+1 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited.
- 04 Legal case concluded or closed.
- 08 Bond expired.
- 09 Capital borrowing information no longer required by HRM for business purposes.
- 13 Debenture expired (could be a 10 year or 20 year debenture).
- 19 Terms of investment expired or completed.

DP Definitions

- 03 Retain contracts/ agreements with continuing evidential value.
- 04 Retain legal files with continuing legal or evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.

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RA: Restricted Access

033
BUDGETS

These records document the planning, control, and reporting of capital and operating budgets.

| 033 | Budgets | ACT | SA | DIS | FOI |
|------------|-------------------------------------|-------------|----------|----------|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | D | |
| - 01 | General | SO+0 | 0 | D | |
| - 02 | Legal Matters | SO+0 | 7 | D | |
| - 03 | Reports and Statistics | SO+0 | 0 | DP | |
| - 04 | Capital Budgets (approved) | SO+0 | 0 | AR | |
| - 05 | Capital Budget Files | SO+0 | 3 | D | |
| - 06 | Correspondence | SO+0 | 3 | D | |
| - 07 | General Budget files | SO+0 | 3 | D | |
| - 08 | Operating Budgets (approved) | SO+0 | 3 | AR | |
| - 09 | Operating Budget Files | SO+0 | 3 | D | |
| 033 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 02 Legal case concluded or closed.
- 05 Information no longer required by HRM Finance Division for business purposes.

DP Definitions

- 02 Retain legal files with continuing legal or evidential value.
- 03 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.

| | | |
|--|---|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
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**#034
PROCUREMENT**

These records document purchases of all types of goods and services by the creating agency. This includes tenders, purchase orders, RFPs, RFQs and RFIs, standing offer agreements, etc.

| 034 | Procurement | ACT | SA | DIS | FOI |
|------------|-------------------------------------|-------------|----------|----------|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | FY+0 | 0 | D | |
| - 02 | Contracts and Agreements | SO+0 | 7 | AR | |
| - 03 | Legal Matters | SO+0 | 7 | D | |
| - 03 | Advertisements | SO+0 | 0 | D | |
| - 04 | Blanket Orders | SO+0 | 0 | D | |
| -05 | Correspondence | SO+0 | 3 | D | |
| - 07 | Price Agreements | SO+0 | 6 | D | |
| -08 | Purchase Orders | FY+0 | 6 | D | |
| - 09 | Quotes | SO+0 | 3 | D | RA |
| - 10 | RFPs/ RFQs/ RFIs | FY+0 | 6 | DP | RA |
| - 11 | Requisitions | SO+0 | 0 | D | |
| - 12 | Suppliers Files | SO+0 | 0 | D | |
| - 13 | Tenders | SO+0 | 6 | D | |
| 036 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited
- 07 Price agreement expired.
- 13 Tender completed and audited.

DP Definitions

- 02 Retain contracts/ agreements with continuing evidential value.
- 03 Retain legal files with continuing legal or evidential value.
- 11 Successful RFPs, etc. transferred to Corporate Library after one year. Unsuccessful bids destroyed after 7 years.

RA Definitions: - 10 and - 11 Unsuccessful quotes, proposals and bids are confidential documents not for distribution.

035

TAXATION

| | | |
|--|--|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
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These records document all taxation transactions and billings and tax management, except those related to property tax sales.

For tax sales relating to property, see 020 Facilities Management.

| 035 | Taxation | ACT | SA | DIS | FOI |
|------------|--|------|----|-----|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | D | |
| - 01 | General | FY+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Contracts and Agreements | SO+0 | 7 | AR | |
| - 04 | Legal Matters | SO+0 | 7 | D | |
| - 05 | Reports and Statistics | SO+0 | 0 | DP | |
| - 06 | Area Rates/ District Rates | SO+0 | 3 | D | |
| - 08 | Area Rate Histories | SO+0 | 0 | AR | |
| - 09 | Assessment Adjustments | FY+0 | 4 | D | PIB |
| - 10 | Assessment Rolls | FY+0 | 2 | D | PIB |
| - 11 | Capital Logs | FY+0 | 10 | D | |
| - 12 | Capital Charge Bills | FY+0 | 7 | D | |
| - 13 | Correspondence | SO+0 | 3 | D | |
| - 14 | Local Improvements/ Frontages | FY+0 | 7 | D | |
| - 15 | Mortgage Companies | FY+0 | 6 | D | |
| - 16 | Mortgage Lists | FY+0 | 5 | D | PIB |
| - 17 | Mortgage Lists (final batch) | FY+0 | 5 | D | PIB |
| - 18 | Overdue Notices | FY+0 | 3 | D | PIB |
| - 19 | Property Tax Rebate | FY+0 | 2 | D | PIB |
| - 20 | Subject Files | FY+0 | 0 | D | |
| 035 | Taxation cont'd on next page | | | | |

| 035 | Taxation | ACT | SA | DIS |
|-----|----------|-----|----|-----|
|-----|----------|-----|----|-----|

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Protection of Privacy
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| | | | | | |
|------------|---|-------------|----------|----------|-----|
| - 21 | Tax Audit Trail | FY+0 | 6 | D | |
| - 22 | Tax Bills (final) | FY+0 | 5 | D | PIB |
| - 23 | Tax bills (manual) | FY+0 | 1 | D | PIB |
| - 24 | Tax Bills (monthly)/ Tax monthly statements | FY+0 | 3 | D | PIB |
| - 25 | Tax Certificates | FY+0 | 5 | D | PIB |
| - 26 | Tax Exemptions (widow, etc. exemption and relief) | FY+0 | 3 | D | PIB |
| - 27 | Tax Receipts | FY+0 | 5 | D | PIB |
| 035 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited.
- 04 Legal case concluded or closed.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain contracts/ agreements with continuing evidential value.
- 04 Retain legal files with continuing legal and evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.

FOI Definitions

- 09 and - 10 The annual provincial assessment roll contains personal information; however it is a public document.
- 14 to - 17 and
- 20 to - 25 Contains information about property owners' payments, exemptions and relief, and mortgages.

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HUMAN RESOURCES Management -- General

These records document employment equity programs, employee histories, labour relations, occupational health and safety programs, position classifications, staffing issues, and training and development programs.

For *payroll, pension and benefits* information, see 041 Payroll, Pension and Benefits.

| 040 | Human Resource Management - General | ACT | SA | DIS | FOI |
|------------|--|------------|-----------|------------|------------|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | FY+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Contracts and Agreements | SO+0 | 7 | AR | |
| - 04 | Legal Matters | SO+0 | 7 | D | |
| - 05 | Reports and Statistics | FY+0 | 0 | DP | |
| -06 | Correspondence | SO+0 | 0 | D | |
| - 07 | Deceased Employees | SO+0 | 60 | DP | PIB |
| - 08 | Directors' / Managers' | SO+0 | 0 | AR | |
| - 09 | Employee Assistance | SO+0 | 5 | D | PIB |
| - 10 | Employee data sheets/ summaries | SO+0 | 60 | D | PIB |
| - 11 | Employment Equity Files | SO+0 | 5 | D | RA |
| - 12 | Grievance and Adjudication Files | SO+0 | 6 | D | PIB |
| - 13 | Job/ Position Descriptions | SO+0 | 3 | D | |
| - 14 | Labour Agreements/ Contracts | SO+0 | 3 | AR | |
| - 15 | Occupational Health and Safety Case Files | SO+0 | 10 | D | PIB |
| - 16 | Part-time Personnel | SO+0 | 6 | D | PIB |
| - 17 | Retirement Program | FY+0 | 6 | D | |
| - 18 | Retired Employees | SO+0 | 60 | DP | PIB |
| 040 | Human Resource Management - General cont'd on next page | | | | |

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RA: Restricted Access

| 040 | Human Resource Management - General | ACT | SA | DIS | FOI |
|------------|--|-------------|-----------|------------|------------|
| - 19 | Separated/ Terminated Employees | SO+0 | 6 | DP | PIB |
| - 20 | Subject Files | FY+0 | 3 | D | |
| - 21 | Surveys | FY+0 | 5 | D | RA |
| - 22 | Training Sessions/ Workshops | FY+0 | 3 | D | |
| - 23 | Union Negotiations files | SO+0 | 6 | D | RA |
| - 24 | Work/Employment Program files | FY+0 | 3 | D | |
| 040 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited.
- 04 Legal case concluded or closed.
- 07, - 09, - 15, -17, - 18 Employee files become superseded when the employee dies, retires, is transferred, leaves or is terminated.
- 11 Grievance adjudicated and settled.
- 14 Accident/ complaint investigation concluded and liability/ risk expired.
- 23 Negotiations completed, new agreement approved, and legal requirements concluded.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain contracts/ agreements with continuing evidential value.
- 04 Retain legal files with continuing legal and evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.
- 07, - 17, - 18 [See also - 09 below.] Retain and microfilm separated/ deceased, retired, etc. employee files after they have been reviewed and all non-essential documents (cards, congratulatory notes, ephemera, etc.) removed.
- 09 Wherever possible, employee files should be summarized. If the summaries contain the complete history of the employee, microfilm the summary record and destroy the employee file.
- 19 Destroy when survey results have been tabulated and survey results reported.

FOI Definitions

- 07, - 08, - 09, - 11, - 14, - 15, - 17, - 18

These files contain personal information about employees.

- 10 Employment Equity files may contain confidential information.
- 20 Employee surveys, and survey results in general, are considered confidential.
- 22 Union negotiation files are confidential and access restrictions apply.

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PAYROLL, PENSIONS and BENEFITS

These records document the paying of employee salaries, wages and overtime; the various deductions from pay including pensions and group assurance; T4s and other Revenue Canada information. This includes timesheets, payroll registers, and pay action reports.

For information relating to the financial management of funds see 032 Banking.

| 041 | Payroll, Pensions and Benefits | ACT | SA | DIS | FOI |
|------------|---|-------|----|-----|-----|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | FY+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Legal Matters | SO+0 | 7 | D | |
| - 04 | Reports and Statistics | SO+0 | 0 | DP | |
| - 05 | Canadian Savings Bonds | FY +0 | 3 | D | PIB |
| - 06 | Directors' / Managers' Files | SO+0 | 0 | AR | |
| - 07 | Group Assurance Reports (Blue Cross, etc.) | FY+0 | 3 | D | PIB |
| - 08 | Pay Programs | SO+0 | 3 | AR | PIB |
| - 09 | Payroll Registers/ Ledgers/ Journals | FY+0 | 6 | D | PIB |
| - 10 | Payroll Files | FY+0 | 6 | D | PIB |
| - 11 | Payroll Reports | FY+0 | 6 | D | PIB |
| - 12 | Pension Plan Case Files | FY+0 | 0 | AR | |
| - 13 | Payroll - Calculations | FY+0 | 3 | D | PIB |
| - 14 | Payroll - Deductions | FY+0 | 3 | D | PIB |
| - 15 | Payroll - Overtime | FY+0 | 6 | D | PIB |
| - 16 | Payroll - Retroactive Pay | FY+0 | 6 | D | PIB |
| - 17 | Pension Actuarial Files | FY+0 | 6 | D | |
| - 18 | Retirement Program Files | SO+0 | 0 | AR | |
| 041 | Payroll, Pensions and Benefits cont'd on next page.... | | | | |

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| 041 | Payroll, Pensions and Benefits (cont'd) | ACT | SA | DIS | FOI |
|------------|---|-------------|----------|----------|-----|
| - 19 | Status Change forms | SO+0 | 6 | DP | PIB |
| - 20 | Salary Files | FY+0 | 3 | D | PIB |
| - 21 | Superannuation Refunds | SO+0 | 6 | D | PIB |
| - 22 | Subject Files | FY+0 | 3 | D | |
| - 23 | Time Sheets | FY+0 | 6 | D | PIB |
| - 24 | T-4 Slips | FY+0 | 6 | D | PIB |
| - 25 | UIC Purge Detail | FY+0 | 6 | D | |
| - 26 | Wage Earnings (general) | FY+0 | 6 | D | PIB |
| - 27 | Wage Earnings (bi-weekly) | FY+0 | 6 | D | PIB |
| - 28 | Wage Loss | FY+0 | 6 | D | PIB |
| - 29 | Workers' Compensation Board Recoveries | FY+0 | 6 | D | PIB |
| 040 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Legal case concluded or closed.
- 08 Pay Program replaced by new program.
- 18 Retirement Program replaced by new program.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain legal files with continuing evidential value.
- 04 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.
- 19 Status change forms for current HRM employees should be transferred to the employee's file. Status change forms for separated employees should be reviewed by Payroll, Pension and Benefits.

FOI Definitions

The majority of Payroll, Pension and Benefits records contain personal information relating to employees' financial status.

#050

33

INFORMATION Management

These records describe records management procedures; systems developed and maintained; includes manuals and

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forms managed; databases and libraries created; LAN/ WAN maintenance; website documentation; and the management of telecommunication networks (phone systems, etc.).

For computer asset inventory see 060 Supplies and Equipment Management.

| 050 | Information Management | ACT | SA | DIS | FOI |
|------------|--|------------|-----------|------------|------------|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | SO+0 | 0 | D | |
| - 02 | Committees | SO+0 | 0 | DP | |
| - 03 | Contracts and Agreements | SO+0 | 7 | AR | |
| - 04 | Legal Matters | SO+0 | 7 | D | |
| - 05 | Reports and Statistics | SO+0 | 0 | DP | |
| - 06 | “Archived” Projects (IS) | SO+0 | 6 | DP | |
| - 07 | Correspondence | SO+0 | 3 | D | |
| - 08 | Directors’/ Manager’s Files | SO+0 | 0 | AR | |
| - 09 | GIS files | SO+0 | 6 | DP | |
| - 10 | Internet/ Website Development Files | SO+0 | 3 | D | |
| - 11 | IS Network Administration Files | SO+0 | 6 | D | |
| - 12 | IS Systems Development Files | SO+0 | 6 | DP | |
| - 13 | IS Requests Files | FY+0 | 3 | D | |
| - 14 | IS Users Files | SO+0 | 6 | D | PIB |
| - 15 | Library Files | SO+0 | 0 | DP | |
| - 16 | Municipal yearbooks | SO+0 | 0 | DP | |
| - 17 | Records Management Files | SO+0 | 0 | AR | |
| 050 | Information Management cont’d on next page..... | | | | |

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| 050 | Information Management | ACT | SA | DIS | FOI |
|------------|---|-------------|-----------|------------|------------|
| - 18 | Software | SO+0 | 0 | D | |
| - 19 | Subject Files | SO+0 | 0 | D | |
| - 20 | HRM-supported Corporate Administrative Systems ¹ | SO+0 | 0 | DP | |
| - 21 | Discontinued Administrative Systems | SO+0 | 0 | DP | |
| 050 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions::

- 03 Contract completed and audited.
- 04 Legal case concluded or closed.
- 10 Development records no longer required by HRM Webmaster.
- 12 System no longer supported or maintained.
- 14 User warranties, licenses, etc. expired.
- 18 Software becomes obsolete or is no longer used by HRM.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain contracts/ agreements with continuing evidential value.
- 04 Retain legal files with continuing evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library.
- 06 Retain those projects which provide evidence of former systems whose data continues to be stored and used.
- 09 Retain GIS files which document the development of the GIS system.
- 15 and -16 Transfer publications to the Corporate Library for appraisal and disposition.
- 20 System data from systems supported by HRM (RICHTER, GIS, HRIS) will be scheduled under the HRM Administrative Records Schedule.
- 21 Data from discontinued systems has either been transferred to HRM's AV COLD system, printed to hard copy, or purged. AV COLD data will be schedules under the HRM Administrative Records Schedule; and reports printed from the various systems will be scheduled as paper records.

FOI Definitions

¹ For a complete list and description of administrative systems, see the histories of the previous municipal units in the Introduction.

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- 14 Users' files would contain personal information, but would not necessarily have any internal access restrictions.

#060

SUPPLIES and EQUIPMENT Management

These records document inventory and maintenance records, surplus and disposal items and vehicle management (fleet).

| 060 | Supplies and Equipment | ACT | SA | DIS | FOI |
|------------|---|------------|-----------|------------|------------|
| - 00 | Policies, Procedures, and Standards | SO+0 | 0 | AR | |
| - 01 | General | FY+0 | 0 | D | |
| - 02 | Committees | SO+0 | 5 | DP | |
| - 03 | Contracts and Agreements | SO+0 | 7 | D | |
| - 04 | Reports and Statistics | SO+0 | 0 | DP | |
| - 05 | Correspondence | SO+0 | 3 | D | |
| - 06 | Computer Asset Control | SO+0 | 3 | D | |
| - 07 | Directors' / Managers' Files | SO+0 | 3 | AR | |
| - 08 | Equipment Ledger | SO+0 | 6 | D | |
| - 09 | Equipment Maintenance and Repair Histories | SO+0 | 6 | D | |
| - 10 | Stores Inventory | SO+0 | 3 | D | |
| - 11 | Stores Stock Items | FY+0 | 2 | D | |
| - 12 | Stores Non-Stock Items | FY+0 | 2 | D | |
| - 13 | Subject Files (suppliers, etc.) | SO+0 | 3 | D | |
| - 14 | Surplus | SO+0 | 3 | D | |
| - 15 | Surplus Disposal/ Sales | SO+0 | 6 | D | |
| 060 | Supplies and Equipment Management cont'd on next page..... | | | | |

| | | |
|--|--|--------------------------------------|
| ACT: Active (used by creating office) | DIS: Disposition | DP: Disposition Plan |
| AR: Archival Retention | FOI: Freedom of Information and Protection of Privacy | SA: Semi-active storage years |
| D: Destruction | PIB: Personal Information Bank | SO: Superseded/Obsolete |
| FY: Fiscal Year | | RA: Restricted Access |

| 060 | Supplies and Equipment (cont'd) | ACT | SA | DIS | FOI |
|------------|--|-------------|-----------|------------|------------|
| - 16 | Vehicle Daily Inspection Records | SO+0 | 0 | D | |
| - 17 | Vehicle Maintenance and Repair Histories | SO+0 | 6 | D | |
| - 18 | Vehicle Registrations and Licenses | SO+0 | 3 | D | |
| 060 | Copies in Other Offices | SO+0 | 0 | D | |

SO Definitions

For most categories, records have become superseded April 1, 1996 as a result of amalgamation. According to the HRM Act Section 43 (2)(d) they may be destroyed 6 years from the date of creation, with the following exceptions:

- 03 Contract completed and audited.
- 06, -08, - 09, - 17, -18 Computers, equipment and/or vehicles no longer owned and managed by HRM (vehicles by have a 2 - 30 year life span, depending upon whether they are a Police vehicle or a Fire vehicle).
- 14 and - 15 Surplus items no longer owned or managed by HRM.

DP Definitions

- 02 Retain the committee minutes/ records which document corporate decisions/ activities. Destroy the committee minutes without any enduring legal, fiscal, or historical value.
- 03 Retain contracts/ agreements with continuing evidential value.
- 05 Retain reports or statistics which summarize information from working and case files and which document corporate activities with enduring legal, fiscal or historical value. Transfer published reports to Corporate Library

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Damaged/Obsolete Media Records

This schedule covers records in any of the categories above which have been damaged by water, mould, vermin etc. and/or which contain information which is no longer legible (paper) or retrievable (obsolete magnetic and digital media). If the recorded information is no longer retrievable, then the document, tape, etc. ceases to be a record by virtue of the fact that the information has been lost. Damaged/Obsolete records may destroyed prior to their normal retention if they are beyond repair or recovery.

| 070 | Damaged Records | ACT | SA | DIS | FOI |
|------------|--|------------|-----------|------------|------------|
| - 01 | Damaged paper-based records | SO+0 | 0 | D | |
| - 02 | Damaged/obsolete magnetic or digital media | SO+0 | 0 | D | |

SO Definitions

- 01 Records sustain damage by water, mould, vermin, etc. which renders the documents unreadable.
- 02 Media is unreadable due to obsolete format, damage sustained by storage conditions, etc.

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RA: Restricted Access

Halifax Regional Municipality Administrative Order Number 31 Respecting Corporate Records and Information Management in Halifax Regional Municipality

Be it resolved, as an Administrative Order of the Council of the Halifax Regional Municipality as follows:

Short Title

1. This Administrative Order may be cited as Administrative Order No. 31, the Corporate Records and Information Management Administrative Order.

Definitions

2. In this Administrative Order, unless the context otherwise requires,

(a)“Record” means a record of information in any form including books, documents, maps, plans, machine readable records, drawings, photographs, letters, vouchers and papers, sound recordings, videotapes, microfilm, electronic files, electronic mail transmissions, databases and spreadsheets, and any other information that is written, photographed, recorded or stored in any manner and that is produced or received by the Municipality.

(b)“archival record” means a record no longer required for current administrative, legal or financial needs, but which has been appraised by the Municipal Archivist as having enduring historical, informational, evidential or research value

(c)“IRM Manager” means Information Resource Management Manager.

(d)“Municipal Archivist” is the staff-person responsible for managing the Halifax Regional Municipality Archives.

Classification System and Retention Schedule

3. Halifax Regional Municipality adopts the Association of Municipal Administrators (AMA) Record Management Manual, Version 3.1, as its approved classification system and records retention schedule for all records created since April 1, 1996 and for all pre-amalgamation

operational and executive records. The AMA Manual will serve as the foundation upon which the Municipality will build its classification system and records retention schedule.

Care and Custody

4. (1) Records in the care and custody of the Business Units are the property of the Municipality.
- (2) Municipal employees are responsible for ensuring that all records in their custody and control are classified in accordance with the approved classification and retention schedule; for ensuring that records not accessed on a regular basis are transferred to the Corporate Records Centre, where they will await their final disposition; and for ensuring compliance with this Administrative Order and any policies, directives or guidelines that may be developed with regards to information resource management.

Destruction of Records

5. (1) Before a record is destroyed, the IRM Manager must obtain authorization from the applicable Business Unit Director, the Municipal Solicitor and the Municipal Archivist.
- (2) Records which have been authorized for disposal, shall be destroyed in a manner that preserves the confidentiality of any information they may contain.
- (3) The IRM Manager shall ensure that all disposition notices and certificates of destruction are preserved.
- (4) A record whose retention period has expired under an approved records retention and disposition schedule and has not been transferred to the municipal archives must be destroyed unless:
 - (i) a request under *Part XX, Freedom of Information and Protection of Privacy, Municipal Government Act* is pending on the record;
 - (ii) the subject matter of the record is pertinent to pending legislation or a pending audit; and/or
 - (iii) the Business Unit Director requests that the record be retained for an additional period with such request clearly stating the reason for the continued retention.

Information Resource Management (IRM) Committee

6. (1) A Committee shall be established consisting of the Municipal Archivist, the Municipal Solicitor or a designate, the IRM Manager, Records Analysts, Director of Finance or a representative, and one representative from each Business Unit.

- (2) The Committee shall:
 - (a) actively promote the information resource management program throughout the organization;
 - (b) build upon the AMA Classification schedules as they relate to each Business Unit;
 - (c) assist in the development and maintenance of a Corporate Records and Information Management Policy Manual including procedures, standards and guidelines.
 - (d) determine appropriate retention and disposition schedules for newly developed or revised classification schedules based on the operational nature of the record, the legal nature of the record including the time necessary to meet statutory or regulatory requirements, fiscal nature of the record including the time required for audit or tax purposes and the historical nature of the record including the long-term value.

Municipal Archives

7.

- (1) Halifax Regional Municipality hereby establishes the Halifax Regional Municipality Archives to identify, acquire, preserve and promote access to municipal government and non-government archival records documenting the history of the Halifax Regional Municipality, all in accordance with the provisions herein.
- (2) The mandate of the Halifax Regional Municipality Archives with respect to acquisition of archival records is:
 - (a) to act as the Halifax Regional Municipality's official repository for inactive records that have been designated archival as described in the Halifax Regional Municipality Records Management Manual;
 - (b) to acquire archival records from private sources that document the history and development of the Halifax Regional Municipality, so long as those records are not within the acquisition mandate of another repository; and
 - (c) to carry out such other functions as may from time to time be determined by Council, the Information Resource Management Committee or the Information Resource Management Manager for the Halifax Regional Municipality.
- (3) For the purposes of sub-section (b), the Municipal Archivist will identify the municipal records and records from private sources to be transferred to the Halifax Regional

Municipality Archives.

- (4) The mandate of the Halifax Regional Municipality Archives with respect to preservation and maintenance of archival records is:
 - (a) to maintain proper environment, facilities and resources for preserving the archival records acquired by the Halifax Regional Municipality Archives for as long as their continuing value to the Halifax Regional Municipality endures;
 - (b) to promote the responsible care and handling of the archival records acquired by the Halifax Regional Municipality Archives; and
 - (c) to carry out the function of preserving and maintaining the archival records acquired by the Halifax Regional Municipality Archives in accordance with such other policies, practices or guidelines as may from time to time be determined by Council, the Information Resource Management Committee or the Information Resource Management Manager for the Halifax Regional Municipality.

- (5) The mandate of the Halifax Regional Municipality Archives with respect to access to archival records is:
 - (a) as a public institution that is open and equally accessible to all researchers, to make archival records acquired by the Halifax Regional Municipality Archives available for research in accordance with sound archival practices, available resources, any legal or ethical obligations or restrictions, and having regard to any limitations arising from the physical integrity of the records;
 - (b) to promote awareness of and appreciation for the heritage of the Halifax Regional Municipality by facilitating access to archival records acquired by the Halifax Regional Municipality Archives; offering outreach activities; and cooperating with other heritage and archival organizations;
 - (c) to provide copying and authorization services to ensure that the commercial and non-commercial use of its archival holdings is carried out in an appropriate manner, within all applicable legal restrictions and to the financial benefit of the Halifax Regional Municipality; and
 - (d) to administer access to archival records in accordance with such other policies, practices or guidelines as may from time to time be determined by Council, the Information Resource Management Committee or the Information Resource

Management Manager for the Halifax Regional Municipality.

Done and passed in Council this 14th day of January, 2003.

Mayor

Municipal Clerk

I, Vi Carmichael, Municipal Clerk of Halifax Regional Municipality, hereby certify that the above-noted Administrative Order was passed at a meeting of Halifax Regional Council held on January 14, 2003.

Vi Carmichael, Municipal Clerk

Amendment # 1

Notice of Motion:

Approval:

April 4, 2006

April 11, 2006