



CORPORATE POLICY

Sub Topic: Records Retention Policy Policy No.: CORP. 1-06
 Topic: Corporate Records Employees Covered: All Employees
 Management
 Section: Legislative Services Council Adoption Date: September 24, 2012
 Effective Date: September 24, 2012 Revision No: Date:

Policy Statement & Strategic Plan Linkages

The management of corporate records is crucial to the retention and preservation of corporate knowledge and information assets. Decisions made affecting the management of records can impact on business processes and efficiencies, and shape corporate knowledge and memory. Municipalities are required to retain and preserve records in a secure and accessible manner under the Municipal Act 2001, as amended. *The Municipal Freedom of Information and Protection of Privacy Act* (MFIPPA) provides rights of access to information and protects the privacy of individuals.

This Policy relates to the key area of focus: “Well-Equipped and Managed” of the Strategic Plan. The maintenance of records in a responsible and transparent manner links directly to the Core Values of Accountability and Accessibility.

Purpose

In order to provide greater accountability to the public and Town staff, this policy establishes principles and procedures for managing both paper and electronic records according to relevant legislation. A systematic and unified system for managing records will support effective decision-making and protect the Town’s legal rights and obligations.

Definitions – Refer to Appendix A for definitions on the following list of words.

Archival	File	Records Coordinator
Auditor	Inactive	Responsible Department
Classification	Medium/media	Retention Period
Clerk	Officer	Retention Schedule
Code	Official Records Orphan Data	Signing Authority
Corporate Records Committee	Permanent	Superseded
Destroy	Personal Information Bank	Town
Disposition	(PIB)	Transitory Records
Expungement	Records	Vital Record

Procedures

No Official Record shall be destroyed unless first classified according to the records Classification Scheme and Retention Schedule.

No Official Record shall be destroyed unless the retention period has expired or the record is a copy of the original record.

All Records shall be destroyed in a manner that preserves the confidentiality of any personal or confidential information contained in such records.

No Official Record shall be destroyed without appropriate authorization.

Any Records pertaining to pending or actual litigation, an investigation or a request under privacy legislation shall not be destroyed until such Records are no longer required for this purpose.

Records Ownership

- a) All Records created or maintained by Town staff in the course of carrying out Town business, regardless of format, are the property of the Corporation of the Town of Newmarket and are subject to this policy.
- b) Employees leaving their positions with the Town shall leave all Records for their successors. This applies to temporary and permanent departures, including transfers within the organization.

Classification Scheme and Retention Schedule

- a) All Official Records shall be organized according to the records classification scheme which consists of scopes notes describing the records series and the Retention Schedule outlining the length of time to keep each Record series. This has been combined into a single document called the **Classification Scheme and Retention Schedule (Appendix F)**.
- b) The Records Coordinator shall administer the approved records retention schedule and shall ensure that the retention periods comply with all relevant legal requirements for records retention;
- c) The Records Coordinator shall administer the classification scheme and scope notes and shall ensure that they accurately reflect the operational practices of the Town.

Duties and Responsibilities

The Responsible Department shall maintain custody and control of their records for the length of time outlined on the Retention Schedule.

All “officers” and employees of the Town who create, work with, or manage records shall:

- a) Comply with the retention periods as specified;
- b) Ensure that Official Records in their custody or control are protected from inadvertent destruction or damage; and;
- c) Ensure that Transitory Records in their custody or control are destroyed when they are no longer needed for short-term reference; and;
- d) Ensure that all records identified as Personal Information Banks are maintained and disposed of in a secure manner; and;
- e) Ensure that all records identified as Vital Records are maintained according to the Vital Records and Disaster Recovery Policy.
- f) Ensure that all records ready for destruction are destroyed in compliance with this policy and the accompanying procedures.
- g) The Records Coordinator shall establish procedures, guidelines and best practices for records storage, filing and retrieval; and shall assist staff in understanding and implementing these.

Retention of Records past Scheduled Disposition Date

Any Records identified by staff as having reached their retention period yet are determined to be required for continued operational use shall be described and listed. The Department Head or signing authority shall notify the Records Coordinator and Clerk in writing describing the reasons why further retention is necessary.

Cross References

Municipal Freedom of Information and Protection of Privacy Act, R.S.O., 1990, C. M.56
 Municipal Act 2001. S.O. 2001 c25 as am S.O. 2006 c.32, Sched. A
 Federal Income Tax Act
 Excise Tax
 Employment Insurance Act
 Personal Information Protection and Electronic Documents Act S.C. 2000, c.5
 Internet & e-Mail Acceptable Use Policy IT.1-01
 Vital Records and Disaster Recovery Policy (TBD)
 Routine Disclosure and Active Dissemination Policy (TBD)

Appendices (which may be amended from time to time)

Appendix A - Definitions
 Appendix B - Procedures for Destruction of Records
 Appendix C - Guidelines for Appraisal of Archival Records
 Appendix D - Part 1 - Procedures for Transfer to Corporate Records Storage
 Appendix D - Part 2 - Transfer of Records Authorization Form
 Appendix E - Records Management Guidelines and Best Practices for Members of Council
 Appendix F - Classification Scheme and Retention Schedule