

## POLICY

<b>Title: RECORDS MANAGEMENT POLICY</b>		<b>Number: 0156</b>
<b>Reference:</b> Administrative Committee November 13, 2014	<b>Adopted by City Council:</b> November 17, 2014	<b>Supersedes:</b>
<b>Prepared by: CITY CLERK/RECORDS MANAGER</b>		

### STATEMENT:

The purpose of this policy is to ensure that the corporate lifecycle of Documents and Records is managed efficiently and effectively by establishing a standard information framework based on the International Standard for Organization:

*15489:2001 (ISO) Information and Documentation – Records  
Management – Part I – General and Part II Guidelines*

These standards are guidelines for formalizing capture and protection, use and preservation of Documents and Records in all formats, as evidence of the City of Medicine Hat (City) functions, activities and business transactions. Documents and Records that are in the custody and control of the City are valuable assets that require management to ensure they serve current operational purposes, promote superior public service, ensure accountability and transparency, secure confidential Documents and Records, and protect legal and historical activities.

### ROLE OF COUNCIL

To receive, review and adopt this policy and any recommended amendments thereto.

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## 1. DEFINITIONS

- 1.01 **Archival Records.** An Archival Record is a Record that has been reviewed for permanent retention because of its historical, fiscal, legal (including evidential), operational or administrative value.
- 1.02 **Classification and Retention Schedule.** This schedule describes the Records under the custody and control of the City of Medicine Hat, specifies how long and where the Records must be kept as they progress through the phases of their life cycle, the format in which the Records must be stored and what their final Disposition will be at the end of their life cycle (destruction or archival preservation).
- 1.03 **Disposition.** "Disposition" refers to actions taken with regard to City Records that have reached the end of their life cycle. This could be destruction, permanent retention or archival preservation.
- 1.04 **Document.** A Document is any information, however recorded, and regardless of its form or characteristics. Documents include, but are not limited to: correspondence, memoranda, books, maps, plans, photographs, drawings, diagrams, audio-visual recordings, pictorial or graphic works, microforms, email, etc. which can be in paper and electronic format.
- 1.05 **Document Security Measures.** Document Security Measures are standards that must be implemented to ensure that Records are created, acquired, updated, handled, used, transmitted, transported, filed, stored and destroyed in a manner appropriate to their sensitivity.
- 1.06 **Electronic Document Management System (EDMS).** EDMS is a software system for organizing and storing different kinds of digital Documents.
- 1.07 **Electronic Signatures.** An Electronic Signature consists of one or more letters, characters, numbers or other symbols in digital form incorporated in, attached to or associated with an electronic Document. This does not create a different legal meaning of "signature" in the electronic world but it allows for Electronic Signatures to have the same status as written ones.
- 1.08 **Enterprise Content Management (ECM).** ECM is defined as the strategies, methods and tools used to capture, manage, store, preserve, and deliver content and Documents related to organizational processes. ECM covers the management of information within the entire scope of an enterprise whether that information is in the form of a paper Document, an electronic file, a database print stream, or an email.
- 1.09 **Freedom of Information and Protection of Privacy, R.S.A. 2000, c. F-25, as amended (FOIPP).** Alberta legislation, which provides the public with a right of access to Records held by the City of Medicine Hat as a public body and protects the privacy of personal and sensitive information.

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- 1.10 **Naming Conventions.** Naming conventions for Documents and Records are a set of standard rules and formats to assist in their subsequent retrieval and handling.
- 1.11 **Personal Information Bank.** A Personal Information Bank (PIB) is a directory list of the types of personal information held by the City as a public body.
- 1.12 **Record.** A Record is any information that is evidence of an activity, however recorded, and regardless of its form or characteristics. Records include, but are not limited to: correspondence, memoranda, books, maps, plans, photographs, drawings, diagrams, audio-visual recordings, pictorial or graphic works, microforms, email, etc. which can be in paper and/or electronic format.
- 1.13 **Records Disposition Program.** The Records Disposition Program details the procedures required to effectively ensure that each Record meets its proper Disposition.
- 1.14 **Records Management.** Is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and Disposition of Records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of Records.
- 1.15 **Transitory Documents.** Transitory Documents are Documents that have temporary usefulness and are only required for the completion of a routine action, or the preparation of another Document or Record.
- 1.16 **Vital Records Program.** A Vital Records Program identifies and protects Records containing vital information necessary for an organization to continue its key functions and activities in case of an emergency/disaster.
- 1.17 **Vital Records Inventory.** A Vital Records Inventory is a master list which identifies the Records that have been designated as vital. It includes other identifying information such as where the Records are located and who is responsible for them.

## 2. OBJECTIVES

- 2.01 **Objectives for the Records Management Policy.** Records Management applies systematic controls and standards to the creation, security, use, retention, conversion, Disposition and preservation of recorded information. A standardized Records Management policy should allow allocation of sufficient resources to:
  - (a) Manage the information life cycle to meet all legislated requirements for Record keeping, including those of the ***Municipal Government Act, R.S.A. 2000, c. M-26, as amended (“MGA”)*** and FOIPP;
  - (b) Manage information holdings, making them readily available for decision making and to meet information access requests, including those made under FOIPP;



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- (c) Protect the integrity and authenticity of Records so that they may be relied upon as evidence of organizational activity and administrative decisions and thereby meet legal, evidential and accountability requirements;
  - (d) Ensure that Records are protected and are not destroyed or removed from the custody and control of the City unless authorized by the Records Management Policy, the Records Management Manual (RMM) or applicable legislation.
  - (e) Ensure the identification and preservation of permanently valuable Records and the destruction of Records that have surpassed their retention period, in a timely, secure and environmentally sound manner;
  - (f) Promote organizational efficiency and economy through sound Record keeping practices, including reducing storage costs through the use of appropriate storage areas and technology, and;
  - (g) Establish and define accountability, responsibility and roles to enable the efficient lifecycle management of City Records.
- 2.02 **Scope.** All City of Medicine Hat departments must comply with this policy with the exception of the following areas which are out of scope:
- (a) Medicine Hat Police Service
  - (b) Medicine Hat Public Library
  - (c) The Esplanade Archives (except for internal administrative functions)
  - (d) Jostle.

### 3. PRINCIPLES FOR RECORDS MANAGEMENT

- 3.01 **Classification and Retention Schedule.** Recorded information should be retained as long as needed for administrative, legal, fiscal, research, or business purposes. The City will adopt a Classification and Retention Schedule (herein referred to as CMH-CRS), that will be incorporated into the Records Management Manual (RMM) as approved by the City's Administrative Committee.

All City of Medicine Hat employees are required to manage Documents and Records in any media in accordance with the CMH-CRS. This includes the timely and proper identification and classification of corporate Records that are active, permanent, Transitory, Archival, and Vital Records, ensuring the storage of those Records in appropriate systems, including paper and electronic systems.

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- 3.02 **Records Disposition Program.** Records Disposition is a critical element of Records Management and determines the final destination of Records once they meet their required retention periods. The City's Records Disposition Program is to be in accordance with the City's CMH-CRS and is to provide information on how Records are to be disposed of. The RMM will provide the procedures for the Disposition of all Records and Documents for the City. This will include details of the destruction or transfer of Records and the necessary processes to follow.
- 3.03 **Vital Records Program.** The Vital Records Program is developed in order to identify and protect Records containing vital information necessary for the City to continue its key functions and activities in case of an emergency/disaster. This program is essential to resume or to continue the operations of the City after a disaster, emergency, or loss of information. Vital Records are those Records necessary to recreate the City's legal and financial position. The City will create a Vital Records Inventory and a master list of all Vital Records to ensure such Records are managed to minimize exposure to risks.
- 3.04 **Records Management Manual (RMM).** The City will manage its Documents and Records holdings by adopting this policy and observing procedures within the RMM. The RMM will be updated as required in conjunction with current legislation. The RMM is the formal framework for Records Management for the City and contains procedures on:

City of Medicine Hat Classification and Retention Schedule (CMH-CRS)  
Records Disposition Program  
Vital Records Program  
Scanning and Imaging Procedures and Standards  
Compliance and Audit Plan  
Naming Conventions for Documents  
Legal Holds for Records  
Archival and Historical Records Procedure  
Storage and Retrieval of Non Electronic Records Procedure  
EDMS System Administration Policy and Security

More procedures may be added when necessary.

## 4. RESPONSIBILITIES

- 4.01 **Executive Team.** The Chief Administrative Officer (CAO), Municipal Services, Chief Operating Officer (COO), Energy Services, Commissioners, General Managers, and the City Clerk or delegates, must manage and track Records throughout their entire lifecycle regardless of the medium in which they are held and ensure that the content of the Records can be trusted as accurate representation of the organization's processes and activities.

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- 4.02 **Administrative Committee.** The Administrative Committee shall be responsible for approving the RMM and its updates as required.
- 4.03 **City Clerk.** The City Clerk provides overall direction and leadership in the Records Management Policy and RMM. This includes the development, implementation and monitoring of all program components which define Records Management requirements for the City:
- (a) The City Clerk shall provide leadership for Records Management with respect to policy, FOIPP considerations, standards and strategic planning and best practices.
  - (b) The City Clerk may delegate Records Management functions to the Records Manager.
  - (c) The City Clerk will make recommendations to the Administrative Committee and Council regarding policy and procedural requirements and Records retention and Disposal schedules, as required.
  - (d) To ensure compliance, the City Clerk or delegates may conduct audits at any time to assess compliance with the Records Management policy and procedures.
- 4.04 **Records Manager.** The Records Manager will provide specific development, implementation and procedures for Records Management for the City, including, but not limited to:
- (a) Provide specific policy development, FOIPP procedures, Records standards, practices and training for City employees.
  - (b) Provide recommendations to the City Clerk regarding policy and the Classification and Retention Schedule changes.
  - (c) Provide recommendations on new any federal, provincial and municipal legislation and regulations that may impact on City of Medicine Hat Records Management Program.
  - (d) The design, implementation and maintenance of Document and Records systems, regardless of media and their operations.
  - (e) System administration of the EDMS system.
  - (f) Training users on Document and Records Management and Records systems operations as they affect the individual.
  - (g) Conducts audits, as delegated, in departments to ensure compliance with legislation, policy and procedures for Records Management for the City.
  - (h) Identify and recommend the tools, facilities and staff necessary for service delivery.

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- (i) Create and maintain a structure for procedure manuals and supporting documentation, including but not limited to:
- (j) Advising and providing for training of City staff in Records and information processes and systems;
- (k) Prioritizing and monitoring Records Management staff work planning activities during implementation and ongoing support for system;
- (l) Maintaining the Personal Information Bank and Vital Records Inventory and other databases of information as required;
- (m) Reviewing as required the RMM to determine if best practices are current and recommend appropriate change management strategies;
- (n) Providing security for the EDMS system and ensuring the City conforms to current technological and physical Records standards to ensure protection of Vital Records and that there is no unauthorized access or disclosure.
- (o) Defining and monitoring a procedure for Electronic Signatures in the EDMS System to ensure conformity with the *Electronic Transactions Act*, S.A. 2001, c. E-5.5.
- (p) Developing processes whereby City Records are transferred where necessary to the Esplanade Archives department to ensure long-term preservation of those Records with historical value.
- (q) Collaborate with departments to ensure paper-based Records in office locations are stored and managed appropriately.

#### 4.05 Information Computer Services (ICS)

- (a) The Information and Computer Services (ICS) Department will provide the infrastructure necessary to ensure departments can classify, maintain, access, and dispose of electronic Records according to the Records Management Policy.
- (b) The ICS Department shall provide technical support for the installation and/or maintenance of Records, Document management software and related programs to ensure compliance and access within the City's networked systems.
- (c) The General Manager of ICS and the City Clerk must have a preservation strategy for long-term and Archival Records.
- (d) The ICS Department will ensure it is appropriately resourced to provide technical and administrative support to the Records Manager.

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#### 4.06 **General Managers and Managers**

- (a) General Managers and Managers are responsible for Documents and Records Management for each department on a day to day basis. They will provide leadership and guidance on Records and information management to their department and conduct regular reviews to ensure compliance with the Records Management Policy:
  - (1) Review retention schedules relating to Records in the department's control to ensure the schedules meet the department's operational requirements;
  - (2) Maintain and authorize the use of and access to Records storage areas for inactive Records;
  - (3) Ensure staff are trained in the creation, use, access, Disposition and management of Records;
  - (4) When a function is being transferred to another department, or when the department ceases to carry out a function and the function is not transferred to another department, contact the Records Manager for recommendations on handling the Documents and Records;
  - (5) Monitor and report to the City Clerk occurrences of damage, theft, misuse, privacy complaints or unauthorized Disposition of Records.

#### 4.07 **Department Coordinators.** Each department within the City will have a representative (designated by the General Manager) who will act as the departmental resource person. The General Manager will designate such employee resource(s) to:

- (a) Administer and support the Records Management Policy for that department which includes:
  - (1) The preparation and submission of any new Record series and changes to the approved Classification and Retention Schedules (CMH-CRS) to the Records Manager.
  - (2) Managing the Disposition of Records and Documents, according to the approved CMH-CRS and this policy.
  - (3) Comply with Records Management Policy and applicable legislation for all Records which the department retains as the original.
  - (4) Be responsible for the implementation and maintenance of procedures and standards established under this Policy within the department.
  - (5) Act as Records Management liaison and representative for the department.
  - (6) Participate in all necessary training for the performance of this role.

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- (7) Coordinate space and filing equipment needs for active non-electronic Records.

#### 4.08 **Employees**

- (a) Each and every individual in the employment of the City will be responsible for the maintenance and filing of all Documents which they create.
- (b) Employees must not remove Records in the custody and control of the City from City premises unless such removal is required to conduct City business.
- (c) Documents will be classified as a Record in the software system utilizing processes and securities which are assigned to each user. It is the responsibility of the employee (in conjunction with their manager) to notify the Records Management group for security and rights adjustments.
- (d) Employees will not alter or delete cabinets within the electronic management system without first requesting the change to the Records Manager.

## **5. PROCEDURES**

- 5.01 The procedures for this policy are contained within the Records Management Manual (RMM). The RMM will be updated as required in conjunction with current legislation.

# **CITY OF MEDICINE HAT**

## **RECORDS MANAGEMENT MANUAL**

**November 5<sup>th</sup>, 2014**

## **RECORDS MANAGEMENT INDEX**

<b>Type</b>	<b>Title</b>
Bylaw	Records Management Bylaw
Policy	Records Management Policy

### **Records Management Manual**

<b>Schedule</b>	<b>Title</b>
Schedule A	City of Medicine Hat Classification and Retention Schedule (CMH-CRS)
Schedule B	Records Disposition Program
Schedule C	Vital Records Program
Schedule D	Scanning and Imaging Procedures and Standards
Schedule E	Compliance and Audit Plan
Schedule F	Naming Conventions Standards
Schedule G	Legal Hold Procedure
Schedule H	Email Records Standards and Procedures
Schedule I	Archival and Historical Records
Schedule J	Storage and Retrieval of Non-Electronic Records



## **BYLAW NO. 4239**

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**A BYLAW OF THE CITY OF MEDICINE HAT** to provide for the management, retention and disposition of municipal records and documents.

**WHEREAS** pursuant to section 214(2) of the Municipal Government Act, R.S.A. 2000, c. M-26, as amended, a council may pass a bylaw respecting the destruction of records and documents of the municipality.

**AND WHEREAS** section 38 of the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c.F-25, as amended, requires the head of a public body to protect personal information by making reasonable security arrangements against such risks as unauthorized access, collection, use, disclosure or destruction.

**AND WHEREAS** all records in the custody and control of the employees of the City of Medicine Hat, members of Council, and committees of Council which are created or received in the context of their functional responsibilities, are the property of the City of Medicine Hat.

**NOW THEREFORE THE MUNICIPAL CORPORATION OF THE CITY OF MEDICINE HAT, IN COUNCIL ASSEMBLED, ENACTS AS FOLLOWS:**

**1. TITLE**

This Bylaw may be cited as the "Records Management Bylaw".

**2. DEFINITIONS**

- (a) **City** means the municipal corporation of Medicine Hat.
- (b) **Disposition** means the destruction, permanent retention or transfer for archival preservation of a City Record once it has reached the end of its life cycle.
- (c) **Personal Information** means personal information as that term is defined in the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c. F-25, as amended or replaced.
- (d) **Record** means any information, however recorded, regardless of its form or characteristics. Records include, but are not limited to: correspondence, memoranda, books, maps, plans, photographs, drawings, diagrams, pictorial or graphic works, microforms, email, messages, etc. which can be in paper and/or electronic format.

**3. RECORDS RETENTION AND DESTRUCTION POLICY**

- (a) The City Clerk is hereby authorized to:
  - (i) Develop a Records Management Policy to provide for the systematic control of the creation, use, maintenance, storage, security, retrieval, and disposition of records created or received

by the City in the conduct of its operations, and present the policy to Council for approval.

(ii) Create a Records Management Manual (RMM) that provides procedures for:

(1) the management of documents and records of the City, including the creation of a classification and retention schedule that identifies the retention period during which documents and records must be retained before Disposition; and

(2) the destruction of documents and records of the City;

and present it to Administrative Committee for approval.

(b) All Records in the custody of the City are the property of the City and must be managed in accordance with the Records Management Policy and RMM.

#### **4. PERSONAL INFORMATION**

If the City uses an individual's Personal Information to make a decision that directly affects the individual, the City must retain the Personal Information in accordance with the classification and retention schedule, which in any event, will not be less than one year.

#### **5. COMING INTO FORCE**

This Bylaw shall come into force at the beginning of the day that it is passed.

**READ A FIRST TIME** in open Council on November 3, 2014.

**READ A SECOND TIME** in open Council on November 3, 2014.

**READ A THIRD TIME** in open Council on November 3, 2014.

**SIGNED AND PASSED** on November 4, 2014.

## POLICY

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<b>Reference:</b> Administrative Committee November 13 <sup>th</sup> , 2014	<b>Adopted by City Council:</b>  November 17 <sup>th</sup> , 2014	<b>Supersedes:</b>
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### STATEMENT:

The purpose of this policy is to ensure that the corporate lifecycle of Documents and Records is managed efficiently and effectively by establishing a standard information framework based on the International Standard for Organization:

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These standards are guidelines for formalizing capture and protection, use and preservation of Documents and Records in all formats, as evidence of the City of Medicine Hat (City) functions, activities and business transactions. Documents and Records that are in the custody and control of the City are valuable assets that require management to ensure they serve current operational purposes, promote superior public service, ensure accountability and transparency, secure confidential Documents and Records, and protect legal and historical activities.

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## 2. OBJECTIVES

- 2.01 **Objectives for the Records Management Policy.** Records Management applies systematic controls and standards to the creation, security, use, retention, conversion, Disposition and preservation of recorded information. A standardized Records Management policy should allow allocation of sufficient resources to:
  - (a) Manage the information life cycle to meet all legislated requirements for Record keeping, including those of the ***Municipal Government Act, R.S.A. 2000, c. M-26, as amended (“MGA”)*** and FOIPP;
  - (b) Manage information holdings, making them readily available for decision making and to meet information access requests, including those made under FOIPP;

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- (c) Protect the integrity and authenticity of Records so that they may be relied upon as evidence of organizational activity and administrative decisions and thereby meet legal, evidential and accountability requirements;
  - (d) Ensure that Records are protected and are not destroyed or removed from the custody and control of the City unless authorized by the Records Management Policy, the Records Management Manual (RMM) or applicable legislation.
  - (e) Ensure the identification and preservation of permanently valuable Records and the destruction of Records that have surpassed their retention period, in a timely, secure and environmentally sound manner;
  - (f) Promote organizational efficiency and economy through sound Record keeping practices, including reducing storage costs through the use of appropriate storage areas and technology, and;
  - (g) Establish and define accountability, responsibility and roles to enable the efficient lifecycle management of City Records.
- 2.02 **Scope.** All City of Medicine Hat departments must comply with this policy with the exception of the following areas which are out of scope:
- (a) Medicine Hat Police Service
  - (b) Medicine Hat Public Library
  - (c) The Esplanade Archives (except for internal administrative functions)
  - (d) Jostle.

### 3. PRINCIPLES FOR RECORDS MANAGEMENT

- 3.01 **Classification and Retention Schedule.** Recorded information should be retained as long as needed for administrative, legal, fiscal, research, or business purposes. The City will adopt a Classification and Retention Schedule (herein referred to as CMH-CRS), that will be incorporated into the Records Management Manual (RMM) as approved by the City's Administrative Committee.

All City of Medicine Hat employees are required to manage Documents and Records in any media in accordance with the CMH-CRS. This includes the timely and proper identification and classification of corporate Records that are active, permanent, Transitory, Archival, and Vital Records, ensuring the storage of those Records in appropriate systems, including paper and electronic systems.

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- 3.02 **Records Disposition Program.** Records Disposition is a critical element of Records Management and determines the final destination of Records once they meet their required retention periods. The City's Records Disposition Program is to be in accordance with the City's CMH-CRS and is to provide information on how Records are to be disposed of. The RMM will provide the procedures for the Disposition of all Records and Documents for the City. This will include details of the destruction or transfer of Records and the necessary processes to follow.
- 3.03 **Vital Records Program.** The Vital Records Program is developed in order to identify and protect Records containing vital information necessary for the City to continue its key functions and activities in case of an emergency/disaster. This program is essential to resume or to continue the operations of the City after a disaster, emergency, or loss of information. Vital Records are those Records necessary to recreate the City's legal and financial position. The City will create a Vital Records Inventory and a master list of all Vital Records to ensure such Records are managed to minimize exposure to risks.
- 3.04 **Records Management Manual (RMM).** The City will manage its Documents and Records holdings by adopting this policy and observing procedures within the RMM. The RMM will be updated as required in conjunction with current legislation. The RMM is the formal framework for Records Management for the City and contains procedures on:

City of Medicine Hat Classification and Retention Schedule (CMH-CRS)  
Records Disposition Program  
Vital Records Program  
Scanning and Imaging Procedures and Standards  
Compliance and Audit Plan  
Naming Conventions for Documents  
Legal Holds for Records  
Archival and Historical Records Procedure  
Storage and Retrieval of Non Electronic Records Procedure  
EDMS System Administration Policy and Security

More procedures may be added when necessary.

## 4. RESPONSIBILITIES

- 5.01 **Executive Team.** The Chief Administrative Officer (CAO), Municipal Services, Chief Operating Officer (COO), Energy Services, Commissioners, General Managers, and the City Clerk or delegates, must manage and track Records throughout their entire lifecycle regardless of the medium in which they are held and ensure that the content of the Records can be trusted as accurate representation of the organization's processes and activities.



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- 5.02 **Administrative Committee.** The Administrative Committee shall be responsible for approving the RMM and its updates as required.
- 5.03 **City Clerk.** The City Clerk provides overall direction and leadership in the Records Management Policy and RMM. This includes the development, implementation and monitoring of all program components which define Records Management requirements for the City:
- (a) The City Clerk shall provide leadership for Records Management with respect to policy, FOIPP considerations, standards and strategic planning and best practices.
  - (b) The City Clerk may delegate Records Management functions to the Records Manager.
  - (c) The City Clerk will make recommendations to the Administrative Committee and Council regarding policy and procedural requirements and Records retention and Disposal schedules, as required.
  - (d) To ensure compliance, the City Clerk or delegates may conduct audits at any time to assess compliance with the Records Management policy and procedures.
- 5.04 **Records Manager.** The Records Manager will provide specific development, implementation and procedures for Records Management for the City, including, but not limited to:
- (a) Provide specific policy development, FOIPP procedures, Records standards, practices and training for City employees.
  - (b) Provide recommendations to the City Clerk regarding policy and the Classification and Retention Schedule changes.
  - (c) Provide recommendations on new any federal, provincial and municipal legislation and regulations that may impact on City of Medicine Hat Records Management Program.
  - (d) The design, implementation and maintenance of Document and Records systems, regardless of media and their operations.
  - (e) System administration of the EDMS system.
  - (f) Training users on Document and Records Management and Records systems operations as they affect the individual.
  - (g) Conducts audits, as delegated, in departments to ensure compliance with legislation, policy and procedures for Records Management for the City.
  - (h) Identify and recommend the tools, facilities and staff necessary for service delivery.

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- (i) Create and maintain a structure for procedure manuals and supporting documentation, including but not limited to:
- (j) Advising and providing for training of City staff in Records and information processes and systems;
- (k) Prioritizing and monitoring Records Management staff work planning activities during implementation and ongoing support for system;
- (l) Maintaining the Personal Information Bank and Vital Records Inventory and other databases of information as required;
- (m) Reviewing as required the RMM to determine if best practices are current and recommend appropriate change management strategies;
- (n) Providing security for the EDMS system and ensuring the City conforms to current technological and physical Records standards to ensure protection of Vital Records and that there is no unauthorized access or disclosure.
- (o) Defining and monitoring a procedure for Electronic Signatures in the EDMS System to ensure conformity with the *Electronic Transactions Act*, S.A. 2001, c. E-5.5.
- (p) Developing processes whereby City Records are transferred where necessary to the Esplanade Archives department to ensure long-term preservation of those Records with historical value.
- (q) Collaborate with departments to ensure paper-based Records in office locations are stored and managed appropriately.

#### 4.05 Information Computer Services (ICS)

- (a) The Information and Computer Services (ICS) Department will provide the infrastructure necessary to ensure departments can classify, maintain, access, and dispose of electronic Records according to the Records Management Policy.
- (b) The ICS Department shall provide technical support for the installation and/or maintenance of Records, Document management software and related programs to ensure compliance and access within the City's networked systems.
- (c) The General Manager of ICS and the City Clerk must have a preservation strategy for long-term and Archival Records.
- (d) The ICS Department will ensure it is appropriately resourced to provide technical and administrative support to the Records Manager.

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#### 4.06 **General Managers and Managers**

- (a) General Managers and Managers are responsible for Documents and Records Management for each department on a day to day basis. They will provide leadership and guidance on Records and information management to their department and conduct regular reviews to ensure compliance with the Records Management Policy:
  - (1) Review retention schedules relating to Records in the department's control to ensure the schedules meet the department's operational requirements;
  - (2) Maintain and authorize the use of and access to Records storage areas for inactive Records;
  - (3) Ensure staff are trained in the creation, use, access, Disposition and management of Records;
  - (4) When a function is being transferred to another department, or when the department ceases to carry out a function and the function is not transferred to another department, contact the Records Manager for recommendations on handling the Documents and Records;
  - (5) Monitor and report to the City Clerk occurrences of damage, theft, misuse, privacy complaints or unauthorized Disposition of Records.

#### 4.07 **Department Coordinators.** Each department within the City will have a representative (designated by the General Manager) who will act as the departmental resource person. The General Manager will designate such employee resource(s) to:

- (a) Administer and support the Records Management Policy for that department which includes:
  - (1) The preparation and submission of any new Record series and changes to the approved Classification and Retention Schedules (CMH-CRS) to the Records Manager.
  - (2) Managing the Disposition of Records and Documents, according to the approved CMH-CRS and this policy.
  - (3) Comply with Records Management Policy and applicable legislation for all Records which the department retains as the original.
  - (4) Be responsible for the implementation and maintenance of procedures and standards established under this Policy within the department.
  - (5) Act as Records Management liaison and representative for the department.
  - (6) Participate in all necessary training for the performance of this role.

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- (7) Coordinate space and filing equipment needs for active non-electronic Records.

#### **4.08 Employees**

- (a) Each and every individual in the employment of the City will be responsible for the maintenance and filing of all Documents which they create.
- (b) Employees must not remove Records in the custody and control of the City from City premises unless such removal is required to conduct City business.
- (c) Documents will be classified as a Record in the software system utilizing processes and securities which are assigned to each user. It is the responsibility of the employee (in conjunction with their manager) to notify the Records Management group for security and rights adjustments.
- (d) Employees will not alter or delete cabinets within the electronic management system without first requesting the change to the Records Manager.

## **5. PROCEDURES**

- 5.01 The procedures for this policy are contained within the Records Management Manual (RMM). The RMM will be updated as required in conjunction with current legislation.

<b>Records Management Manual</b>  <b>City of Medicine Hat Classification and Retention Schedule</b>		City Policy Number  <b>MH 0156</b>
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**References**

**Appendix 1: CMH Classification and Retention Schedule**

**Appendix 2: Retention Schedule Change Form**

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## INTRODUCTION

**1.01 The Alberta Municipal Records Management Schedule.** The City of Medicine Hat has adopted The Alberta Municipal Records Management Schedule (TAMRMS) developed by TAB Canada, as the official City of Medicine Hat Classification and Retention Schedule, herein known as CMH-CRS (See Appendix 1). This schedule describes the length of time municipal records are to be kept until their disposition.

**1.02 Records Classification and Retention System.** Records classification systems promote the effective use of information by providing a consistent standard for the description and management of corporate records, improving control and accessibility. The official procedures outlined in the retention program specify the instructions and methodologies necessary to:

- Categorize records
- Define their value against established criteria
- Assign a period of time during which the information is maintained
- Determine final disposition through destruction, transfer or permanent retention

Records must be retained and filed in official records systems, and managed in accordance with corporate policies, standards and best practices. All documents and records in the custody and control of city departments are the property of the Corporation of the City of Medicine Hat.

**1.03 Records Management Bylaw.** The Records Management Bylaw adopted by the City Council authorizes the disposition of corporate records according to the approved CMH-CRS.

## CMH-CRS STRUCTURE – HYBRID CLASSIFICATION

**2.01 Introduction.** The CMH-CRS is a hybrid classification and retention schedule that reflects both functional and departmental requirements. In governmental organizations, it is difficult to create a pure functional schedule because of the diversity of departmental records and the myriad of record and document practices already entrenched. The Records Management team has analyzed and consulted with department representatives and decided on a functional classification and retention schedule in a department-based Electronic Document Management System (EDMS) system. The retention code applied to the document types in the City of Medicine Hat's EDMS will relate to the functional based retention schedule CMH-CRS. For example, the retention code for Advertising is M01 (Media) in the schedule but the documents reside in both a City Clerk cabinet and a Parks and Recreation cabinet as well.

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**2.02 Retention Periods.** In accordance with approved schedules, final disposition action must take place in a timely manner at the end of the inactive retention period, which is one of the most fundamental reasons for the retention schedule to be developed for the City of Medicine Hat.

The procedures for the disposition of records can be found in [Schedule B](#) of the Records Management Manual (RMM). This schedule sets out the retention periods for both paper and electronic record formats for the City of Medicine Hat. For retention purposes, there is no distinction between paper or electronic when complying with the retention periods. Therefore, when this schedule indicates a retention period, it applies to all copies and duplicates of the record, unless there is legislation and/or business value attached to the particular record. When applying retention, all formats must be disposed of together.

**2.03 Informational Content vs. Records Format.** The schedule does not normally specify the physical format of the records. Rather it indicates the period for which the information contained in the records needs to be maintained. Records should be organized and retained according to their subject matter and not the format they are stored in.

**2.04 Disposal of Entire “File” vs. Individual Components.** The basis of the City’s records classification scheme is that all like documents in a calendar year or for a specific case or project are maintained together under the appropriate classification category within each work unit. They are usually held in one or more physical file folders. Generally the retention periods contained in the schedule refer to the entire body of documents maintained as a file. Unless file components have been specifically listed with different retention periods, or records have been selected to be maintained for archival purposes, files and documents are not to be weeded for separate disposal.

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**2.05 Schedule Format.** Schedule entries are identified by the secondary categories (records series) from the City's classification scheme. Each has a file plan reference number (class code), business activity and scope note, responsible work group, total retention and retention codes.

Retention Schedule	Description
<b>Class Code</b>	Schedule code assigned to the record series.
<b>Business Activity/Scope Note</b>	Title of record series and a description of the types of records in the category.
<b>Responsible Business Unit</b>	Business unit must retain the record in accordance with the specified retention period assigned to them for that particular record series.
<b>Total Retention</b>	The period of time the records are to be retained by the corporation, in years unless indicated differently.
<b>Retention Codes</b>	Codes describe retention events.

Legal Schedules	Description
<b>CMH Applied Citation Table</b>	Provided by TAB Canada. Lists all relevant legislation applied to the CMH Classification and Retention Schedule.
<b>CMH Master Citation Table</b>	Provided by TAB Canada. Lists all relevant legislation for the retention schedule.

**2.06 Retention and Classification Codes.** The following codes are used in the schedule to indicate retention information:

<b>AR</b>	<b>Archival Retention</b>	Indicates that some of the records may have enduring value and are to be reviewed by Archives staff prior to disposal. Those records subsequently identified as being of enduring value are to be preserved in the City Archives once the retention period has ended. Records will be selected on the basis of recognized archival practices such as weeding (all files kept but some contents destroyed), sampling (only some files kept based on specified criteria, the others destroyed), or a combination of the two.
<b>C</b>	<b>Current Year</b>	C+2 = Current year plus 2 calendar years.
<b>D</b>	<b>Destroy</b>	Indicates that the record should be destroyed according to the retention schedule and destruction procedures in Records Management Policy.
<b>E</b>	<b>Event Required before calculating retention</b>	Refers to records for which a specific retention period cannot be predetermined as they must be kept until after an event has occurred such as termination of a defined activity, event or function.
<b>P</b>	<b>Permanent</b>	Records permanently retained by the corporation whether by legislation or business value.



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<b>PIB</b>	<b>Personal Information Bank</b>	Documents within these record series contain personal information.
<b>UOS</b>	<b>Until Superseded or Obsolete</b>	Refers to records for which a specific retention period cannot be predetermined. "Superseded" is used for records or items that have been updated and replaced by a new version. "Obsolete" means that the record or item is no longer required. Under UOS, the authority to decide when the records are ready for disposal is delegated to the General Manager.
<b>V</b>	<b>Vital Record</b>	Indicates that this record series is deemed to be vital to the organization and <b>must</b> be protected from business interruption. These records are required to continue operating and must never be lost or destroyed.

**2.07 Omissions and Changes to the Schedule.** Although the retention schedule is based on the most accurate information available, some records may not be included. Where specific authority is not provided in this schedule, records cannot legally be disposed. They must be retained until the schedule is amended. In addition, retention periods prescribed in this schedule may only be altered due to changes in legislation or functional requirements. Once such changes become known, no disposal may take place until the appropriate amendments are made to the schedule. Changes to the Classification and Retention Schedule must be submitted to the Records Management department using the form at Appendix 2 to this Schedule.

**2.08 Retention of Personal Information.** If an individual's personal information is used by the City of Medicine Hat to make a decision that directly affects the individual, it must retain the personal information for at least one year after using it so that the individual has a reasonable opportunity to obtain access to it.

## TRANSITORY DOCUMENTS

**3.01 Introduction.** After a final record has been produced and incorporated into the regular electronic or paper filing system, the working materials involved may become superseded or obsolete. Transitory records may be destroyed immediately, unless otherwise legislated or specified in the CMH-CRS. Transitory documents are documents that can be destroyed by any employee.

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**Important Exception** - Transitory documents that are the subject of ongoing legal proceedings or a request under the Freedom of Information and Protection of Privacy Act must not be destroyed until after the legal proceeding (see litigation hold below) or request has been completed and all time for appeal has expired.

**3.02 Types of Transitory Documents.** The following records are common to most divisions and are normally required for a very limited period of time. Unless otherwise specified in the schedule, or unless required for legal or legislated purposes, these records may be destroyed when their value ceases as determined by the individual work unit. These documents are not to be put into the City of Medicine Hat's EDMS:

- **Blank Forms.** Note that blank forms are not records. Completed forms are the official record and should be captured in the EDMS system. The blank document is considered a transitory document.
- **Additional Duplicate Copies.** Additional copies of records Includes the following:
  - Those created from the office file copy for ease of reference or for distribution at meetings, training sessions, etc., as well as extra copies received with the office file copy.
  - Extra copies of database print outs.
  - Multiple copies of project or committee materials such as minutes, reports, agendas, etc. as sent to various committee members and staff.
  - Duplicate copies of documents retained only for distribution or convenience (e.g. multiple copies of reports or memos).

Unless these are draft versions that must be kept for version control purposes, these can be deleted and should not be put into the EDMS system.
- **Telephone Messages.** Includes personal telephone messages and simple telephone messages recorded on post-it notes, message pads, log books, voice mail, etc. which do not record official business decisions, or have future business, financial, operational, administrative, legal, vital, or archival value.
  - If customer calls are important to keep, then they are records and not transitory documents and should fall under the retention schedule parameters.
- **Working Papers.** Rough notes, work preparation materials and instructions, calculations, preliminary drafts, rough research notes and similar materials used in the preparation of correspondence, statistical tables, reports or other records. Preliminary drafts of letters, memoranda, reports, etc. which do not form significant stages in the preparation of a final document and do not record official business decisions, or have future business, financial, operational, administrative, legal, vital, or archival value.

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- **Miscellaneous notices or memoranda.** Emails and memos for all staff, messages on upcoming special events, or memos on minor administrative details should be regularly purged.
- **External Publications.** Administrative manuals, directories, catalogues, newsletters, pamphlets and periodicals produced by organizations external to the municipality should be disposed of on a regular basis.

## **LITIGATION HOLD**

**4.01 Definition.** A Litigation Hold is an advisory notice that a lawsuit has been filed or is expected to be filed against the City that requires the collection and preservation of certain documents as part of an evidentiary process called legal discovery.

**4.02 Litigation Hold Process.** The process to be followed in the event of a Litigation Hold can be found at Schedule G of the RMM.



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## **CITY OF MEDICINE HAT CLASSIFICATION & RETENTION SCHEDULE - CMH-CRS**

**A - Administration**  
**B - Bylaws, Boards & Councils**  
**C - Community Services**  
**D - Development & Planning**  
**E - Environmental Services**  
**EL - Electric Utility**  
**F - Finance & Accounting**  
**G - Gas Utility**  
**H - Human Resources**  
**HS - Health and Safety**  
**IM - Information Management**  
**L -Legal**  
**M - Media & Public Relations**  
**P - Protection & Enforcement Services**  
**T - Transportation Services**  
**V- Vehicles & Equipment**

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## CITY OF MEDICINE HAT CLASSIFICATION & RETENTION SCHEDULE - CMH-CRS

Version 2014 1.0

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A01	<a href="#">Administrative Bookings</a>
A02	<a href="#">Associations, Organizations &amp; Societies Participation</a>
A03	<a href="#">Building Construction &amp; Renovation Management</a>
A04	<a href="#">Buildings &amp; Property Maintenance</a>
A05	<a href="#">Municipal Programs</a>
A06	<a href="#">Conferences &amp; Seminars Coordination</a>
A07	<a href="#">Facility Operation - General</a>
A08	<a href="#">Office Equip &amp; Furniture</a>
A09	<a href="#">Organizational Structure</a>
A10	<a href="#">Policies, Procedures &amp; Guidelines Development</a>
A11	<a href="#">Facility Operation Management</a>
A12	<a href="#">Delegation of Authority</a>
A13	<a href="#">Security Access &amp; Control - Buildings</a>
A14	<a href="#">Staff Committees &amp; Meetings Administration</a>
A15	<a href="#">Staff Functions Coordination</a>
A16	<a href="#">Project Management - Initiation, Approval Planning</a>
A17	<a href="#">Vendors &amp; Suppliers Management</a>
A18	<a href="#">Census</a>
A19	<a href="#">Petitions</a>

### B - Bylaws, Boards & Councils

B00	<a href="#">Bylaws, Boards &amp; Councils General</a>
B01	<a href="#">Articles of Incorporation</a>
B02	<a href="#">Boards, Commissions &amp; Agencies Administration</a>
B03	<a href="#">Bylaw Development</a>
B04	<a href="#">Bylaw Monitoring - Other Municipalities</a>
B05	<a href="#">Council Member Administration</a>
B06	<a href="#">Council Minutes</a>
B07	<a href="#">Council Motions &amp; Resolutions</a>
B08	<a href="#">Council Reports</a>
B09	<a href="#">Council Subcommittee Management</a>
B10	<a href="#">Elections Coordination</a>
B11	<a href="#">Strategic Planning</a>

## CITY OF MEDICINE HAT CLASSIFICATION & RETENTION SCHEDULE - CMH-CRS

### C - Community Services

<b>C00</b>	<a href="#">Community Services General</a>
<b>C01</b>	<a href="#">Cemeteries Management</a>
<b>C02</b>	<a href="#">Cultural Programs</a>
<b>C03</b>	<a href="#">Heritage Preservation</a>
<b>C04</b>	<a href="#">Local Agencies</a>
<b>C05</b>	<a href="#">Parks &amp; Boulevard Management</a>
<b>C06</b>	<a href="#">Recreational Facilities</a>
<b>C07</b>	<a href="#">Recreational Programming</a>
<b>C08</b>	<a href="#">Recreation Facilities - Plans Drawings</a>
<b>C09</b>	<a href="#">Clients - Community Worker</a>
<b>C10</b>	<a href="#">Community Associations</a>
<b>C11</b>	<a href="#">Program Registration</a>

### D - Development & Planning

<b>D00</b>	<a href="#">Development &amp; Planning General</a>
<b>D01</b>	<a href="#">Annexation / Amalgamation</a>
<b>D02</b>	<a href="#">Demographics</a>
<b>D03</b>	<a href="#">Development Permits</a>
<b>D04</b>	<a href="#">Easements</a>
<b>D05</b>	<a href="#">Encroachments</a>
<b>D06</b>	<a href="#">Environmental Planning</a>
<b>D07</b>	<a href="#">Economic Development</a>
<b>D08</b>	<a href="#">Local Improvements</a>
<b>D09</b>	<a href="#">Municipal Addresses</a>
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<b>D13</b>	<a href="#">Zoning</a>
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## TION & RETENTION SCHEDULE - CMH-CRS

### **E - Environmental Services**

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<b>E01</b>	<a href="#">Capital Projects - Construction</a>
<b>E02</b>	<a href="#">Garbage Collections</a>
<b>E03</b>	<a href="#">Recycling</a>
<b>E04</b>	<a href="#">Sanitary Sewers - Maintenance</a>
<b>E05</b>	<a href="#">Sewer Treatment Facility</a>
<b>E06</b>	<a href="#">Utility Service Connections</a>
<b>E07</b>	<a href="#">Storm Sewers</a>
<b>E08</b>	<a href="#">Trees</a>
<b>E09</b>	<a href="#">Water Maintenance</a>
<b>E10</b>	<a href="#">Water Treatment</a>
<b>E11</b>	<a href="#">Water Treatment Facility</a>
<b>E12</b>	<a href="#">Reclamation &amp; Remediation</a>
<b>E13</b>	<a href="#">Engineering Drawings</a>
<b>E14</b>	<a href="#">Chemical Applications</a>
<b>E15</b>	<a href="#">Environmental Sites</a>
<b>E16</b>	<a href="#">Hazardous Materials Management</a>

### **EL - Electric Utility**

<b>EL00</b>	<a href="#">Electric Utility - General</a>
<b>EL01</b>	<a href="#">Rate Schedules</a>
<b>EL02</b>	<a href="#">Transmission - General</a>
<b>EL03</b>	<a href="#">Transmission - Specifications, Design &amp; Commissioning</a>
<b>EL04</b>	<a href="#">Transmission - Construction &amp; Maintenance</a>
<b>EL05</b>	<a href="#">Electrical Transmission</a>
<b>EL06</b>	<a href="#">Natural Gas Transmission</a>
<b>EL07</b>	<a href="#">Energy Consumption Allocation</a>
<b>EL08</b>	<a href="#">Distribution - General</a>
<b>EL09</b>	<a href="#">Distribution - Specifications, Design &amp; Commissioning</a>
<b>EL10</b>	<a href="#">Distribution - Construction &amp; Maintenance</a>
<b>EL11</b>	<a href="#">Electrical Infrastructure</a>
<b>EL12</b>	<a href="#">Metering - General</a>
<b>EL13</b>	<a href="#">Revenue Metering &amp; Metering Management</a>
<b>EL14</b>	<a href="#">Municipal Meter Management</a>
<b>EL15</b>	<a href="#">Permits with Signoffs</a>
<b>EL16</b>	<a href="#">Renewable Energy - General</a>
<b>EL17</b>	<a href="#">Regulatory License &amp; Permits</a>
<b>EL18</b>	<a href="#">Communications Systems - General</a>
<b>EL19</b>	<a href="#">Networks &amp; Fibre Optics</a>
<b>EL20</b>	<a href="#">Internet Infrastructure &amp; Wiring Installation</a>
<b>EL21</b>	<a href="#">Radio Systems</a>
<b>EL22</b>	<a href="#">Electric Generation - General</a>
<b>EL23</b>	<a href="#">Plant Optimization</a>
<b>EL24</b>	<a href="#">Performance, Maintenance, Availability, Analysis</a>
<b>EL25</b>	<a href="#">Plant Outage Planning &amp; Schedules</a>
<b>EL26</b>	<a href="#">Maintenance Schedules</a>
<b>EL27</b>	<a href="#">Surveys, Reports &amp; Charts - Operations</a>
<b>EL28</b>	<a href="#">Performance Reporting - Construction Operations &amp; Mtce</a>



## TION & RETENTION SCHEDULE - CMH-CRS

### F - Finance & Accounting

F00	<a href="#">Finance &amp; Accounting General</a>
F01	<a href="#">Accounts Payment</a>
F02	<a href="#">Accounts Receiving</a>
F03	<a href="#">Acreage Assessments</a>
F04	<a href="#">Auditing</a>
F05	<a href="#">Bad Debts</a>
F06	<a href="#">Banking</a>
F07	<a href="#">Budgeting</a>
F08	<a href="#">Donations</a>
F09	<a href="#">Financial Statements</a>
F10	<a href="#">General Ledgers &amp; Journals Control</a>
F11	<a href="#">Grants / Subsidies</a>
F12	<a href="#">Investments</a>
F13	<a href="#">Long Term Borrowing</a>
F14	<a href="#">Payroll Processing</a>
F15	<a href="#">Purchase Orders &amp; Requisitions</a>
F16	<a href="#">Quotations &amp; Tenders</a>
F17	<a href="#">Reserves</a>
F18	<a href="#">Security Deposits</a>
F19	<a href="#">Subsidiary Ledgers, Registers &amp; Journals</a>
F20	<a href="#">Tax Assessments</a>
F21	<a href="#">Tax Payments</a>
F22	<a href="#">Tax Rolls</a>
F23	<a href="#">Trust Funds</a>
F24	<a href="#">Working Papers</a>
F25	<a href="#">Signing Authority</a>

### G - Gas Utility

G00	<a href="#">Gas Utility - General</a>
G01	<a href="#">Rate Schedules &amp; Change Documents</a>
G02	<a href="#">Gas Facility Operations Reports - Plant Services</a>
G03	<a href="#">Gas Facility Operations Reports - Annual - Plant Services</a>
G04	<a href="#">Plans and Construction Reports</a>
G05	<a href="#">Odorization Records</a>
G06	<a href="#">Gas Leak Investigation Reports</a>
G07	<a href="#">Gas Facility Performance Reporting -Operations &amp; Maintenance</a>
G08	<a href="#">Meter History</a>
G09	<a href="#">Well Files</a>
G10	<a href="#">Area Files &amp; Area Crossing Files</a>
G11	<a href="#">Asset Files</a>
G12	<a href="#">Surface Lease Files</a>
G13	<a href="#">Closing Books</a>
G14	<a href="#">Mineral Lease Files</a>
G15	<a href="#">Unit and Royalty Agreements</a>
G16	<a href="#">Appeals of Mineral Taxes and Oil &amp; Gas Royalties &amp; Taxes</a>
G17	<a href="#">Mineral Tax &amp; Oil &amp; Gas Handbooks/Information Letters</a>
G18	<a href="#">Mineral Land Tax Files and Data</a>
G19	<a href="#">Oil &amp; Gas Ledgers for Production</a>
G20	<a href="#">Oil &amp; Gas Royalty/Tax Reporting/Assessment/Validation &amp; Audit</a>
G21	<a href="#">Oil &amp; Gas Commission Levy Records</a>
G22	<a href="#">Mineral Tax Returns, Audits, and Forecasts</a>
G23	<a href="#">Gas Produced and Sent</a>

## TION & RETENTION SCHEDULE - CMH-CRS

### **H - Human Resources**

<b>H00</b>	<a href="#">Human Resources - General</a>
<b>H01</b>	<a href="#">Attendance Control &amp; Tracking</a>
<b>H02</b>	<a href="#">Benefits Programming</a>
<b>H03</b>	<a href="#">Contract Employee Administration</a>
<b>H04</b>	<a href="#">Employee Files (File of Record)</a>
<b>H05</b>	<a href="#">Employee Files - Medical</a>
<b>H06</b>	<a href="#">Job Descriptions/Classification/Evaluation (Positions)</a>
<b>H07</b>	<a href="#">Human Resource Planning</a>
<b>H08</b>	<a href="#">Recruiting</a>
<b>H09</b>	<a href="#">Training &amp; Development - Internal</a>
<b>H10</b>	<a href="#">Training &amp; Development - External</a>
<b>H11</b>	<a href="#">Volunteer Fire Staff Records</a>
<b>H12</b>	<a href="#">Volunteers</a>
<b>H13</b>	<a href="#">Employee Pension</a>
<b>H14</b>	<a href="#">Employee Benefits</a>
<b>H15</b>	<a href="#">Employee Benefits - Death Benefit Claims</a>
<b>H16</b>	<a href="#">Compensation Planning</a>
<b>H17</b>	<a href="#">Pension Administration</a>
<b>H18</b>	<a href="#">Equal Opportunity Investigations</a>
<b>H19</b>	<a href="#">Equal Opportunity Programs</a>
<b>H20</b>	<a href="#">Labour Relations, Unions - General</a>
<b>H21</b>	<a href="#">Grievance Case Management</a>
<b>H22</b>	<a href="#">Arbitration Case Management</a>
<b>H23</b>	<a href="#">Grievance &amp; Arbitration History</a>
<b>H24</b>	<a href="#">Personnel (Secondary)</a>

### **HS - Health and Safety**

<b>HS00</b>	<a href="#">Health and Safety General</a>
<b>HS01</b>	<a href="#">Public Health</a>
<b>HS02</b>	<a href="#">Incident / Accident Reports</a>
<b>HS03</b>	<a href="#">Safety Programming</a>
<b>HS04</b>	<a href="#">Occupational Health</a>
<b>HS05</b>	<a href="#">Workers' Compensation Coordination</a>

## TION & RETENTION SCHEDULE - CMH-CRS

### **IM - Information Management**

<b>IM00</b>	<a href="#">Information &amp; Systems Management - General</a>
<b>IM01</b>	<a href="#">Computer &amp; Information Systems Management</a>
<b>IM02</b>	<a href="#">Computer Systems Operations - General</a>
<b>IM03</b>	<a href="#">Computer System Reports</a>
<b>IM04</b>	<a href="#">Documentation &amp; Database Administration</a>
<b>IM05</b>	<a href="#">Hardware &amp; Software</a>
<b>IM06</b>	<a href="#">Disaster Recovery</a>
<b>IM07</b>	<a href="#">Equipment Service Requests</a>
<b>IM08</b>	<a href="#">Computer Systems - Email Management</a>
<b>IM09</b>	<a href="#">Web Administration</a>
<b>IM10</b>	<a href="#">Network Diagrams &amp; Internet Infrastructure</a>
<b>IM11</b>	<a href="#">Service Desk</a>
<b>IM12</b>	<a href="#">Forms Management</a>
<b>IM13</b>	<a href="#">Security Access &amp; Control - Systems</a>
<b>IM14</b>	<a href="#">Telecommunications Controls</a>
<b>IM15</b>	<a href="#">Records Disposition</a>
<b>IM16</b>	<a href="#">Records Management</a>
<b>IM17</b>	<a href="#">Freedom of Information &amp; Protection of Privacy</a>

### **L -Legal**

<b>L00</b>	<a href="#">Legal - General</a>
<b>L01</b>	<a href="#">Appeals &amp; Hearings</a>
<b>L02</b>	<a href="#">Precedents</a>
<b>L03</b>	<a href="#">Contracts &amp; Agreements</a>
<b>L04</b>	<a href="#">Government - Federal</a>
<b>L05</b>	<a href="#">Government - Provincial</a>
<b>L06</b>	<a href="#">Insurance Appraisals</a>
<b>L07</b>	<a href="#">Insurance Policies</a>
<b>L08</b>	<a href="#">Intergovernmental Affairs</a>
<b>L09</b>	<a href="#">Land Acquisition &amp; Sales</a>
<b>L10</b>	<a href="#">Legal Opinions</a>
<b>L11</b>	<a href="#">Leases</a>
<b>L12</b>	<a href="#">Litigation</a>
<b>L13</b>	<a href="#">Operating Permits</a>
<b>L14</b>	<a href="#">Client Files (Case)</a>
<b>L15</b>	<a href="#">Mergers &amp; Acquisitions</a>
<b>L16</b>	<a href="#">Insurance Claims</a>
<b>L17</b>	<a href="#">Stock Registers, Certificates &amp; Shareholders General</a>
<b>L18</b>	<a href="#">Shareholder Meetings</a>

## TION & RETENTION SCHEDULE - CMH-CRS

### **M - Media & Public Relations**

<b>M00</b>	<a href="#">Media &amp; Public Relations - General</a>
<b>M01</b>	<a href="#">Advertising</a>
<b>M02</b>	<a href="#">Ceremonies &amp; Events</a>
<b>M03</b>	<a href="#">Complaints, Commendations &amp; Inquiries</a>
<b>M04</b>	<a href="#">News Releases</a>
<b>M05</b>	<a href="#">Public Polling</a>
<b>M06</b>	<a href="#">Publications</a>
<b>M07</b>	<a href="#">Speeches &amp; Presentations</a>
<b>M08</b>	<a href="#">Insignia</a>
<b>M09</b>	<a href="#">Visits &amp; Tours</a>

### **T - Transportation Services**

<b>T00</b>	<a href="#">Transportation Services - General</a>
<b>T01</b>	<a href="#">Maps</a>
<b>T02</b>	<a href="#">Road Construction</a>
<b>T03</b>	<a href="#">Road Design &amp; Planning</a>
<b>T04</b>	<a href="#">Road Maintenance</a>
<b>T05</b>	<a href="#">Road Closure</a>
<b>T06</b>	<a href="#">Street Signs &amp; Signals</a>
<b>T07</b>	<a href="#">Traffic</a>

### **P - Protection & Enforcement Services**

<b>P00</b>	<a href="#">Protection &amp; Enforcement Services General</a>
<b>P01</b>	<a href="#">Bylaw Enforcement</a>
<b>P02</b>	<a href="#">Emergency Management Planning &amp; Events</a>
<b>P03</b>	<a href="#">Fire &amp; Rescue Call-Outs</a>
<b>P04</b>	<a href="#">Fire Investigators</a>
<b>P05</b>	<a href="#">Fire Prevention</a>
<b>P06</b>	<a href="#">Licenses &amp; Permits - Other</a>
<b>P07</b>	<a href="#">911 General and Dispatch</a>

### **V- Vehicles & Equipment**

<b>V00</b>	<a href="#">Vehicles &amp; Equipment General</a>
<b>V01</b>	<a href="#">Fleet Management</a>
<b>V02</b>	<a href="#">Protective Equipment</a>
<b>V03</b>	<a href="#">Equipment</a>

## CITY OF MEDICINE HAT CLASSIFICATION & RETENTION SCHEDULE - CMH-CRS

### CLASSIFICATION AND RETENTION CODES

<b>AR</b>	<b>Archival Retention</b>	Indicates that some of the records may have enduring value and are to be reviewed by Archives staff prior to disposal. Those records subsequently identified as being of enduring value are to be preserved in the City Archives once the retention period has ended. Records will be selected on the basis of recognized archival practices such as weeding (all files kept but some contents destroyed), sampling (only some files kept based on specified criteria, the others destroyed), or a combination of the two.
<b>C</b>	<b>Current Year</b>	C+2 = Current year plus 2 calendar years.
<b>D</b>	<b>Destroy</b>	Indicates that the record should be destroyed according to the retention schedule and destruction procedures in Records Management Policy,
<b>E</b>	<b>Event Required before calculating retention</b>	Refers to records for which a specific retention period cannot be predetermined as they must be kept until after an event has occurred such as termination of a defined activity, event or function. <b>RETENTION 1.</b> Even though retention research indicated no retention period, the nature of the activity is event driven therefore the recommended Total Retention is E+__ yrs which is based on industry standard. <b>RETENTION 2.</b> Retention research indicated a non specified retention period. The nature of the activity is event driven therefore the recommended Total Retention is E+__ which is based on <i>litigation</i> requirements. E = De-commissioning of project
<b>P</b>	<b>Permanent</b>	Records permanently retained by the corporation whether by legislation or business value.
<b>PIB</b>	<b>Personal Information Bank</b>	Documents within these record series contain personal information. Refer to Schedule D Appendix 2.
<b>UOS</b>	<b>Until Superseded or Obsolete</b>	Refers to records for which a specific retention period cannot be predetermined. "Superseded" is used for records or items that have been updated and replaced by a new version. "Obsolete" means that the record or item is no longer required. Under UOS, the authority to decide when the records are ready for disposal is delegated to the General Manager.
<b>V</b>	<b>Vital Record</b>	Indicates that this record series is deemed to be vital to the organization and <b>must</b> be protected from business interruption. These records are required to continue operating and must never be lost or destroyed.
<b>*</b>	<b>No Legal Citations Applied</b>	Recommended retention based on industry standard.



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**A - ADMINISTRATION:** Includes administrative records required for the operational effectiveness of the Municipality and includes policies and procedures, organization charts, Municipal buildings and their maintenance, etc.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
A00	<b><u>ADMINISTRATION - GENERAL</u></b> Includes: Chronological files, daily planners and day files and any other administrative subjects that cannot be located elsewhere.	Originating	C+1	D
A01	<b><u>ADMINISTRATIVE BOOKINGS</u></b> Includes: Bookings for recreational and administrative facilities, application for use including recreational centres, swimming pools, baseball diamonds and soccer fields. Excludes: Permits - see P10 Facility Contracts - see L03	Community Development	C+1	D PIB
A02	<b><u>ASSOCIATIONS, ORGANIZATIONS &amp; SOCIETIES PARTICIPATION</u></b> Includes: Annual reports, newsletters, bylaws, meeting minutes, agendas, to which staff belong to or with which they communicated in the course of their duties such as Association of Directors of Volunteer Resources (ADVR), Alberta Arts Festival Association (AAFA), Development Offices Association of Alberta, Community Planning Association of Alberta, Federation of Canadian Municipalities etc. Excludes: Council Subcommittees - see B09 Other Government Bodies - see L04/L05/L08	Originating	C+2	D PIB
A03	<b><u>BUILDING CONSTRUCTION &amp; RENOVATION MANAGEMENT</u></b> Includes: Records related to the structure of any building owned or operated by the municipality and includes electrical systems, architectural layouts, blue prints, specifications, including power plant site, as well as any upgrades or additions.  Excludes: Acquisitions - see L09 Building/Property Maintenance - see A04 Engineering Drawings - Environmental See E13	Planning Building & Development	E+5  E=Life of Structure	D V

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**A - ADMINISTRATION:** Includes administrative records required for the operational effectiveness of the Municipality and includes policies and procedures, organization charts, Municipal buildings and their maintenance, etc.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
A04	<b><u>BUILDINGS &amp; PROPERTY MAINTENANCE</u></b> Includes: Records regarding the maintenance of the municipality's buildings and properties such as cemeteries, office buildings, storage sheds and garages. Includes exterior and interior maintenance to buildings, landscaping, grounds keeping, climate surveys, fire extinguisher reports, and office cleaning. May also Excludes: Invoices - see F01 Structural Drawings/Plans - see A03 Tenders - see F16 Maintenance Procedures - see A11 Maintenance of Parks & Boulevards - see C05 Vendor Contracts - see L03 Security - see A15 Recreational Facilities - see C06 Burial Records - C01	Originating	C+7	D
A05	<b><u>CORPORATE MUNICIPAL PROGRAMS</u></b> Includes: Records regarding the development, implementation, and administration of Corporate programs which govern how City business is done, such as establishment and coordination of the program and contact with Business Units. Includes Hat Smart, Records Management programs, etc.	Originating	UOS + 3	D AR
A06	<b><u>CONFERENCES &amp; SEMINARS COORDINATION</u></b> Includes: Invitations, agendas, notes of proceedings, itineraries, hotel brochures, travel arrangements and other records regarding conferences, seminars and functions attended by staff Excludes: Speeches and Presentations - see M07 Staff Expenses - see F01 Municipality Ceremonies - see M02 Invoices - see F01	Originating	C+2	D  PIB



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**A - ADMINISTRATION:** Includes administrative records required for the operational effectiveness of the Municipality and includes policies and procedures, organization charts, Municipal buildings and their maintenance, etc.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>A07</b>	<b><u>FACILITY OPERATION - GENERAL</u></b>  Records regarding the operations of City owned facilities, including parks, pools, rentals, equipment layouts, building layouts, information reports, calibration, test certificates and reports, mechanical, electrical, heating, ventilation and elevator operations, fire systems and energy conservation.	CAM	E + 6  E = Facility no longer in city ownership or no longer exist.	D
<b>A08</b>	<b><u>OFFICE EQUIPMENT &amp; FURNITURE</u></b> Includes: Records regarding the design and maintenance of office equipment and furniture such as desks, chairs, photocopiers, printers, fax machines etc.	Originating	C+1	D
<b>A09</b>	<b><u>ORGANIZATIONAL STRUCTURE</u></b> Includes: All records regarding reporting relationships, reorganization, organizational analysts, charts, graphs, reviews and recommendations.	Originating	UOS	D V
<b>A10</b>	<b><u>POLICIES, PROCEDURES &amp; GUIDELINES</u></b> Includes: All municipal and departmental policies, procedures, guidelines decision items, information items and operating manuals such as hiring policies, safety policies, standard operating policy and procedures etc. Excludes: Bylaws - see B03 Note: Decision Item and Information Items: These are copies. Originals will be included in City Minutes which are kept permanently.	Originating	UOS+10	D
<b>A11</b>	<b><u>FACILITY OPERATION MANAGEMENT</u></b> Records regarding facility history, lifecycle management, inspections, plans and drawings, etc. Records such as inspection reports, deficiency lists, asbestos audit testing, condition analysis, monitoring of maintenance planning, capital plans, forecasting data, building condition reviews, replacement costs, status reports, preventative maintenance monitoring, lighting plans, power and system plans, ceiling plans, plumbing and sprinkler HVAC plans, parking, parkade and demolition plans, etc. Excludes: Facility Operation - General See A07	CAM	P	P

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**A - ADMINISTRATION:** Includes administrative records required for the operational effectiveness of the Municipality and includes policies and procedures, organization charts, Municipal buildings and their maintenance, etc.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>A12</b>	<b><u>DELEGATION OF AUTHORITY</u></b> Includes: Records regarding the delegation or assignment of authority.	Originating	UOS + 5	D
<b>A13</b>	<b><u>SECURITY ACCESS &amp; CONTROL - BUILDINGS AND PROPERTY</u></b> Includes: Key lists, vandalism reports and other records related to the protection of municipal property.	All Departments	UOS+2	D
<b>A14</b>	<b><u>STAFF COMMITTEES &amp; MEETINGS ADMINISTRATION</u></b> Includes: Minutes, reports, notice of meetings and agendas for all staff meetings.  Excludes: Council committees - see B04 Association committees - see A02	Originating	C+5	D
<b>A15</b>	<b><u>STAFF FUNCTIONS COORDINATION</u></b> Includes: Staff appreciation functions as well as volunteer appreciation events.	Originating	C+2	D
<b>A16</b>	<b><u>PROJECT MANAGEMENT - INITIATION APPROVAL AND PLANNING</u></b> Records regarding preliminary documentation of a project including project scope statement, pre-project plans, audits, partner reports, and approvals/authorizations. statement, pre-project plans, audits, partner reports, and approvals/authorizations.licenses. Includes signed project charter, project implementation plans, design plans Includes project background studies, reports, assessments, surveys, permits and work breakdown structure, risk management, quality assurance, budget/cost estimates, resources, activity lists and project schedules. Also procurement communication, training, environmental and safety management.	Originating	P	P

# City of Medicine Hat Classification & Retention Schedule CMH-CRS

**A - ADMINISTRATION:** Includes administrative records required for the operational effectiveness of the Municipality and includes policies and procedures, organization charts, Municipal buildings and their maintenance, etc.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>A17</b>	<b><u>VENDORS &amp; SUPPLIERS MANAGEMENT</u></b> Includes: Approved suppliers, price lists, rate sheets, catalogues, introductory correspondence etc. Excludes: Tenders - see F16 Contracts - see L03 Accounts Payment - see F01 Purchase Orders & Requisitions - see F15	Originating	C+2	D
<b>A18</b>	<b><u>CENSUS - GENERAL</u></b> Includes: Records regarding the census process, such as appointments, special survey questions, meeting schedules, and yearly census taker lists.	City Clerk	C+4	D
	<b><u>CENSUS - CENSUS TAKERS/ENUMERATORS, CENSUS DISTRICTS</u></b> Includes records regarding census takers and enumerators including testing and applications, yearly assessments, identification information, incidents and issues. Records regarding individual census districts including maps, copies of boundary descriptions, special instructions and cumulative results.	City Clerk	UOS +1	D
			UOS = till next census	
	<b><u>CENSUS - STATISTICS, BOOKS AND REPORTS</u></b> Also includes records regarding completed census reports of raw data arranged by year, division, and address. Includes related maps and boundary districts. Includes records regarding statistics on the published results of the census and general statistics related to the census process	City Clerk	P	P V
<b>A19</b>	<b><u>PETITIONS - GENERAL</u></b> Includes: Records regarding the petition process, such as petitioner verification, tally sheets and summaries, original checklists, signature samples of workers, petition page by page summary, individual contact attempt sheets, individual random checked numbers issued, individual verification tally sheets and petitioner call back record.	City Clerk	E+1  E = Petition has been tabulated and verified.	D
	<b><u>PETITIONS - SIGNED</u></b> Includes all Original Signed petitions.	City Clerk	P	P



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**B - BYLAWS, BOARDS & COUNCILS:** Includes records related to the operations of Municipal council and its committees as well as bylaws, minutes and reports to council. Excludes Bylaw enforcement - see P - Protection & Enforcement Services.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>B00</b>	<b><u>BYLAWS, BOARDS &amp; COUNCILS - GENERAL</u></b> Includes: Records related to council that cannot be classified elsewhere.	Originating	C+1	D
<b>B01</b>	<b><u>ARTICLES OF INCORPORATION</u></b> Includes: Official seals of the municipality, logos, articles of incorporation and other official records identifying the authority of the municipality.	City Clerk	P	V
<b>B02</b>	<b><u>BOARDS, COMMISSIONS &amp; AGENCIES ADMINISTRATION</u></b> Includes: Correspondence, minutes, agendas of boards, committees or groups that members of council are involved in as a representative of the municipality.  Excludes: Contracts - see L03	City Clerk	E+10 E=Dissolution of Board and/or Committee	D
<b>B03</b>	<b><u>BYLAW DEVELOPMENT</u></b> Includes: Final versions of bylaws, amendments and attachments of the municipality. Excludes: Bylaw Enforcement - see P03	City Clerk	P	P V
<b>B04</b>	<b><u>BYLAW MONITORING - OTHER MUNICIPALITIES</u></b> Includes: Bylaws and operating processes of other municipalities that are of interest.	Originating	UOS	D
<b>B05</b>	<b><u>COUNCIL MEMBER ADMINISTRATION</u></b> Includes: Oath taken by members, appointment by Council, correspondence with members of the public and any other day to day interaction of individual council members.	City Clerk	E+10 E=No longer elected Council Member  Oaths to be kept until next election.	D
<b>B06</b>	<b><u>COUNCIL MINUTES</u></b> Includes: Council minutes, attachments and council packages	City Clerk	P	V

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**B - BYLAWS, BOARDS & COUNCILS:** Includes records related to the operations of Municipal council and its committees as well as bylaws, minutes and reports to council. Excludes Bylaw enforcement - see P - Protection & Enforcement Services.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>B07</b>	<b><u>COUNCIL MOTIONS &amp; RESOLUTIONS</u></b> Includes: Final versions of motions and resolutions by Council	City Clerk	P	V
<b>B08</b>	<b><u>COUNCIL REPORTS</u></b> Includes: Year end reports, annual reports and executive summaries.	City Clerk	P	P
<b>B09</b>	<b><u>COUNCIL SUBCOMMITTEE MANAGEMENT</u></b> Includes: Minutes, correspondence agendas and reports submitted to the council subcommittees and boards.  Excludes: Staff meetings - see A16	City Clerk	E+10 E=Dissolution of Board and/or Committee  * All reports, minutes, etc of the various Boards, Committees & Commissions are held by the City Clerk.	D
<b>B10</b>	<b><u>ELECTIONS COORDINATION</u></b> Includes: Voters' lists, nominations, election results, information on ward boundaries and all other documentation related to the administrative needs of conducting an election. Excludes: Advertising - see M01 Boundary maps - see T01	City Clerk	E+3  E=Election of new council	D
<b>B11</b>	<b><u>STRATEGIC PLANNING</u></b> Includes: Strategic planning, goals objectives, mission statements for the municipality and the individual departments of the municipality.  Excludes: Environmental Planning - see D06	Chief Administrative Office & Chief Operating Office (Energy)	UOS+5  The current and the superseded plan should be retained until a new plan has been created.	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**C - COMMUNITY SERVICES:** Includes records related to the provision of recreational and cultural programs, historical heritage records as well as the maintenance of parkland, boulevards and cemeteries.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
C00	<b><u>COMMUNITY SERVICES - GENERAL</u></b> Includes: Records regarding community and recreational services provided by the municipality to the public which cannot be classified elsewhere.	Originating	C+1	D
C01	<b><u>CEMETERIES MANAGEMENT</u></b> Includes: Burial permits, cemetery register, burial plots, burial permits and ownership records. Excludes: Complaints - see M03 Maintenance - see A04 Perpetual Trusts - see F23	Parks and Recreation	P	PIB V
C02	<b><u>CULTURAL PROGRAMS</u></b> Includes: Membership lists, course evaluations, course descriptions, supply lists, program receipts, waiting lists, course background for cultural programs provided by the municipality. Excludes: Recreational Programs - see C07	Cultural Development	C+7	PIB D
C03	<b><u>HERITAGE PRESERVATION</u></b> Includes: Photographs, artifacts, inventories and other records related to the history of the municipality and surrounding region. Excludes: Fund Sources - see L04/L05	City Clerk	P	AR
C04	<b><u>LOCAL AGENCIES</u></b> Includes: Needs assessments, contact lists, volunteer lists and other liaison activities with non profit organizations such as the Elks, the Rotary club, etc.  Excludes: Government Agencies - see L04/L05	Originating	C+2	PIB D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**C - COMMUNITY SERVICES:** Includes records related to the provision of recreational and cultural programs, historical heritage records as well as the maintenance of parkland, boulevards and cemeteries.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
C05	<b><u>PARKS &amp; BOULEVARD MANAGEMENT</u></b> Includes: Correspondence, descriptions, reports and other records such as pesticide applications, rodent control, maintenance schedules, cycle paths, acreage inventory, layouts, irrigation maintenance, landscaping, design and maintenance of municipal parks and boulevards. Excludes: Vandalism reports - see A15 Complaints - see M03 Equipment - see V03	Parks	C+7	D
C06	<b><u>RECREATIONAL FACILITIES</u></b> Includes: Correspondence, descriptions, reports and other records dealing with the maintenance of recreational facilities such as swimming pools and ice rinks and includes floor plans, drawings etc. See C08 - Drawings and plans.	Parks and Recreation	C+7	D
C07	<b><u>RECREATIONAL PROGRAMING</u></b> Includes: Class lists, course evaluations, course descriptions, supply lists, program receipts, waiting lists, marketing data, sponsorship information, planning documents, budgets, course background for recreational programs provided by the city. Excludes: Instructor's contract - see L03 Cultural Programs - see C02	Originating	C+7	D
C08	<b><u>RECREATIONAL FACILITIES - PLANS AND DRAWINGS</u></b> Includes floor plans, drawings, etc.	Parks and Recreation	p	P V
C09	<b><u>CLIENTS - COMMUNITY WORKER</u></b> Includes: Records regarding direct services provided to clients by community workers in the schools, such as financial issues, contact information, case notes, assessments, intervention records and results information	Community Development	C + 9	PIB D



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>C10</b>	<b><u>COMMUNITY ASSOCIATIONS</u></b> Records regarding community associations operating within the City such as financial statements and audits, budgets, petitions, meeting plans, resolutions related correspondence, service evaluations, impact data, inquiries, surveys, maps and minutes.	Originating	C+14	AR D
<b>C11</b>	<b><u>PROGRAM REGISTRATION</u></b> Includes: Records regarding the registration of members of the public in City programs such as registration forms, waivers, release forms, program statistics, tax receipts, payment and card holder data, customer data, etc.	Originating	C+11	D PIB



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**D - DEVELOPMENT & PLANNING:** Includes records related to the planning and development of the Municipality such as subdivision plans, municipal addresses, annexations, amalgamations, as well as easements and encroachments.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
D00	<b><u>DEVELOPMENT &amp; PLANNING - GENERAL</u></b> Includes: Records related to the planning and development of the municipality and surrounding area which cannot be classified elsewhere.	Originating	C+1	D
D01	<b><u>ANNEXATION/AMALGAMATION</u></b> Includes: Records pertaining to the annexing and amalgamating of land adjacent to municipal lands to accommodate growth. Excludes: Land Purchases/Sale - see L09	Planning	P	V
D02	<b><u>DEMOGRAPHICS</u></b> Includes: Reports, statistics, projections and records related to population growth as well as economic and tourist development. Excludes: Advertising - see M01 Publications - see M06 Traffic Studies - see T07	Business Support	UOS+10	D
D03	<b><u>DEVELOPMENT PERMITS</u></b> Includes: Development permits issued by the Municipal government.  Excludes: Building Permits See P01	Planning Building & Development	P	P
D04	<b><u>EASEMENTS</u></b> Includes: All records regarding City Rights of Way and Easements over private lands in order to maintain public services such as water and sewer lines that cross private property. Excludes: Easement Bylaw - see B03 Easement Agreements - see L03	Originating	E+15  E=No longer have an interest in the land	D
D05	<b><u>ENCROACHMENTS</u></b> Includes: Records regarding properties encroaching on municipal lands such as permits, surveys and other related documentation. Excludes: Encroachment Bylaw - see B03 Encroachment Agreements - see L03	Planning Building & Development	P	P

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**D - DEVELOPMENT & PLANNING:** Includes records related to the planning and development of the Municipality such as subdivision plans, municipal addresses, annexations, amalgamations, as well as easements and encroachments.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
D06	<b><u>ENVIRONMENTAL PLANNING</u></b> Includes: General types of environmental studies with a long range planning emphasis such as flood control, open space planning and storm drainage.	Originating	P	P V
D07	<b><u>ECONOMIC DEVELOPMENT</u></b> Includes: Records related to the promotion and development of industry and commerce in the municipality including inquiries, business profiles, etc.	Business Support	C+2	D
D08	<b><u>LOCAL IMPROVEMENTS</u></b> Includes: Records studies, statistics and any required background information on local improvement programs. Excludes: Property Assessments - see F20 Acreage Assessments - see F03	Planning Building & Development	E+7 E= Completion of project.	D
D09	<b><u>MUNICIPAL ADDRESSES</u></b> Includes: Correspondence, reports, drawings regarding the assignment of new subdivisions and other street names and numbers.	Planning Building & Development	P	P V
D10	<b><u>MUNICIPAL PLANS</u></b> Includes: Official MDP plan and amendments to the official plan. Excludes: Bylaws - see B03	Planning Building & Development	P	P V
D11	<b><u>SUBDIVISIONS</u></b> Includes: Records regarding the approval of plans of commercial and residential subdivisions such as drawings, technical reports, written comments, working notes, "red line" revisions, changes to approved plans, construction completion certificates (CCC), final acceptance certificates (FAC) photographs, status reports and background information  Excludes: Development Agreement - see L03	Planning building & Development	P	P V

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**D - DEVELOPMENT & PLANNING:** Includes records related to the planning and development of the Municipality such as subdivision plans, municipal addresses, annexations, amalgamations, as well as easements and encroachments.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
D12	<b><u>VARIANCES</u></b> Includes: Records regarding the granting of variances in land use from the existing land use planning purposes	Planning Building & Development	P	P
D13	<b><u>ZONING</u></b> Includes: Records and standards regarding the designation of zones for land use planning purposes and zoning applications. Excludes: Zoning Bylaws - see B03	Planning Building & Development	E+2 E= Final decision is made.	D
D14	<b><u>BUILDING PERMITS</u></b> Includes: Permit issued to builders, contractors and residents authorizing to build or renovate and include: applications, drawings, surveyor's certificates, inspections, certificates of compliance and correspondence. Excludes: Other permits issued by the municipality - see P10 Permits required by the municipality to operate equipment- see L13 Development Permits -see D03	Planning Building & Development	E+10 E= Construction completed.	PIB D
D15	<b><u>BUILDING &amp; STRUCTURAL INSPECTIONS</u></b> Includes: Inspection reports such as building, plumbing, fire prevention and other structural inspections.	Fire Planning Building & Development	E+10 E=Life of Structure	P



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**E - ENVIRONMENTAL SERVICES:** Includes records related to Municipal water works, sewers, waste management, recycling, garbage collection and environmental monitoring.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
E00	<b><u>ENVIRONMENTAL SERVICES - GENERAL</u></b> Includes records related to the provision of environmental services that cannot be classified elsewhere.	Originating	C+1	D
E01	<b><u>CAPITAL PROJECTS - CONSTRUCTION</u></b> Includes: Correspondence, work orders, inspections, blue prints, copies of invoices, quality verifications for all storm, water and sewer lines etc. Excludes: Contracts - see L03 Grants/Subsidies - see F11	Originating	E+5 E= Life of structure	P V
E02	<b><u>GARBAGE COLLECTION</u></b> Includes: Yearly landfill deficit correspondence, monthly tonnage totals, weekly bin control sheets, pick up requests, special pick ups, dump tickets, etc. Excludes: Bin repairs - see V03 Advertising - see M01 Fees - see F01	Environmental Utilities	E+25 E= Final closure of facility	P
E03	<b><u>RECYCLING</u></b> Includes: Monthly and yearly tonnage reports for paper, glass, plastic and other records related to the recycling program within the municipality. Excludes: Advertising/Promotion - see M01 Purchase Detail Reports - see F01 Volunteer Recognition - see A17	Environmental Utilities	C+7	D
E04	<b><u>SANITARY SEWERS - MAINTENANCE</u></b> Includes: Records related to the maintenance of the sewer lines such as call-outs, repairs etc. Excludes: Installation of sewers - see E01	Environmental Utilities	E+25 E=Final closure of facility	P

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**E - ENVIRONMENTAL SERVICES:** Includes records related to Municipal water works, sewers, waste management, recycling, garbage collection and environmental monitoring.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
E05	<b><u>SEWER TREATMENT FACILITY</u></b> Includes: Sludge analyses, lab results, water sample results, main flushing records, sludge disposal authorizations and other records related to the operation of the treatment facility. Excludes: Facility Blue Prints - see A03 Water Treatment Facility - see E11	Environmental Utilities	E+25	P
			E=Final closure of facility	
E06	<b><u>UTILITY SERVICE CONNECTIONS</u></b> Includes: Meter reading requests, meter inspection reports, line locates, meter repairs, service installation reports, schematics of line on property, utility change form, copy of the building permit application etc. Excludes: Water Main Repairs - see E09	Environmental Utilities	E+7	D
			E=Removal of meter	
E07	<b><u>STORM SEWERS</u></b> Includes: Records related to the inspection and maintenance of storm sewers as well as ditches and culverts.	Environmental Utilities	E+25	P
			E=Final closure of facility	
E08	<b><u>TREES</u></b> Includes: Records related to tree removal, planting, trimming, pruning and preservation	Parks and Recreation	C+5	D
E09	<b><u>WATER MAINTENANCE</u></b> Includes: Pressure reports, service line leak detections, maintenance reports, water main repairs, photographs, etc. Excludes: Meters - see E06	Electric Generation	E+25	P V
			E=Final closure of facility	
E10	<b><u>WATER TREATMENT</u></b> Includes: Surveys on drinking water, analysis of drinking water, month end reports, complaints about water quality, consumption reports, etc	Electric Generation	E+25	P V
			E=Final closure of facility	



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**E - ENVIRONMENTAL SERVICES:** Includes records related to Municipal water works, sewers, waste management, recycling, garbage collection and environmental monitoring.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
E11	<b><u>WATER TREATMENT FACILITY</u></b> Includes: Correspondence, reports and other records related to the operation of the water treatment facility. Excludes: Maintenance - see A04 Construction - A03 Sewer Treatment Facility - see E05	Electric Generation	E+25	P V
			E=Final closure of facility	
E12	<b><u>RECLAMATION &amp; REMEDIATION</u></b> Includes all records directly related to reclamation such as cleanup of spills, land reclamation.	Originating	E + 25	D
			E = Cleanup complete.	
E13	<b><u>ENGINEERING DRAWINGS - ENVIRONMENTAL</u></b> Includes drawings, as built, architecture, schemes, blue prints, structural drawings, etc Also, water and sewer drawings, gas and electric utility drawings including pipelines, etc.	Originating	E + 25	D
			E = Life of structure	
E14	<b><u>CHEMICAL APPLICATIONS</u></b> Records regarding the application of pesticides, fertilizer and weed control mixtures, exterior building and window cleaning solutions, such as spray books, logs, spray notices and handling and storage records. Also includes chemical applications used in water treatment plants, pools and fountains etc such as chlorine and fluoride volumes and related application documentation.	Originating	C+6	D
E15	<b><u>ENVIRONMENTAL SITES</u></b> Records regarding, site potential, assessment, plans, requests for information, etc. Records regarding environmental site assessments/ investigations of sites such as historical reviews, sampling/testing, drilling, groundwater monitoring, remediation, risk assessment and risk management information and plan. Also includes hazardous building materials assessment, site maintenance, legal review, due diligence, monitoring and disclosure of confidential information on land provided to the city by developers, etc.	Originating	P	P

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**E - ENVIRONMENTAL SERVICES:** Includes records related to Municipal water works, sewers, waste management, recycling, garbage collection and environmental monitoring.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
E16	<b><u>HAZARDOUS MATERIAL MANAGEMENT</u></b> Records including, building inspections, pick up and transportation records such as requisitions, manifest reports, applications and electronic data, disposal and transportation; testing and analytical results to characterize waste stream, hazardous waste manifests, and hazardous recyclable dockets, etc.	Originating	C + 6	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**EL - ELECTRIC GENERAL:** Includes records in Electric Utility, Energy Division, including transmission, distribution, communication and power plant.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>EL00</b>	<b><u>ELECTRIC UTILITY - GENERAL</u></b> Includes records regarding electric utility which cannot be classified elsewhere.	Originating	C+1	D
<b>EL01</b>	<b><u>RATE SCHEDULES</u></b> Includes: General files of published rate sheets and schedules of utility services.	Electric Utility	P	P
<b>EL02</b>	<b><u>ELECTRIC TRANSMISSION - GENERAL</u></b> Includes transmission records of a general nature that are not included elsewhere in this primary heading.	Electric Distribution	C+8	D
<b>EL03</b>	<b><u>TRANSMISSION - SPECIFICATIONS, DESIGN &amp; COMMISSIONING</u></b> Records related to the specifications, design and commissioning of specific projects, including as-built, engineering specifications, contracts and agreements (working copy), operating manuals, also includes blueprints, standards and entitlements for buildings and sites, specification books, specification services, loading, document and functional specifications, need documents, permits, commissioning plan, test reports. For official contracts and agreements see L03	Electric Distribution	E+10 E = De-commissioning of project	D V
<b>EL04</b>	<b><u>TRANSMISSION - CONSTRUCTION &amp; MAINTENANCE</u></b> All records related to the construction of specific projects, including purchase orders, schedules, operational issues, change orders, construction drawings, building, development and excavation permits, tenders, deficiencies, sub trade reports. All records related to the maintenance of transmission infrastructure, activities related to asset management plans, budgets, environmental issues, substation infrastructure, technical data and administration documents.	Electric Distribution	E+10 E = Construction complete	D
<b>EL05</b>	<b><u>ELECTRICAL TRANSMISSION</u></b> Includes power pole construction, vegetation management.	Electric Distribution	C+8	D

# City of Medicine Hat Classification & Retention Schedule CMH-CRS

**EL - ELECTRIC GENERAL:** Includes records in Electric Utility, Energy Division, including transmission, distribution, communication and power plant.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
EL06	<b><u>NATURAL GAS TRANSMISSION</u></b> Includes all records related to the transmission of natural gas and the management of its associated infrastructure. (Does not include infrastructure files)	Electric Distribution	C+8	D
EL07	<b><u>ENERGY CONSUMPTION ALLOCATION &amp; SETTLEMENT DATA DISTRIBUTION</u></b> Includes all records directly related to energy consumption such as settlement calculation & maintenance, settlement results, energy allocation calculation.	Electric Distribution	C+2	D
EL08	<b><u>DISTRIBUTION - GENERAL</u></b> Includes all records directly related to electrical distribution infrastructure such as substations, network, includes distribution records of a general nature that are not included elsewhere in this primary heading.	Electric Distribution	C+8	D
EL09	<b><u>DISTRIBUTION - SPECIFICATIONS, DESIGN &amp; COMMISSIONING</u></b> All records related to the specifications, design and commissioning of specific projects, including as-built, engineering specifications, contracts and agreements, operating manuals, also includes blueprints, standards and entitlements for buildings and sites, specification books, specification services, loading, document and functional specifications, need documents, permits, commissioning plans, test reports, system planning	Electric Distribution	E+10	D V
			E = De-commissioning of project	
EL10	<b><u>DISTRIBUTION - CONSTRUCTION &amp; MAINTENANCE</u></b> All records related to the construction of specific projects, including purchase orders, schedules, operational issues, change orders, service requests, construction drawings, building/development/excavation permits, tenders, deficiencies, sub trade reports. Includes all records directly related to Electrical Distribution Infrastructure such as Substations, Network. Transformer Maintenance, traffic lights.	Electric Distribution	E+10	D
			E = De-commissioning of project	

# City of Medicine Hat Classification & Retention Schedule CMH-CRS

**EL - ELECTRIC GENERAL:** Includes records in Electric Utility, Energy Division, including transmission, distribution, communication and power plant.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
EL11	<b><u>ELECTRICAL INFRASTRUCTURE</u></b> Includes all records directly related to electrical distribution Infrastructure such as substations, network, wires, towers, etc.	Electric Distribution	E+10	D
EL12	<b><u>METERING - GENERAL</u></b> Includes metering records of a general nature that are not included elsewhere in this primary heading.	Electric & Gas Distribution	C+8	D
EL13	<b><u>REVENUE METERING &amp; METER MANAGEMENT</u></b> Includes manual reviews, management reviews, documentation and revisions, measurement and test equipment, audit records, results, and corrective actions, forms, log books, and cumulative log sheets, quality assurance programs made up of policies, procedures, criteria, and requirements regarding accreditation of City of Medicine Hat, revenue metering operations. Inventory, acquisition/preparation of meters, certificates, meter disputes, meter history records, metering services initiation/completion, meter field services assignment/provision, meter data collection, processing, transfer, meter readings (electric, water), calculation sheets (interval meters installation/removal).	Electric & Gas Distribution	E+10 E = Meters no longer in use	D
EL14	<b><u>MUNICIPAL METER MANAGEMENT</u></b> Includes all records directly related to the management of municipal meters such as life cycle administration and maintenance.	Electric & Gas Distribution	E+10 E = Meters no longer in use	D
EL15	<b><u>PERMITS WITH SIGNOFFS</u></b> Includes permanently disconnect meter (PDM).	Electric & Gas Distribution	E+10 E = Expiry of Permit	D
EL16	<b><u>RENEWABLE ENERGY - GENERAL</u></b> Includes all records related to general information on renewable energy emerging technologies not represented elsewhere in this schedule, such as solar, wave energy, battery, etc.	Originating	C+7	D AR

# City of Medicine Hat Classification & Retention Schedule CMH-CRS

**EL - ELECTRIC GENERAL:** Includes records in Electric Utility, Energy Division, including transmission, distribution, communication and power plant.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>EL17</b>	<b><u>REGULATORY LICENSE &amp; PERMITS</u></b>	Energy Division	E+30	D
	Includes all records directly related to regulatory licensing such as import/export license, national energy board permits, Alberta government services license/registration certificates, industry Canada certificate of registration, U.S. department of energy electricity export authorization, etc.		E=Expiry of License	
<b>EL18</b>	<b><u>COMMUNICATIONS SYSTEM - GENERAL</u></b>	Electric Distribution	C+2	D
	Includes communication system records of a general nature that are not included elsewhere in this primary heading.			
<b>EL19</b>	<b><u>NETWORKS &amp; FIBRE OPTICS</u></b>	Electric Distribution	E + 3	D V
	Includes records directly related to networks such as the development and installation of networks for external clients, fibre optics such as maps, coordinates, and details for envision fibre-optic cable footprint.		E=decommissioning	
<b>EL20</b>	<b><u>INTERNET INFRASTRUCTURE &amp; WIRING INSTALLATION</u></b>	Electric Distribution	E + 3	D
	Includes records related to the development and installation of internet infrastructures and wiring for external clients. Excludes: Web Administration See IM09		E=decommissioning	
<b>EL21</b>	<b><u>RADIO SYSTEMS</u></b>	Electric Distribution	E + 3	D V
	Includes records related to the development and installation of radio systems for external clients.		E=decommissioning	
<b>EL22</b>	<b><u>ELECTRIC GENERATION - GENERAL</u></b>	Electric Generation	C+1	D AR
	Includes generation records of a general nature that are not included elsewhere in this primary heading,			
<b>EL23</b>	<b><u>PLANT OPTIMIZATION</u></b>	Electric Generation	E+10	D
	All records related to the economic optimization of the generating facilities.		E=decommissioning	
<b>EL24</b>	<b><u>PERFORMANCE, MAINTENANCE, AVAILABILITY &amp; ANALYSIS</u></b>	Electric Generation	E+10	D V
	All records related to the performance, maintenance, availability & analysis of generating facilities.		E=decommissioning	

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**EL - ELECTRIC GENERAL:** Includes records in Electric Utility, Energy Division, including transmission, distribution, communication and power plant.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
EL25	<b><u>PLANT OUTAGE PLANNING &amp; SCHEDULES</u></b> Includes all records related to plant outage planning & schedules of a general nature that pertain to all generating facilities, such as standards, schedule templates, etc.	Electric Generation	E+10	D
			E=decommissioning	
EL26	<b><u>MAINTENANCE SCHEDULES</u></b> Includes all records related to plant maintenance schedules of a general nature that pertain to all generating facilities.	Electric Generation	E+10	D
			E=decommissioning	
EL27	<b><u>SURVEYS, REPORTS AND CHARTS (OPERATIONS)</u></b> General records of electric charts and surveys. Periodic logs and reports and surveys to secure data for compliance submitted to regulatory authorities. Reports of electricity produced, electricity purchased, electricity sent out, etc. Analysis of electricity produced, tool records, meter tests, etc. Excludes: Specific surveys and reporting found in Electric Distribution and Communications.	Electric Utility	P	P
EL28	<b><u>PERFORMANCE REPORTING - CONSTRUCTION, OPERATIONS &amp; MAINTENANCE</u></b> Includes: All records related to the performance, maintenance, availability and analysis of electric facilities, infrastructure, including contractor and supplier orientation records, certifications, etc.	Electric Utility	E+10	PIB D V
			E=date facility or structure is decommissioned	





## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**F - FINANCE & ACCOUNTING:** Includes records related to financial activities such as accounts payable, accounts receivable, budgets, financial statements, billings, tax assessments, tax rolls and working papers.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>F00</b>	<b><u>FINANCE &amp; ACCOUNTING - GENERAL</u></b> Includes records regarding finance and accounting which cannot be classified elsewhere.	Originating	C+1	D
<b>F01</b>	<b><u>ACCOUNTS PAYMENT</u></b> Includes: Paid invoices, receipts, cheque requisitions, gas royalty payments, Freehold Mineral tax, packing slips and supporting documentation.	Finance	C+7	D PIB V
<b>F02</b>	<b><u>ACCOUNTS RECEIVING</u></b> Includes: Invoices, Crown invoices, utility billings, receipts, vouchers and supporting documentation for all revenues received by the municipality. Excludes: Write-offs - see F05 Taxes - see F21	Finance	C+7	D PIB V
<b>F03</b>	<b><u>ASSESSMENTS</u></b> Includes: Records related to offsite levies, property and acreage assessments and development charges and calculations.	Finance	P	P
<b>F04</b>	<b><u>AUDITING</u></b> Includes: Records related to internal and external financial audits of municipal finances.  Excludes: Audited Financial Statements - see F09	Finance	E+7 E= date of previous audit (the two most recent audits to be kept)	D
<b>F05</b>	<b><u>BAD DEBTS</u></b> Includes: Accounts receivables that have been written off as uncollectible Excludes: Account receivable - see F02	Finance	C+7	D PIB
<b>F06</b>	<b><u>BANKING</u></b> Includes: Bank transactions, deposit slips, deposit records, reconciliations, short term borrowing, cancelled cheques issued, cheque listings, supporting documentation used to authorize issuance of cheques, N.S.F. cheques and bank statements.	Finance	C+7	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**F - FINANCE & ACCOUNTING:** Includes records related to financial activities such as accounts payable, accounts receivable, budgets, financial statements, billings, tax assessments, tax rolls and working papers.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>F07</b>	<b><u>BUDGETING</u></b> Includes: Departmental budgets and estimates, proposals working notes, calculations and background documentation, budget variances, etc.	Finance	C+3	D
<b>F08</b>	<b><u>DONATIONS</u></b> Includes: Applications, copies of receipts relating to donations and gifts to the municipality as well as made by the municipality. Excludes: Trusts - see F23	Finance	C+7	D
<b>F09</b>	<b><u>FINANCIAL STATEMENTS</u></b> Includes: Audited financial statements	Finance	P	V
<b>F10</b>	<b><u>GENERAL LEDGERS &amp; JOURNALS CONTROL</u></b> Includes: General ledgers, cash book, payroll ledger (register), asset ledger, production accounting records, accounts payable ledger and accounts receivable ledger.	Finance	P	V
<b>F11</b>	<b><u>GRANTS/SUBSIDIES</u></b> Includes: All records regarding the generation of revenue in the form of grants-in-lieu, provincial and federal grants, loans and subsidies. Also includes submissions, acknowledgements and reports.  Excludes: Background documentation - see L04/L05. Trusts - see F23	Finance	E+7  E= Grant/ Subsidy has been paid in full or all obligations have been made.	D
<b>F12</b>	<b><u>INVESTMENTS</u></b> Includes: Records regarding the municipality's investments such as term deposits	Finance	E+7 E= Investment has been cashed.	D
<b>F13</b>	<b><u>LONG TERM BORROWING</u></b> Includes: Information regarding the initial issuance of the debenture as well as all payments made to investors as well as other long term borrowing undertaken by the municipality.	Finance	E+7 E=Debt paid in full, cancelled or matured	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**F - FINANCE & ACCOUNTING:** Includes records related to financial activities such as accounts payable, accounts receivable, budgets, financial statements, billings, tax assessments, tax rolls and working papers.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
F14	<b><u>PAYROLL PROCESSING/EMPLOYEE PAY ADMINISTRATION</u></b> Includes: All records of payments of salary, TD1, TD1AB, benefits and wages, earnings and deductions, T4, T4A, T5 and payroll reporting. Excludes: Payroll Registers - see F10 Time sheets - see H01	Human Resources	C+7	D V
F15	<b><u>PURCHASE ORDERS &amp; REQUISITIONS</u></b> Includes: Purchase requests and approvals, blanket orders and background documentation Excludes: Quotations - see F16	Finance	C+7	D
F16	<b><u>QUOTATIONS &amp; TENDERS</u></b> Includes: Invitations to tender, requests for proposals, evaluations of tenders, letters of acceptance, supporting documentation from suppliers of goods and services. Excludes: Vendor material - see A19 Contract - see L03	Finance	E+7 E= Completion of project or Agreement.  C+7 for those who do not track end date of project.	D
F17	<b><u>RESERVES</u></b> Includes: Records related to financial reserves held by the municipality for contingencies, plant upgrades etc.	Finance	E+7 E= Reserves disposed of	D
F18	<b><u>SECURITY DEPOSITS</u></b> Includes: Development deposits, letters of credit, proof of insurance when required and records of monies held as a security deposit.	Finance	E+7 E= On condition of the Agreement.	D
F19	<b><u>SUBSIDIARY LEDGERS, REGISTERS &amp; JOURNALS</u></b> Includes: All registers, journals and subsidiary ledgers as well as Trial Balances, Operating Statements and meter readings, etc. Excludes: Tax Ledger -see F22	Finance	C+7	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**F - FINANCE & ACCOUNTING:** Includes records related to financial activities such as accounts payable, accounts receivable, budgets, financial statements, billings, tax assessments, tax rolls and working papers.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
F20	<b><u>TAX ASSESSMENTS</u></b> Includes: Record related to the assessment for tax purposes of an individual property such as return of assessments, notice of special assessments, prepaid frontage tax, property assessment notice, billing requisitions, school declaration support. NSF notices. etc. Excludes: Tax Rolls - see F22 Acreage Assessments - see F03	Finance	E+10	D PIB V
			E=Finalization of Appeals	
F21	<b><u>TAX PAYMENTS</u></b> Includes: Tax recovery notifications, tax notices, gas tax notices, customer registration notices, tax penalties and corresponding documentation to support that property taxes were paid. Excludes: Tax Rolls - see F22 Assessments - see F20	Finance & Gas Utility	E+10	D PIB V
			E=Finalization of Appeals	
F22	<b><u>TAX ROLLS</u></b> Includes: Tax levies, requisition files, tax ledger and tax rolls.	Finance	P	P PIB V
F23	<b><u>TRUST FUNDS</u></b> Includes: Documentation related to trusts managed by the municipality.	Finance	E+7	D
			E= Trust has been closed.	
F24	<b><u>WORKING PAPERS</u></b> Includes: All working notes, calculations and background documentation used to calculate present financial statements and future papers. Excludes: Financial Statements - see F09	Finance	C+7	D
F25	<b><u>SIGNING AUTHORITY</u></b> Includes: Records regarding staff signing authorities, such as printout of signature sheets, signature cards, contract forms, charges audit report, deleted employee information, blanket tender order sheet and copies of changes made.	Originating	UOS + 7	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**G - GAS GENERAL:** Includes records related to general administration of gas utility records including NGPR, Gas Distribution, Gas Marketing and Gas General records.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
G00	<b><u>GAS UTILITY - GENERAL</u></b> Includes records regarding gas utility which cannot be classified elsewhere.	Originating	C+1	D
G01	<b><u>RATE SCHEDULES &amp; CHANGE DOCUMENTS</u></b> Includes: General files of published rate sheets and schedules of utility services.	Gas Utility	P	P
G02	<b><u>GAS FACILITY OPERATIONS REPORTS - PLANT SERVICES</u></b> Internal reports, station logs, valve cards, or charts that document or summarize the operations of gas utility facilities, plants and systems, except those noted elsewhere in this schedule. Recording and gas measuring instrument charts, periodic reports and logs compiled on less than an annual basis, periodic surveys to secure data for compliance reports submitted to regulatory authorities, periodic reports, logs, or surveys necessary to demonstrate compliance with natural gas pipeline safety rules, etc. Excludes: Accidents/incidents See P09 Excludes: Annual reporting. See G03	Gas Utility	C + 5	D
G03	<b><u>GAS FACILITY OPERATIONS REPORTS - ANNUAL - PLANT SERVICES</u></b> Annual operations reports.	Gas Utility	P	P
G04	<b><u>PLANS AND CONSTRUCTION REPORTS</u></b> Reports or legal plans as required by law or regulation, submitted to regulatory authority by local government owned gas utilities.	Gas Utility	P	P V
G05	<b><u>ODORIZATION REPORTS</u></b> Malodorant injection reports, surveys, and intensity and concentration test reports.	Gas Utility	C+2	D
G06	<b><u>GAS LEAK INVESTIGATION REPORTS</u></b> Reports of investigation of gas leaks.	Gas Utility	C+2	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
G07	<b><u>GAS FACILITY PERFORMANCE REPORTING - OPERATIONS &amp; MAINTENANCE</u></b> Includes: All records related to the performance, maintenance, availability and analysis of gas facilities, infrastructure, etc.	Gas Utility	E+10 E=date facility or structure is decommissioned	D V
G08	<b><u>METER HISTORY</u></b> Records pertaining to the gas meter. <b>See EL12 - EL 15</b> for full description of records for metering in a municipality.	Gas Utility	E + 10 E = Life of Meter	D
G09	<b><u>WELL FILES</u></b> Includes clearing, bailing, shooting, etc., rock pressure, open flow, production, gas analysts reports, etc..	Gas Utility	TBC	
G10	<b><u>AREA FILES &amp; AREA CROSSING FILES</u></b>	Gas Utility	TBC	
G11	<b><u>ASSET FILES</u></b> General records of pipelines, portable structures, facilities and cathodic protection.	Gas Utility	TBC	
G12	<b><u>SURFACE LEASE FILES</u></b>	Gas Utility	TBC	
G13	<b><u>CLOSING BOOKS</u></b>	Gas Utility	TBC	
G14	<b><u>MINERAL LEASE FILES</u></b>	Gas Utility	TBC	
G15	<b><u>UNIT &amp; ROYALTY AGREEMENTS</u></b> These records document the management of agreements relating to royalties on oil and natural gas produced from unitized and other operations not covered by the Petroleum and Natural Gas Act.	Gas Utility	p	p

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
G16	<b><u>APPEALS OF MINERAL TAXES AND OIL AND GAS ROYALTIES/TAXES</u></b> These records document mineral tax appeals to the Mineral Tax Review Board and further appeals through the courts until 2003, and oil and gas royalty/tax appeals to the royalty administrator and further appeals to the minister that closed prior to 2002.	Gas Utility	P	P
G17	<b><u>MINERAL TAX AND OIL AND GAS HANDBOOKS AND INFORMATION LETTERS</u></b> These records document mineral taxpayer and oil and gas royalty/taxpayer reporting requirements and responsibilities.	Gas Utility	uos + 1	D
G18	<b><u>MINERAL LAND TAX FILES AND DATA</u></b> These records document land on which freehold mineral rights are known to exist, including all mineral rights alienated from the Crown with a Crown grant. They document all properties that are subject to mineral land tax, including properties that have reverted to the Crown through forfeiture, surrender, expropriation or escheat.	Gas Utility	P	P
G19	<b><u>OIL AND GAS LEDGERS FOR PRODUCTION</u></b>  These records document oil and natural gas values, volumes, and royalties and taxes.	Gas Utility	P	P
G20	<b><u>OIL AND GAS ROYALTY/TAX REPORTING/ASSESSMENT/VALIDATION AND AUDIT</u></b> These records document the reporting, payment, assessment, validation, and audit of oil and natural gas royalties and taxes.	Gas Utility	C + 6	D
G21	<b><u>OIL AND GAS COMMISSION LEVY RECORDS</u></b> These records document the invoicing, payment, and assessment of the Oil and Gas Commission levy payable by oil and natural gas producers to offset the administrative expenses of the Oil and Gas Commission.	Gas Utility	C + 6	D

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>G22</b>	<b><u>MINERAL TAX RETURNS, AUDITS, AND FORECASTS</u></b> These records document the reporting, payment, and audit of mineral taxes as well as the forecasting of mineral tax revenue.	Gas Utility	C + 6	D
<b>G23</b>	<b><u>GAS PRODUCED AND SENT</u></b> Gas generation and output logs with supporting data. Also, records of gas produced, gas sent out and holder stock.	NGPR	P	P



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**H - HUMAN RESOURCES:** The HR file is the "file of record" for the City and does not include secondary personnel files kept in the departments. Includes records related to the management of Municipal staff such as employee files, job descriptions, training and development, WCB, benefits, attendance as well as employee health and safety. Also included are records on volunteers.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
H00	<b>HUMAN RESOURCES - GENERAL</b> Includes: Records regarding human resources issues which cannot be classified elsewhere.	Originating	C+1	D
H01	<b>ATTENDANCE CONTROL &amp; TRACKING</b> Includes: Records regarding employee attendance, shift scheduling, vacation requests, hours of work, staff on call, lieu time reports etc. Excludes: Payroll - see F14	Payroll	C+7	D PIB
H02	<b>BENEFITS PROGRAMMING</b> Includes: Brochures, rates, quotes, correspondence and explanatory documents regarding benefits offered to staff such as group insurance, dental plans, employee support groups etc. Excludes: Payroll - see F14	Human Resources	UOS+6	D
H03	<b>CONTRACT EMPLOYEE ADMINISTRATION</b> Includes: Signed contracts for individuals hired on contract to work on behalf of the municipality in various capacities. Excludes: Hiring Agreement - see L03	Human Resources	E+10 E= Employee no longer works for municipality.	D PIB
H04	<b>EMPLOYEE FILES "FILE OF RECORD"</b> Includes: Resumes, hiring and job change documents, ECF, performance reviews, injury reports, certificates of achievements, test results, driver records, health records, work life documents, education records, correspondence related to promotion, evaluations and discipline, historical HR records for all employee and employment types etc. Excludes: Community Volunteers - see H12 Medical Files - see H04A Contract Employees - see H03 Payroll - see F14	Human Resources	E+10 E= Termination of Employee and payout of benefits.	V D PIB
H05	<b>EMPLOYEE FILES - MEDICAL</b> Includes all medical related records directly related to an individual employee, such as medical information, personnel health programs, request for medical records, authority for surgery and medical treatment, checkups, authorization of release of hospital information	Human Resources Occupational Health	E+30	D

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
H06	<b><u>JOB DESCRIPTIONS/CLASSIFICATION/EVALUATIONS (POSITIONS)</u></b> Includes: Job descriptions and specifications as well as background information used in their preparation or amendment. Also includes job evaluations, classification information, position histories, WSP employer profiles, etc.	Human Resources	UOS+2	D
H07	<b><u>HUMAN RESOURCE PLANNING</u></b> Includes: Seniority lists, performance management, exit interviews, strategic planning, business plans, organization charts, organizational development, workforce planning, and related records.	Human Resources	C+7	D
H08	<b><u>RECRUITING/COMPETITIONS</u></b> Includes: Solicited and unsolicited resumes, letters of interest, interview questions, position description, competition documents, bulletins, interview guides, advertising, unsuccessful resumes, related to hiring of staff and related correspondence to the hiring of staff. Excludes: Successful candidates resume - see H03/H04	Human Resources	C+2	D PIB
H09	<b><u>TRAINING &amp; DEVELOPMENT - INTERNAL</u></b> Includes: Training courses, test sheets, attendance reports, teaching material and supporting documentation for training and development courses provided by the municipality Excludes: Test results - see appropriate employee file	Originating	UOS+2	D PIB
H10	<b><u>TRAINING &amp; DEVELOPMENT - EXTERNAL</u></b> Includes: Course information, orientation materials etc. related to the provision of training courses	Originating	UOS+2	D PIB
H11	<b><u>VOLUNTEER FIRE STAFF RECORDS</u></b> Includes: Beneficiary designation cards, certificates of achievement, test sheet results, evaluations, photo identification, medical test results, training certificates, correspondence etc. for all members of the volunteer fire department.	Fire	E+10  E= Individual is no longer a volunteer.	D
H12	<b><u>VOLUNTEERS</u></b> Includes: Applications, reference checks, placement form, security checks on individuals wishing to volunteer their services to the municipality. Excludes: Volunteer Appreciation - see A17	Community Development	E+6  E= Services no longer provided.	D PIB

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
H13	<b><u>EMPLOYEE PENSION</u></b> <i>Includes:</i> Records regarding employees' pension activities such as applications, beneficiary designation, pensionable earnings, requests for pension estimates, prior service applications and statements, marriage certificates, birth certificates, death in service documents, etc.	Human Resources	P	P PIB D V
H14	<b><u>EMPLOYEE BENEFITS</u></b> <i>Includes:</i> Records regarding employees' benefits, such as life insurance claims, life insurance certificates, applications for benefits, long term disability (LTD), death benefit claims, estate letters, beneficiary forms, supplementation of compensation, self funded leaves of absence information, etc. <i>Excludes:</i> Death Benefit claims - See H15A	Human Resources	E + 10  E = Termination of employment	P PIB D V
H15	<b><u>EMPLOYEE BENEFITS - DEATH BENEFIT CLAIMS</u></b> <i>Includes:</i> records for death benefit claims for existing or previous employees with coverage.	Human Resources	P	P
H16	<b><u>COMPENSATION PLANNING</u></b> <i>Includes:</i> Records regarding general compensation issues and planning such as Pay Equity, presentations, proposals, plans, correspondence, survey summary and trend information.	Human Resources	C+7	D
H17	<b><u>PENSION ADMINISTRATION</u></b> <i>Includes:</i> Records regarding pensions administered by The City, such as plan documents, deduction registers, prior service summary reports, records of decision, pension for LTD, annual / tri-annual evaluations, remittances and reconciliations. <i>Includes:</i> Records regarding pension policy decisions.	Human Resources	P	P PIB D V
H18	<b><u>EQUAL OPPORTUNITY INVESTIGATIONS</u></b> Records regarding equal opportunity case investigations and conflict management such as interviewer notes, correspondence, reports, etc.	Human Resources	C+11	D
H19	<b><u>EQUAL OPPORTUNITY PROGRAM</u></b> Records regarding the administration of the equal opportunity program or information, such as reports, studies, statistics, etc.	Human Resources	UOS + 1	D

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
H20	<b><u>LABOUR RELATIONS, UNIONS - GENERAL</u></b> Includes records regarding general union and labour relations issues. Also includes relationship and contact with management exempt staff associations and consultants. Excludes: Grievances and arbitrations. See H22 & H23	Human Resources	UOS+4	D V
H21	<b><u>GRIEVANCE CASE MANAGEMENT</u></b> Includes: Records regarding individual grievances, such as forms, case notes, letters, decisions, etc.	Human Resources	E+2 E = Settlement of grievance or appeal period expires.  Business units are required to forward all grievance material to Labour Relations upon settlement of the grievance. Upon completion of the required retention, core documents from the grievance file are sanitized of personal information and filed in HR 24	PIB  V
H22	<b><u>ARBITRATION CASE MANAGEMENT</u></b> Includes: Records regarding individual arbitration, such as forms, case notes, letters, decisions, etc.	Human Resources	E+2 E=Settlement of arbitration or appeal period expires.  Business units are required to forward all arbitration material to Labour Relations upon settlement of the grievance. Upon completion of the required retention, core documents from the arbitration file are sanitized of personal information and filed in HR 24	PIB  V
H23	<b><u>GRIEVANCE AND ARBITRATION HISTORY</u></b> Includes: Records regarding settled grievance and arbitration cases used for policy and precedent setting and as reference in active cases, such as core grievance and arbitration records which been sanitized of personal information.	Human Resources	P	P

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
H24	<b>PERSONNEL (SECONDARY)</b> Includes: All records kept in the department related to employee and not required to be placed in personnel file in HR including copies of ECF forms, drivers records, etc. <b>Excludes: Required HR documents for the personnel file. See H04 "file of record"</b>	Originating	E+10	V
			E= Employee no longer works for municipality.	D  PIB



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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
HS00	<b><u>HEALTH AND SAFETY - GENERAL</u></b> Includes: Records regarding Health and Safety issues which cannot be classified elsewhere.	Originating	C+1	D
HS01	<b><u>PUBLIC HEALTH &amp; SAFETY</u></b> Includes: Reports and correspondence related to public health and safety. Excludes: Incidents - see HS02	Originating	C+7	D
HS02	<b><u>INCIDENT/ACCIDENT REPORTS</u></b> Includes: Accident and incident reports. police reports etc. Excludes: WCB injury reports - see HS05 Accidents involving insurance claims - see L07	Originating	E+10 E=Date of injury or accident.	D PIB
HS03	<b><u>SAFETY PROGRAMMING</u></b> Includes: Records related to insuring a safe working and operational environment on municipal property and includes WHMIS, Material Data Safety Sheets (MSDS), safety check lists, inspections, bulletins, etc. Excludes: Fire Prevention - see P07 Safety Committee - see A16	Originating	UOS+10	D PIB
			WHMIS and MSDS - when superseded.	
HS04	<b><u>OCCUPATIONAL HEALTH</u></b> Programs and assessments related to ergonomics, disability management, wellness, job health, testing and monitoring, hazards, investigations, medical information, etc. Excludes: Individual Employee Information See H04 and H04A	Human Resources	P	P V
HS05	<b><u>WORKERS' COMPENSATION</u></b> Includes: WCB reports, WCB assessments and other records related to employee injury within the municipality. Excludes: Individual injury reports - see H04 Safety Meetings - see A16	Human Resources	E+10	PIB
			E=Date of injury or accident.	
			C+10 for Contractor Supplier records.	D





## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**IM - INFORMATION & SYSTEMS MANAGEMENT :** Includes records regarding the management of information throughout the City, such as the design and development of hardware and software systems, application development, computer security, server and network management, and information and records management.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
IM00	<b><u>INFORMATION &amp; SYSTEMS MANAGEMENT - GENERAL</u></b> Includes information resources/services management records of a general nature that are not included elsewhere is this primary heading	ICS Records Management	C+2	D
IM01	<b><u>COMPUTER &amp; INFORMATION SYSTEMS MANAGEMENT</u></b> Includes: Manuals, specifications and other documentation in the use of hardware and software used by the municipality  Excludes: Acquisitions - see F16	ICS	E+2  E= System no longer used.	D
IM02	<b><u>COMPUTER SYSTEM OPERATIONS - GENERAL</u></b> Includes computer systems records of a general nature that are not included elsewhere in this primary heading.	ICS	C + 2	D
IM03	<b><u>COMPUTER SYSTEM REPORTS</u></b> Includes all reports directly related to computer systems operations, such as usage reports, control reports, logs, system outage reports.	ICS	C + 2	D
IM04	<b><u>DOCUMENTATION AND DATABASE ADMINISTRATION</u></b> Includes all records directly related to the documentation of computer systems operations, such as computer screen prints, systems user guide, reference aids, database queries, software guides, customer data bases, system change authorizations, micro stations, records directly related to the administration of computer databases, such as databases, source code, critical history, procedures, diagrams/flowcharts, reports, database administration, source code lists, work logs, procedures, diagrams/flowcharts, database reports.	ICS	E + 3 E = Database no longer in use	D
IM05	<b><u>HARDWARE AND SOFTWARE</u></b> Includes all records directly related to the management of computer hardware systems, such as hardware documentation, information requests, technical manuals, system manuals and software applications such as documentation, procedures, logs, schedules, version control, registration packets, core manual & supplementary documents, test plans and results, bug logs.	ICS	E + 3 E = Disposition of equipment or software.	D
IM06	<b><u>DISASTER RECOVERY</u></b> Includes all records directly related to the disaster recovery operations for computer systems, such as systems backup including documentation and procedures, test reports, data backup, computer code registers, source codes, data archive, personal computer backups, security and backup logs.	ICS & RM	UOS+2	D

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
IM07	<b><u>EQUIPMENT SERVICE REQUESTS</u></b> Includes all records directly related to the administration of requests for equipment service, such as business system service requests, dealer websites, website approval/linkage requests, computer service requests.	ICS & RM	C + 3	D
IM08	<b><u>COMPUTER SYSTEMS - EMAIL MANAGEMENT</u></b> Includes all records directly related to the administration of e-mail systems.	ICS	C + 3	D
IM09	<b><u>WEB ADMINISTRATION</u></b> Includes all records directly related to the design and administration of a corporate internet system, such as records regarding internal homepage design, development, website traffic statistics, website development, and maintenance.	ICS	C + 2	D
IM10	<b><u>NETWORK DIAGRAMS AND INTERNET INFRASTRUCTURE</u></b> Includes maps, coordinates, and details of Envision network equipment, networks set up to communicate between areas or types of machines, such as word processing networks, file sharing by personal computers, microcomputer interfaces, electronic mail systems, records directly related to the foundation and permanent structures directly related to internet/intranet development within ENMAX. For web administration see IM09	ICS	E + 2 E = System no longer used.	D
IM11	<b><u>SERVICE DESK</u></b> Includes all records directly related to the administration of the service (help) desk.	ICS	C + 2	D
IM12	<b><u>FORMS MANAGEMENT</u></b> Includes: All blank forms created and/or used by the municipality. Excludes: Completed forms - see relevant subject.	Originating	UOS + 2	D
IM13	<b><u>SECURITY ACCESS TO SYSTEMS</u></b> Includes all records directly related to the granting and administration of access to corporate databases and applications, such as requests for access, security levels, computer system user requests. For access to security systems such as building access See A15	Originating	UOS+2	D

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Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
IM14	<b>TELECOMMUNICATIONS CONTROL</b> Includes: All records regarding all types of telecommunication systems such as fire communications, base and mobile stations, telephones, antennae, 911 emergency etc. Excludes: Service Agreement - see L03 Operating Licenses - see L13	Originating	E+2	D
			E=System no longer in use	
IM15	<b>RECORDS DISPOSITION</b> Includes: Destruction certificates, destruction authorizations and correspondence related to the final destruction of all municipal records. Excludes: Retention Policy - see A11	Records Management	P	P V

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**IM - INFORMATION & SYSTEMS MANAGEMENT :** Includes records regarding the management of information throughout the City, such as the design and development of hardware and software systems, application development, computer security, server and network management, and information and records management.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
IM16	<p><b><u>RECORDS MANAGEMENT</u></b></p> <p>Includes all records directly related to the <b>administration of records management program</b> such as planning, generation, maintenance, essential records, access restrictions, co-ordination and contact with business unit record coordinators, records management presentations, RM monthly statistics, records management program initiatives to enhance and assist in the appropriate management of corporate information, on a corporate scale or within individual business units, such as approval, planning and implementation, project management documentation, including client interviews, presentations, meetings, analysis, project deliverables, copies of consultant/vendor documents, etc.</p> <p>'Includes all records regarding the development, maintenance and updating of the records management program system documentation, electronic and hardcopy, including the records management policy and procedure manual and the corporate classification and retention schedule ((CICRS), records include request, business case, analysis and recommendations for adjustments to the system documentation, also includes the relevant approvals, design and implementation of record indices, such as classification area maps, cross reference cards, document lists, document tracking records, document standardization, file indexes, file inventories, indexing services</p> <p>'Includes all records directly related to records management reporting such as document/records transfer, file audits, records retention, file reorganization, filing storage, nomenclature definitions, records inventory, records classification, records destruction, records archives, offsite storage.</p> <p>Excludes: Destruction certificates - see IM15</p>	Records Management	UOS+2	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**IM - INFORMATION & SYSTEMS MANAGEMENT :** Includes records regarding the management of information throughout the City, such as the design and development of hardware and software systems, application development, computer security, server and network management, and information and records management.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
IM17	<b>FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY (FOIPP)</b> <b>FOIPP General</b> - Includes: Records regarding bulletins, inter-Business Unit memos, correspondence with Business Unit coordinators, advice to authors of <u>reports to council and update reports</u> .	City Clerk	C+1	D
	<b>Requests and Replies</b> - Includes: Records regarding the requests for information under the Province's legislation, such as applications, correspondence and copies of material released.	City Clerk	E+5 E – Date of last action	D
	<b>Personal Information Banks</b> - Includes: Records regarding directories of personal information banks (PIB's) and supporting documentation.	City Clerk	UOS+3	D PIB
	<b>Statistics</b> - Includes: Records regarding statistical reporting of Freedom of Information and Protection of Privacy (FOIPP) requests to the Province.	City Clerk	C+5	D
	<b>Investigations</b> - Includes: Records regarding documents and reports concerning investigation of privacy breaches.	City Clerk	E+3 E – Final Report Completed	D PIB



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**L - LEGAL:** Includes records related to legal matters such as the administration of contracts and agreements between the Municipality and other parties, leases, litigation as well as insurance and real estate transactions.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
L00	<b>LEGAL - GENERAL</b> <u>Includes:</u> Records regarding legal affairs which cannot be classified elsewhere.	Originating	C+1	D
L01	<b>APPEALS &amp; HEARINGS</b> <u>Includes:</u> Transcripts, final judgments and supporting documentation regarding appeals, hearings and legal proceedings which includes zoning appeals, adjustments, etc.	Originating	E+10 E= Completion of hearing.	D
L02	<b>PRECEDENTS</b> <u>Includes:</u> information that documents landmark precedents or significant legal opinions on specific issues, which may impact the municipality.	Solicitor	UOS + 5	D
L03	<b>CONTRACTS &amp; AGREEMENTS</b> <u>Includes:</u> All contracts and agreements entered into by the municipality such as facility rental agreements, janitorial contracts, warranties, service contracts, collective agreements, bargaining process, purchase agreements, art consignment agreements, easements, encroachments, development agreements, mutual assistance agreements with the public and other government bodies, pipe line agreements, construction contracts, supporting reports, correspondence, etc. May also include subdivision agreements. Excludes employee contracts. See H03.	Originating	E+10 E= Contract expired. (if there is no expiry date on the document, it will be permanent).	D AR V  PIB AR Selective retention may be applicable.
L04	<b>GOVERNMENT - FEDERAL</b> <u>Includes:</u> Bills, acts, regulations, bulletins, enacted by any Ministry, Board or Council within the Federal government which is of interest to the municipality. Also includes information related to grants and subsidies offered by the Federal government.  Excludes: Grant/Subsidies - see F11	Originating	UOS	D
L05	<b>GOVERNMENT - PROVINCIAL</b> <u>Includes:</u> Bills, acts and regulations, bulletins enacted by any Ministry, Board or Council of the Alberta government which affects or is of interest to the municipality. Also includes information related to grants and subsidies offered by the province.  Excludes: Grant/Subsidies - see F11	Originating	UOS	D
L06	<b>INSURANCE APPRAISALS</b> <u>Includes:</u> All supporting documentation for the valuation of municipal property for insurance purposes.	Finance	E+6 E= Disposal of property.	D V

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**L - LEGAL:** Includes records related to legal matters such as the administration of contracts and agreements between the Municipality and other parties, leases, litigation as well as insurance and real estate transactions.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
L07	<b>INSURANCE POLICIES</b> <u>Includes:</u> Municipal insurance policy documents, premium calculations, etc. <u>Excludes:</u> Appraisals - see L06	Finance	E+10	D V
			E= Policy expired	
L08	<b>INTERGOVERNMENTAL AFFAIRS</b> <u>Includes:</u> Reports, correspondence, meeting minutes and other records that document the interaction of the municipality with other government bodies such as the School Boards and other Municipal governments. <u>Excludes:</u> Contractual Agreements - see L03 Non-Council committees that Council members or staff belong to - see A16	Originating	C+2	D
L09	<b>LAND ACQUISITION &amp; SALE</b> <u>Includes:</u> Real estate transactions and conveyance of land and buildings such as lot sales. Includes leases, deeds and expropriation plans, purchase letters and appraisals.	Land and Properties Utility Gas	P	P PIB
L10	<b>LEGAL OPINIONS</b> <u>Includes:</u> Opinions and briefs provided by legal counsel on specific issues and bylaws.	Solicitor	UOS + 5	D
L11	<b>LEASES</b> <u>Includes:</u> All leases undertaken by the municipality. Records regarding the general leasing of land, buildings, houses, rental units, etc Subsidy claims reports, monthly reports, allocations and vacancies and applications. Denial of applications from public, master lease reports, etc.	Solicitor Gas Utility	E+10	D PIB
			E= Lease has expired.	
L12	<b>LITIGATION</b> <u>Includes:</u> All records related to legal action undertaken on behalf of the municipality or against the municipality such as statement of defense, court minutes, witness statements etc.	Solicitor	E+10 E= Resolution of claims and all appeal periods.	D PIB V
L13	<b>OPERATING PERMITS</b> <u>Includes:</u> All permits, licenses and registrations required by the municipality to operate equipment such as radio licenses, pesticide permits etc. <u>Excludes:</u> Permits/Licenses issued by the municipality - see P10	Originating	E+6	D
			E= Expiry of permit.	



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**L - LEGAL:** Includes records related to legal matters such as the administration of contracts and agreements between the Municipality and other parties, leases, litigation as well as insurance and real estate transactions.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>L14</b>	<b>CLIENT FILES</b> Includes: All documents within the client file that are not subject to retention periods in L00-L13. Solicitors review file before destruction but generally do not keep original documents but keep working copies. If there are original documents within the client file that have a permanent retention attached, these are relocated before the file is destroyed.	Solicitor	E+10	D PIB V
			E = File Close Date	
<b>L15</b>	<b>MERGERS &amp; ACQUISITIONS - GENERAL</b> Includes all records directly related to the act or action of acquiring the controlling interest in a company, including both mergers and takeovers as well as amalgamations.	Originating	P	P
<b>L16</b>	<b>INSURANCE CLAIMS</b> Includes records regarding insurance claims for vehicles, incidents, liability etc.  Excludes: Insurance Policies See L07	Originating	E + 6	D
			E = Claim complete, settled or dismissed. *Note - department standard is to keep for 10 years.	
<b>L17</b>	<b>STOCK REGISTERS, CERTIFICATES &amp; SHAREHOLDERS - GENERAL</b> Includes all records directly related to stock registers and certificates such as proxies, shareholder lists, shareholder records of a general nature.	Allied Oil & Gas & Subsidiaries	E+7 E=Expiry of share certificate	D
<b>L18</b>	<b>SHAREHOLDER MEETINGS</b> Includes all records directly related to all Shareholder meetings including General, Specific and Annual. Such as notice of meeting, adjournment, business and notice of business, minutes and resolutions of shareholder	Allied Oil & Gas & Subsidiaries	E+7 E = dissolution of corporation	D



## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**M - MEDIA & PUBLIC RELATIONS:** Includes records related to the Municipalities relationship with the general public and includes speeches, presentations, special events, advertising, logos, news releases and publications.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>M00</b>	<b><u>MEDIA &amp; PUBLIC RELATIONS - GENERAL</u></b> Includes: Records regarding media and public relations which cannot be classified elsewhere such as general inquiries on the municipality.	Originating	C+1	D
<b>M01</b>	<b><u>ADVERTISING</u></b> Includes: Promotions, advertising, hand outs related to programs supported or sponsored by the municipality as well as art work, pamphlets, newsletters. Excludes: Tenders - see F16 Invoices for Advertising - see F01	Originating	C+2	D
<b>M02</b>	<b><u>CEREMONIES &amp; EVENTS</u></b> Includes: Records regarding special events, <a href="#">annual banquet</a> , fund raisers, art calendar, openings and anniversaries that the municipality is involved in.	Originating	C+7	D PIB
<b>M03</b>	<b><u>COMPLAINTS, COMMENDATIONS &amp; INQUIRIES</u></b> Includes: Records regarding complaints and compliments from the public, aldermen, etc, regarding City services, programs, decisions, processes, including complaint forms and reports, supporting documentation, photos, maps, handwritten notes, conversation logs and notes, safety improvement cards, database entries. Excludes: Specific Complaints - see P03 Litigation - See L12 Board Hearings L01	Originating	E + 12 E=Complaint has been answered or resolved.	D PIB
<b>M04</b>	<b><u>NEWS RELEASES</u></b> Includes: Background notes and final versions of news releases issued.	Communications	C+7	D
<b>M05</b>	<b><u>PUBLIC POLLING</u></b> Includes: Canvassing, polling and soliciting of public opinion and views includes questionnaires, analyses and reports.	Originating	C+7	D
<b>M06</b>	<b><u>PUBLICATIONS</u></b> Includes: Records related to the publication of tourism information, trade shows, current events, <a href="#">calendars</a> , business directories such as typed manuscripts, artwork, brochures, printed copies and related records.	Originating	UOS	D
<b>M07</b>	<b><u>SPEECHES &amp; PRESENTATIONS</u></b> Includes: Background notes and final versions of speeches, presentations and news conferences given by elected and non-elected officials. Excludes: News Releases - see M04	Originating	C+7	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**M - MEDIA & PUBLIC RELATIONS:** Includes records related to the Municipalities relationship with the general public and includes speeches, presentations, special events, advertising, logos, news releases and publications.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
M08	<b><u>CORPORATE SEAL/INSIGNIA</u></b> Includes: Records related municipal logos, municipal mascot, municipal crest, crest pins, flags, signage and other means of identifying the municipality also includes formal ties to other jurisdictions through twinning. Excludes: Municipal Seal/Incorporation Documentation - see B01	Originating	P	P
M09	<b><u>VISITS &amp; TOURS</u></b> Includes: Records related to the tours and visits by members of the public to the fire hall, cultural centre and treatment facility such as preparatory notes, gallery membership lists, statistics, examples of hand out literature and booking schedules. Excludes: Gallery layouts - see A04	Originating	C+2	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**P - PROTECTION & ENFORCEMENT SERVICES:** Includes records related to the operational functions of bylaw enforcement, licensing, public protection and fire prevention within the Municipality.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
P00	<b><u>PROTECTION &amp; ENFORCEMENT SERVICES - GENERAL</u></b> Includes: Records regarding the protection and enforcement of local bylaws which cannot be classified elsewhere.	Originating	C+1	D
P01	<b><u>BYLAW ENFORCEMENT</u></b> Includes: Records related to the enforcement of the municipality's bylaws such as orders to comply, inspection reports, stop work orders, working notes, complaints, correspondence, etc.	Bylaw Enforcement	E+5	PIB
			E=date of order/complaint	D
P02	<b><u>EMERGENCY MANAGEMENT PLANNING &amp; EVENTS</u></b> Includes: Emergency response plans, rehearsals, copies of agreements with other jurisdictions as well as actual emergencies and events. May also include contingency plans provided to the municipality by industrial establishments in the municipality. Records regarding the City's disaster recovery and Emergency Services Plan, such as contact lists, crisis plan, assessment. Also includes peacetime disaster planning, dam breach preparedness, Regional Emergency Response Plan, Flood Mitigation planning, emergency preparedness planning, business continuity plans and business impact assessments. Excludes: Original Agreements - see L03	Originating	UOS+5	D PIB V
P03	<b><u>FIRE &amp; RESCUE CALL-OUTS</u></b> Includes: All reports written with regards to fire and rescue call outs Excludes: Billings - see F02	Fire	UOS+5	PIB D
P04	<b><u>FIRE INVESTIGATIONS</u></b> Includes: Reports and working notes related to the investigation of fires such as fire dispatch tapes, photographs, fire reports and correspondence.	Fire	E+10	D PIB
P05	<b><u>FIRE PREVENTION</u></b> Includes: Safety talks, presentations to schools and programs conducted to educate the public on fire safety. Excludes: Complaints - see M03 Fire Investigations - see P06	Fire	C+7	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**P - PROTECTION & ENFORCEMENT SERVICES:** Includes records related to the operational functions of bylaw enforcement, licensing, public protection and fire prevention within the Municipality.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
P06	<b><u>LICENSES &amp; PERMITS - OTHER</u></b> Includes: Application for and approvals for fire permits, dangerous goods permits, firework permits, business permits, dog licenses and special events and any other permit issued by the municipality. Excludes: Building Permits - see P01 Burial Permits - C01 Development Permits - see D03 Permits required by the municipality to operate equipment - see L13	Originating	E+6	PIB
			E= Permit expired.	D
P07	<b><u>911 - GENERAL AND DISPATCH</u></b> Includes: Records regarding 911 of a general nature and records regarding Emergency Medical Services (EMS) dispatch systems, such as monthly backup tapes, audio tapes and dispatch status reports.		E+7	PIB
			E= Permit expired.	D

## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**T - TRANSPORTATION SERVICES:** Includes records related to the planning, development and maintenance of Municipal roads as well as traffic studies, street signs and signals.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>T00</b>	<b>TRANSPORTATION SERVICES - GENERAL</b> Includes: Records regarding transportation services which cannot be classified elsewhere.	Originating	C+1	D
<b>T01</b>	<b>MAPS</b> Includes: Utility maps, school boundaries, ward boundaries, bus routes etc.	Originating	UOS	D
<b>T02</b>	<b>ROAD CONSTRUCTION</b> Includes: Records regarding the construction of new road and major improvements to existing roads and bridges such as resurfacing and widening. Excludes: Routine Road Maintenance - see T04 Contracts - see L03	Municipal Works	P	P
<b>T03</b>	<b>ROAD DESIGN &amp; PLANNING</b> Includes: Estimates, studies and other records regarding the design and planning of specific road construction projects as well as the design of curbs and sidewalks. cycle ways, footpaths, walkways etc. Excludes: Footpaths, cycle paths - see C05	Municipal Works	P	P
<b>T04</b>	<b>ROAD MAINTENANCE</b> Includes: Records and studies regarding the inspection and maintenance of roads such as dust control, pavement repairs, street cleaning, snow removal, pot hole filling etc. Excludes: Road Design and Planning - see T03 Road Complaints - see M03	Municipal Works	C+7	D
<b>T05</b>	<b>ROAD CLOSURES</b> Includes: Records related to the closure of roads on a permanent, Regular basis and request for road closures, block parties. Excludes: Road Closing Bylaws - see B03 Permits - see P10	Municipal Works	C+7	D PIB
<b>T06</b>	<b>STREET SIGNS &amp; SIGNALS</b> Includes: Sign and signal requests, erections and maintenance of street signs and signals.	Municipal Works	C+7	D PIB
<b>T07</b>	<b>TRAFFIC</b> Includes: Records and reports regarding the flow of traffic such as traffic studies, traffic flows, analyses, traffic counts, traffic monitoring data, proposed truck routes, etc.	Originating	C+7	D





## City of Medicine Hat Classification & Retention Schedule CMH-CRS

**V - VEHICLES & EQUIPMENT:** Includes records related to the maintenance and operation of vehicles and equipment used by the Municipality.

Class Code	Business Activity / Scope Note	Responsible Business Unit	Total Retention	Classification and Retention Codes
<b>V00</b>	<b><u>VEHICLES &amp; EQUIPMENT - GENERAL</u></b> Includes: All records related to vehicles or equipment operated by the Municipality that cannot be classified elsewhere.	Originating	C+1	D
<b>V01</b>	<b><u>FLEET MANAGEMENT</u></b> Includes: Records related to the maintenance of all vehicles owned or leased by the Municipality such as work orders, registrations, inspection check lists, repair orders and disposal. Excludes: Insurance Policies - see L07 Accident Reports - see L07 Vehicle Leases - see L11 Expenses - see F01 Invoices - see F01 Purchases - see F01	Corporate Asset Management	E+6  E= Vehicle is sold or scrapped.	D
<b>V02</b>	<b><u>PROTECTIVE EQUIPMENT</u></b> Includes: Records regarding protective equipment used by the municipality such as specifications and their maintenance such as breathing apparatus, breathing tanks and protective clothing.	Originating	E+6 E= Equipment is sold or scrapped.	D
<b>V03</b>	<b><u>EQUIPMENT</u></b> Includes: Records related to the maintenance of equipment or apparatus owned or leased by the municipality as well as serial numbers, technical specification manuals for the operation of the equipment, equipment calibration records, electrical equipment, odorization equipment and Excludes: Lease Agreement - see L11 Warranties - see L03 Protective Equipment - see V02	Originating	E+6  E=Equipment is sold or scrapped.	D



**CLASSIFICATION AND RETENTION SCHEDULE CHANGE FORM**

<b>Requestor Name</b>	<b>Department</b>	<b>Date</b>

<b>Action Required</b>	<b>Add</b> <input type="checkbox"/>	<b>Delete</b> <input type="checkbox"/>	<b>Revise</b> <input type="checkbox"/>
------------------------	-------------------------------------	--	--

<b>Record Series Title</b>			
<b>Is it a Vital Record</b>	Vital Record: Records that are essential to resume or to continue the operations of an organization after a disaster, emergency, or loss of information; those necessary to recreate the corporation's legal and financial position.		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Security Type</b>	<b>Confidential</b> <input type="checkbox"/>	<b>Department Only</b> <input type="checkbox"/>	<b>City Wide</b> <input type="checkbox"/>
<b>Personal Information Bank - Does this series of documents contain personal information collected by the City?</b>	Freedom of Information and Protection of Privacy (FOIPP) - Alberta legislation, which, with some limitations, provides the public with a right of access to records held by the City and protects the privacy of personal and sensitive information.		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Record Format</b>	<b>Paper</b> <input type="checkbox"/>	<b>Electronic</b> <input type="checkbox"/>	<b>Both</b> <input type="checkbox"/>
<b>Non Electronic Storage Format</b>	<b>Paper</b> <input type="checkbox"/>	<b>Microfilm</b> <input type="checkbox"/>	<b>Diskette</b> <input type="checkbox"/> <b>Other</b> <input type="checkbox"/>
<b>What classification should the record series or document type be added to? (Review CMH-CRS)</b>			
<b>Is this a permanent record?</b>	A record that has been determined to have sufficient historical, administrative, legal, fiscal, or other value to warrant continuing preservation.		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Provide Retention Period and Legal Citation if known</b>			
<b>Additional Information – Please provide a reason why this record series should be added to the retention schedule for approval.</b>			

<b>Department Authorization</b>
<div style="margin-bottom: 20px;"> <b>Print Name</b> _____ <b>(General Manager or Delegate)</b> </div> <div> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 45%;"> <b>Signature</b>    <div style="border: 1px solid black; width: 250px; height: 25px; margin-top: 10px;"></div> </div> <div style="width: 45%;"> <b>Date</b>    _____ </div> </div> </div>

Records Management Authorization		
Date Received		
Records Staff	Name	Position
<b>Explanation of Non Acceptance:</b>		
Already in schedule	Explain:	
Incorporated within a current record series	Explain:	
Set up new document type does not require a retention schedule amendment).	Explain	
<b>RECORDS MANAGEMENT STAFF ACTIVITIES:</b>		
Added to Amendment Schedule for Annual Approval		
Added to Official Records Retention Schedule		
Incorporated into the Schedule under existing Record Series		
Changes made to SIRE as required		
<b>RECORD SERIES REQUEST COMPLETE</b>	<b>DATE</b>	
Approval to Add/Delete/Change Record Series		
Print Name _____ Records Management Staff  Signature <div style="border: 1px solid black; width: 500px; height: 25px; display: inline-block;"></div>		

Records Management Manual		City Policy Number
<b>Records Disposition Program</b>		<b>MH 0156</b>
Authority: CITY CLERK	Effective Date: November 05, 2014	Page 1 of 6

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## References

**Appendix 1:** Destruction Certificate - EDMS held Records

**Appendix 2:** Business Process Diagram - Destruction of EDMS held Records

**Appendix 3:** Destruction Certificate - Locally held Electronic and Paper Records

**Appendix 4:** Business Process Diagram - Destruction of locally held Electronic and Paper Records

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## INTRODUCTION

**1.01** The Records Disposition Program details the procedures required to effectively ensure that each record meets its proper end. This can mean ensuring the appropriate destruction of records that no longer have any foreseeable value. It can also mean ensuring that records required for business continuity or for documenting the historical developments of the organization are transferred to the appropriate department, agency, or storage facility for maintenance and preservation. The final stage in the life cycle of information is the disposal of records. Records disposal occurs when there are no longer requirements for the information. Records disposition is determined when records retention schedules are created.

## RECORDS DISPOSITION

**2.01 City of Medicine Hat Classification and Retention Schedule.** The Disposition of all records held by the City of Medicine Hat is approved by the Retention Schedule which is set out the City of Medicine Hat Classification and Retention Schedule contained in Schedule A of the Records Management Manual (RMM). This Classification and Retention Schedule gives strict guidelines to be followed for the retention of records within the City of Medicine Hat; and, as directed by the City Council the Classification and Retention Schedule will be approved by the City of Medicine Hat's Administrative Committee.

**2.02 Disposition Descriptions.** Each records series in the City of Medicine Hat's Classification and Retention Schedule is assigned a disposition as part of its life cycle; a list of these Methods of Disposition and a brief description are as follows:

Code	Heading	Description
P	Permanent	These records are to be kept permanently; usually legislation or organizational standards dictate what is to be kept permanently.
D	Destroy	These records are to be destroyed so that the information contained in them is completely obliterated, without any copies being retained.
AR	Archive Retention	The City Archivist has determined that a Record type is required to be kept permanently for Archive purposes.

**2.03 Legal Hold.** Records must not be disposed of if a legal hold has been placed on them. A legal hold is a communication issued as a result of current or anticipated litigation, audit, government investigation, or other such matter and suspends the normal disposition or processing of records. The legal hold process trumps the retention schedule and interrupts the length of time affected records are retained until the hold is officially lifted. The City of Medicine Hat will, from time to time, be required to produce records and documents for litigation purposes. Details on the procedures for the Legal Hold process can be found at Schedule G of the Records Management Manual.

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**2.04 Timing of Disposition.** The City Of Medicine Hat has an annual disposition policy following the simple formula; Length of retention period plus the time until the end of Fiscal Year. An example of this formula is listed below:

- Date of Document - Jul 15, 2010
- Retention Period - 2 Years
- Disposition Date - Dec 31, 2012

This formula enables records disposition to be carried out effectively utilizing the limited resources in departments and ensures a greater focus on Records Disposition throughout the City of Medicine Hat.

## DESTRUCTION OF RECORDS

**3.01 Introduction.** Those records marked for destruction must be destroyed promptly following the expiration of the approved retention period. Exceptions to planned destruction include those records still required for the ongoing functions of a municipal program, records that are the subject of a request under the Freedom of Information and Protection of Privacy Act and records required for legal purposes.

**3.02 Register of Records Destroyed.** A register of all records destroyed must be kept to ensure compliance with the City of Medicine Hat's Classification and Retention Schedule. This register may be referred to and produced as evidence if requested by a court or the Office of the Information and Privacy Commissioner of Alberta. There are two distinct destruction procedures that are required to be registered;

- Electronic Records held in the official City of Medicine Hat's Electronic Document Management System (EDMS) and;
- Electronic and Paper Records held by departments. Examples of these are:
  - § All paper records held in department offices.
  - § Electronic records held on CD or Mobile Storage devices.
  - § Electronic records held in the Network drives.
  - § Electronic records held in other software programs.

**3.03 Destruction of Electronic Records held in an EDMS.** Annually (31 Dec), and in accordance with the rules laid down in the Classification and Retention Schedule, the Records Manager will produce a list of those records held in the EDMS that are eligible for destruction. The Records Management team will issue each department with a Destruction Certificate for those records identified. A copy of this certificate can be found at Appendix 1. A process diagram which describes the procedure for the destruction of EDMS records can be found at Appendix 2. An audit trail will be automatically attached to any deleted record in EDMS.

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**3.04 Destruction of Electronic and Paper Records held by departments.** When maintaining their own electronic and paper records, departments must adhere to the disposition timelines listed in the City of Medicine Hat Classification and Retention Schedule. A copy of this schedule can be found at Appendix 1 to Schedule A of the Records Management Manual (RMM). Departments must complete a Records Destruction Certificate (Appendix 3 to this schedule) prior to the destruction of any records. The Destruction Certificate provides information about the records series that were destroyed, this includes:

- Series titles or other description
- Dates covered by the records
- Dates the records were destroyed
- Destruction method

On completion of the Paper Record Destruction Certificate, the original is to be forwarded to the Records Management Team, where it will be scanned and secured in the EDMS.

A business process diagram which describes the procedure for the destruction of locally held Electronic and Paper Records can be found at Appendix 4. Note: The Destruction Certificate should be signed and dated by the person who destroyed the records and the department head or the individual who supervised the destruction.

Departments must ensure that those records with a Classification of “Archive Retention” are transferred to the City Archivist in accordance with the procedures as laid down in Schedule I of the RMM.

## DESTRUCTION OF TRANSITORY RECORDS

**3.05** Transitory records are records in any media that have no further value or usefulness beyond an immediate and minor transaction; or will only be required for a short time after a transaction, until they are made obsolete by an updated version of a record or by a subsequent transaction, or decision. Transitory records are not required to meet a government organization’s legislative or regulatory obligations; or support a government organization’s administrative or operational functions. Transitory records are not to be filed in the City of Medicine Hat’s official EDMS software.

The City of Medicine Hat delegates authority to destroy or delete all transitory records to every City employee. Transitory records containing sensitive or confidential information must be securely destroyed or deleted. Details of the types of Transitory Records can be found in part 3 Schedule A of the RMM.



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## DESTRUCTION METHODS

**3.06 Introduction.** Records must be destroyed using a method appropriate to their medium and to their content. Records containing confidential and/or personal information shall be destroyed through a procedure that achieves definitive obliteration of information. The following table highlights the appropriate method of destruction for City Records:

Record Type	Classification	Destruction Method
Paper	Non-Confidential	Recycling
Paper	Confidential-Sensitive	Controlled Shredding e.g. Enviroshred
Disk, Diskette, Tape, CD-RW-based electronic records	Non-Confidential	Recycling
Disk, Diskette, Tape, CD-RW-based electronic records	Confidential-Sensitive	Controlled destruction e.g. Enviroshred
EDMS Record	Non-Confidential	Deletion from Server by Records Manager
EDMS Record	Confidential-Sensitive	Deletion from Server by Records Manager

**3.07 Offsite Shredding.** If at any time a department chooses to use an offsite vendor service for destruction, the vendor must:

- Specify the destruction method used for confidential and non-confidential records.
- Specify the time lapse between pickup of records and destruction.
- Allow the organization to observe all stages of the destruction process if necessary or requested.
- Demonstrate safeguards for confidential information during stages of destruction.
- Complete a Destruction Certificate as specified in paragraph 3.04 above.
- Provide proof of destruction of records in a manner specified by the City of Medicine Hat.
- Still assume full liability for breaches of confidentiality involving records even while they are in the contractor's custody.

## RECORDS DISPOSITION – ARCHIVE RETENTION

**4.01** Records of enduring legal, fiscal, administrative or historical value are retained and processed into the permanent historical records of the City of Medicine Hat. This processing is done in conjunction with the Records Management Team and the City Archivists. More information on Archival and Historical Records can be found in Schedule I of the RMM.

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## CONCLUSION

**5.01** The retention of all City records indefinitely is neither practical nor advisable. In addition the arbitrary and unplanned records destruction is considered to be a suspicious activity and, may be found by courts to be 'illegal destruction' of evidence. Illegal destruction of evidence may bring serious legal sanctions against the organization, including court judgments, fines or imprisonment. It is for these reasons that the City of Medicine Hat has developed and implemented a Records Disposition Program that will ensure compliance with legislation whilst providing a realistic and safe method of the destruction of documents.

**Destruction Certificate – EDMS held Records**

<b>Department</b>	
-------------------	--

<b>Year</b>	
-------------	--

1. The records listed on the attached Retention Disposition Reports are eligible for destruction in accordance with the approved City of Medicine Hat's Classification and Retention Schedule.

**General Manager Approval**

2. I confirm the following:

- The department has checked for any copies of the attached records (both electronic paper) and have located and destroyed them in accordance with the City of Medicine Hat's Classification and Retention Schedule.
- The Department has examined the attached Records Destruction Report and where a record is to be retained I have annotated a reason for further retention and a revised destruction date.
- I hereby certify that I have reviewed the attached Records Destruction Report and to the best of my knowledge the records listed have no further value to the City of Medicine Hat and they are not required for litigation, tax audits or any other investigative action, and are therefore approved for destruction.

<b>Full Name</b>		<b>Date:</b>	
------------------	--	--------------	--

<b>Job Title</b>		<b>Signature:</b>	
------------------	--	-------------------	--

**Records Manager**

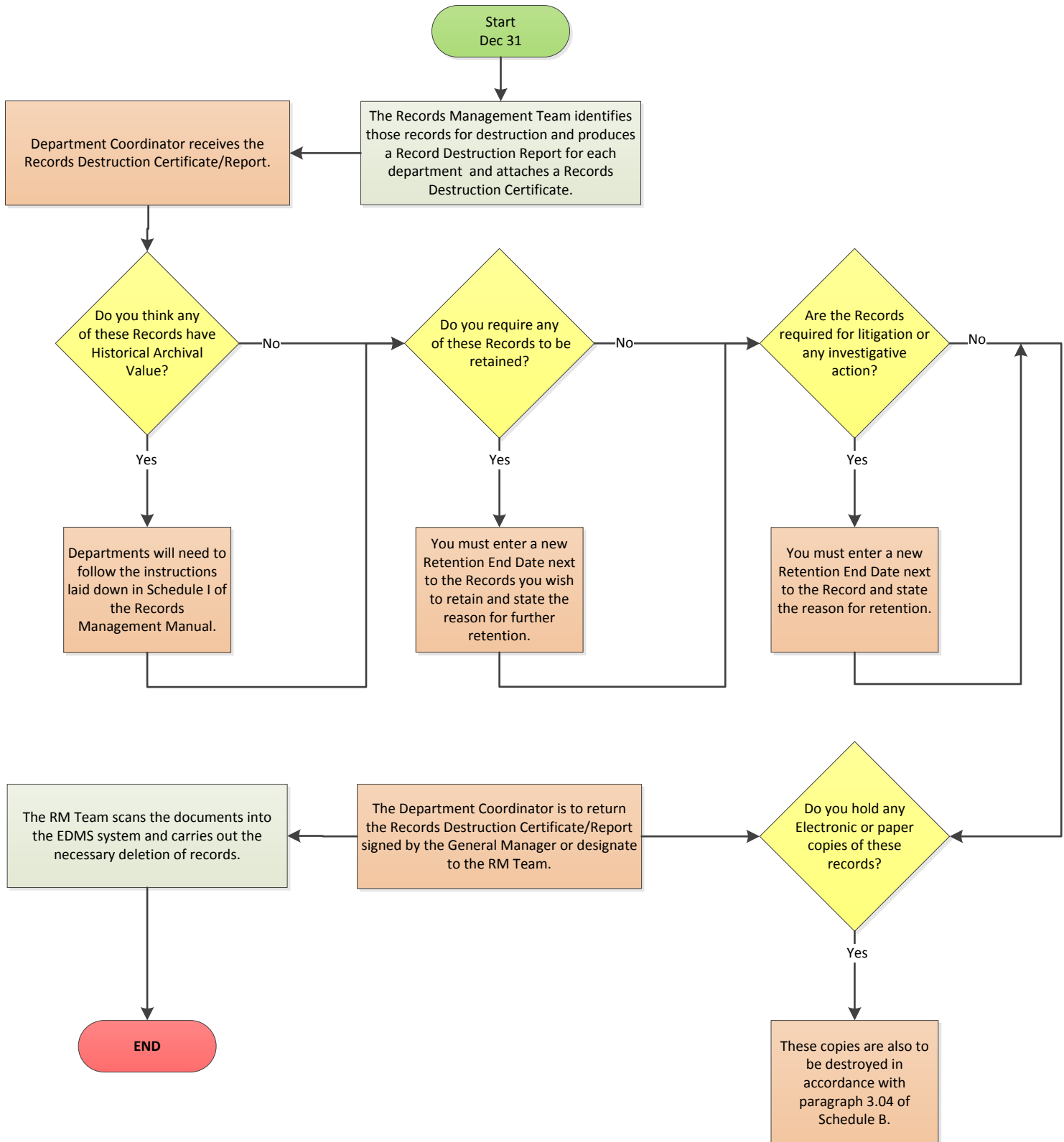
3. I confirm that I have carried out the necessary electronic destruction of the documents listed, or where necessary amended the Retention End Date of those indicated. In addition, I confirm that this Destruction Certificate will be scanned and indexed in the Record Destruction Cabinet within EDMS Software.

<b>Full Name</b>		<b>Date:</b>	
------------------	--	--------------	--

<b>Job Title</b>		<b>Signature:</b>	
------------------	--	-------------------	--



## DESTRUCTION OF EDMS HELD RECORDS





## **Destruction Certificate – Locally Held Electronic and Paper Records**

Department	
------------	--

[illegible]

### **General Manager Authority**

1. In accordance with the City of Medicine Hat's Classification and Retention Schedule, the above Documents/Records have reached the end of their life cycle and as such are approved for destruction. I confirm the following actions have taken place:

- We have ensured any Records Identified for "Archive Retention" has been transferred to the City Archivist in accordance with Schedule I of the Records Management Manual.
- All locally held electronic and paper records listed above have been destroyed in accordance with the destruction rules laid down in [Schedule B](#) of the Records Management Manual.
- I hereby certify that to the best of my knowledge the documents listed above have no further value to the City of Medicine Hat and they are not required for litigation, tax audits or any other investigative action.

<b>Full Name</b>		<b>Date:</b>	
------------------	--	--------------	--

<b>Job Title</b>		<b>Signature:</b>	
------------------	--	-------------------	--

### **Records Management Team**

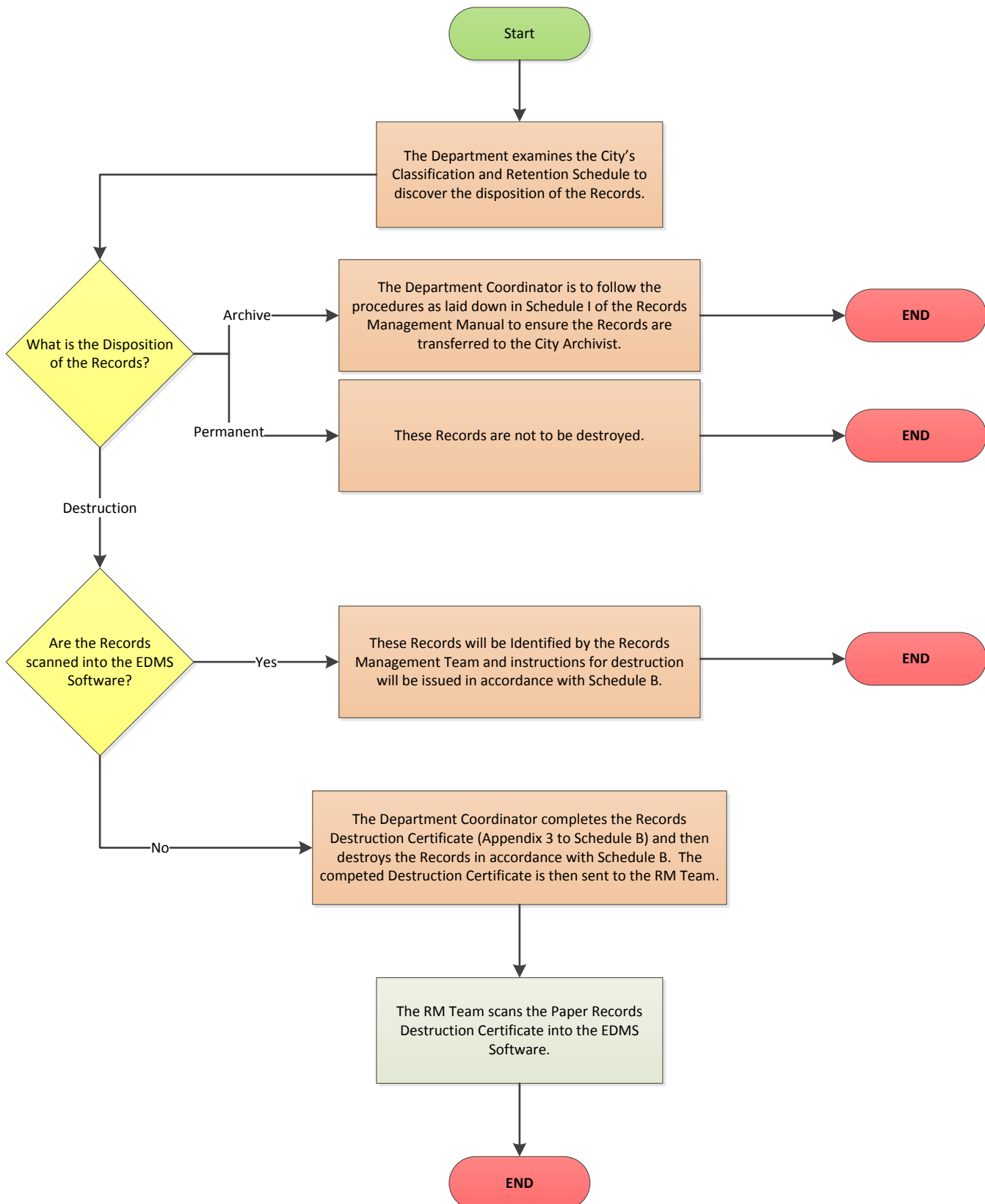
2. I acknowledge receipt of this destruction form and confirm that it will be scanned into the EDMS software.

<b>Full Name</b>		<b>Date:</b>	
------------------	--	--------------	--

<b>Job Title</b>		<b>Signature:</b>	
------------------	--	-------------------	--



## DESTRUCTION OF LOCALLY HELD ELECTRONIC AND PAPER RECORDS





<b>Records Management Manual</b> <b>Vital Records Program</b>		City Policy Number <b>MH 0156</b>
<b>Authority:</b> CITY CLERK	<b>Effective Date:</b> November 05, 2014	Page 1 of 8

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## References

- Appendix 1 – Vital Records Flow Diagram
- Appendix 2 – Vital Records Risk Assessment Guide
- Appendix 3 – Vital Records Inventory Template
- Appendix 4 – Vital Records Inventory – Information Sheet

<b>Business Continuity Plan</b>		<b>Schedule C</b>
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## VITAL RECORDS PROGRAM

**1.01 Introduction.** Vital records are those records both paper and electronic which are essential to resume or to continue the operations of an organization after a disaster, emergency or loss of information. These records are necessary to recreate the corporation's legal and financial position. Vital Records protect:

- The rights of employees and the public.
- The legal and financial rights and obligations of the organization.
- Provide proof of the organization's assets and obligations.

To do this, the Vital Records Program must identify, protect and provide ready access to vital records. A flow diagram of Vital Records Process is at Appendix 1 to this Schedule.

**1.02 Responsibilities.** The Vital Records Program is a corporate wide initiative that is maintained by the Records Manager, other responsibilities are:

### a. Administrative Committee

- The Administrative Committee is to ensure that there is a corporate wide Vital Records Program implemented.

### b. Records Manager

- The Records Manager is responsible for providing vital records identification and protection criteria and to maintain an inventory.
- The Records Manager will provide vital records guidelines, consultation and training to departments.
- The Records Manager will monitor and evaluate the Vital Records Program.

### c. General Managers

- The General Managers are responsible for developing and administering the Vital Records Program in their department; this includes establishing processes to identify vital records and appointing a Records Coordinator.
- The General Managers are responsible for creating and maintaining an inventory listing of vital records and providing a copy to the Records Manager.
- Department vital records must be safely maintained and easily retrievable in the event of an emergency or disaster.

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#### **d. Department Records Coordinators**

- The Department Records Coordinators are responsible for assisting in developing and administrating the Vital Records Program in their department
- The Department Records Coordinators are responsible for providing assistance in the identification of vital records and their protection.
- The Department Records Coordinators are responsible for assisting in the creation and maintenance of the vital records inventory list.

#### **e. City Employees.**

- Each employee is responsible for ensuring that the operating records vital to the continuity of essential City activities will be available in the event of a disaster or emergency.
- Each employee is responsible for applying the vital records identification criteria to the corporate records in their custody.

## **RISK MANAGEMENT**

**2.01 Business Impact Analysis.** A department Business Impact Analysis (BIA) is critically important to identify a minimum operating statement; this is the minimal level of service that a department needs to deliver in the event of an emergency. The object of a BIA is to evaluate department functions according to their critical worth and outline the recovery times of the minimum functions; listing the types of documents/records that may be essential. To assist in the identification of vital records departments should utilize their current Business Continuity Plans from their department Emergency Management Plans.

**2.02 Vital Records Assessment.** The Risk Assessment component of the Vital Records Program should include identifying and analyzing potential risks to Records. Risk assessments should be completed for all functional areas of each department, concentrating on known vital records and potential vital records that have been identified as part of any department BIA. In addition, functional areas should be assessed to see what risks are likely to affect business continuity. A Risk Management Worksheet can be found at Appendix 2, this sheet will provide best practice and guidance for departments carrying out their own Risk Assessments on Vital Records.

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## IDENTIFICATION OF VITAL RECORDS

**3.01 Introduction.** Identifying vital records is a critical task that needs to be done so that you can arrange for their protection prior to a disaster/emergency. This identification must be aligned with the department's business recovery objectives and priorities from the BIA. The process is assisted by the risk assessments and by defining operational, legal, and regulatory recordkeeping requirements and answering the following questions:

- What records are absolutely necessary to resume operations?
- What Records are necessary to recreate the corporation's legal and financial position.
- Are there other sources (inside or outside the City of Medicine Hat) from which the records can be retrieved or reconstructed.
- Do the necessary records reside in more than one medium (paper or electronic).

**3.03 Vital Records Classification.** When identifying vital records departments should classify the records into one of the following classifications:

Classification	Definition
<b>Vital</b>	These records contain information critical to the continuation of the City of Medicine Hat during or immediately following an emergency or disaster. Such records are necessary to continue operations without delay under abnormal conditions.
<b>Important</b>	These records and information are determined to be of some value to the City in restoring operations to a normal state following an emergency or disaster and if destroyed, these records are replaceable at moderate cost.
<b>Useful</b>	These records are useful to the uninterrupted operation of the business. They are replaceable, but their loss could cause temporary inconvenience.

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**3.03 Vital Records Categories.** Important and useful records are not considered vital and as such do not require special protection beyond normal business practices. All records that are considered to be in the vital class should be further categorized to enable the necessary protection to be placed on them. There are three levels of categorization for the City of Medicine Hat, these are as follows:

<b>Categories</b>	<b>Examples of Types of Records</b>
<p><b>Vita Record Category A</b></p> <p>Records required for emergency operations.</p> <p>Accessed Immediately</p>	<ul style="list-style-type: none"> <li>• Emergency Preparedness Plan</li> <li>• Delegations of authority</li> <li>• Security clearance roster</li> <li>• Office evacuation blueprints and maps</li> <li>• Copy of vital records inventory</li> <li>• Emergency staffing assignments, list, addresses, contact numbers, etc.</li> <li>• Building plans and systems, operational manuals</li> <li>• Inventories - equipment and records</li> <li>• Current research &amp; development data</li> <li>• City programs – continuing critical functions</li> </ul>
<p><b>Vital Record Category B</b></p> <p>Records required for immediate resumption and continuation of business.</p> <p>Accessed within 24Hrs</p>	<p><i>The following record types related to both Cat B and Cat C Vital Records</i></p> <ul style="list-style-type: none"> <li>• Fixed assets - insurance claims, etc.</li> <li>• Employee records - documents showing the current amount due for payroll, benefits, pension, etc.</li> <li>• Production records – engineering drawings, current inventory, specs, etc.</li> <li>• Financial records – accounts receivable, payable, notes, loans, general ledgers, monies owed, etc.</li> <li>• Insurance policies</li> <li>• Ownership records - deeds, leases, titles, patents and trademarks, registration no's, capital investments, business permits, etc.</li> <li>• Major contracts and agreements with all amendments.</li> <li>• Corporate records - minutes, articles of incorporation, bylaws.</li> </ul>
<p><b>Vital Record Category C</b></p> <p>Records required for legal or audit purposes.</p> <p>Accessed within 30 days</p>	

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## PROTECTION OF VITAL RECORDS

**4.01 Introduction.** Identified vital records and information must be protected from potential loss. The protection method will depend on the record media type, available resources and the environment. When deciding on which method to use to store vital records departments should ask questions like:

- Where are my current vital Records located?
- How and where are we going to access the vital Records in an emergency/disaster?
- What should be the recovery time?
- What resources are required for recovery?

**4.02 Methods of Protection.** There are three approved methods of protection for vital records for the City of Medicine Hat, these are as follows:

- a. Electronic Storage in the Electronic Document Management System (EDMS).** The EDMS System for the City of Medicine Hat provides a secure environment for the protection of vital records. Records placed in the EDMS System can be protected from being incorrectly edited or accidentally deleted and improved accessibility. Daily backups will ensure the Vital Records are always available.
- b. Protective Storage.** Protective storage involves the use of special fire-resistant and/or environmentally controlled records protective equipment or vaults.
- c. Off-site.** Off-site storage of records and information involves the use of protective storage in a location other than your department. This could be another City property or a specialized commercial facility.

**4.03 Backups.** Backup documents and/or records can significantly reduce risk before an event occurs. Departments may want to create backups as a protective measure exclusively for data recovery in the event of a disaster. This can be done by copying paper records and storing them ideally in a different location. The preferred and most widely used method is to store the documents and Records electronically in City of Medicine Hat's EDMS System. Audits on paper backups should be periodically completed to ensure they comply with the City's Retention Schedule.

**4.04 Restoration Priorities.** If resources are limited after a disaster, priority guidance for the restoration of critical department documents will need to be incorporated into a department Business Continuity Plan. Issues like safety, impact on the environment and statutory responsibilities will need to be considered.



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## VITAL RECORDS INVENTORY

**5.01 Vital Records Inventory.** The Vital Records Inventory is a master list of all vital records with the City. This inventory will enable the City of Medicine Hat to manage its vital records with minimal exposure to risks. It will also assist in the development of department Business Continuity Plans that will ensure the City is best prepared to continue after a disaster.

**5.02 Vital Records Inventory Information.** The following is a list of information that is required for each vital record series to be entered in the inventory:

- Record Series Title
- Vital Records Class
- Record Description
- Original File Location
- Reference Activity
- Duplicate? If so, where?
- Volume on Site
- Format
- Electronic System Name for Electronic records
- Vital Records Contact Person & Phone

An example Vital Records Inventory worksheet Template is at Appendix 3 to this schedule. This template should be used in the development of a department Vital Records Inventory and for any subsequent Audit.

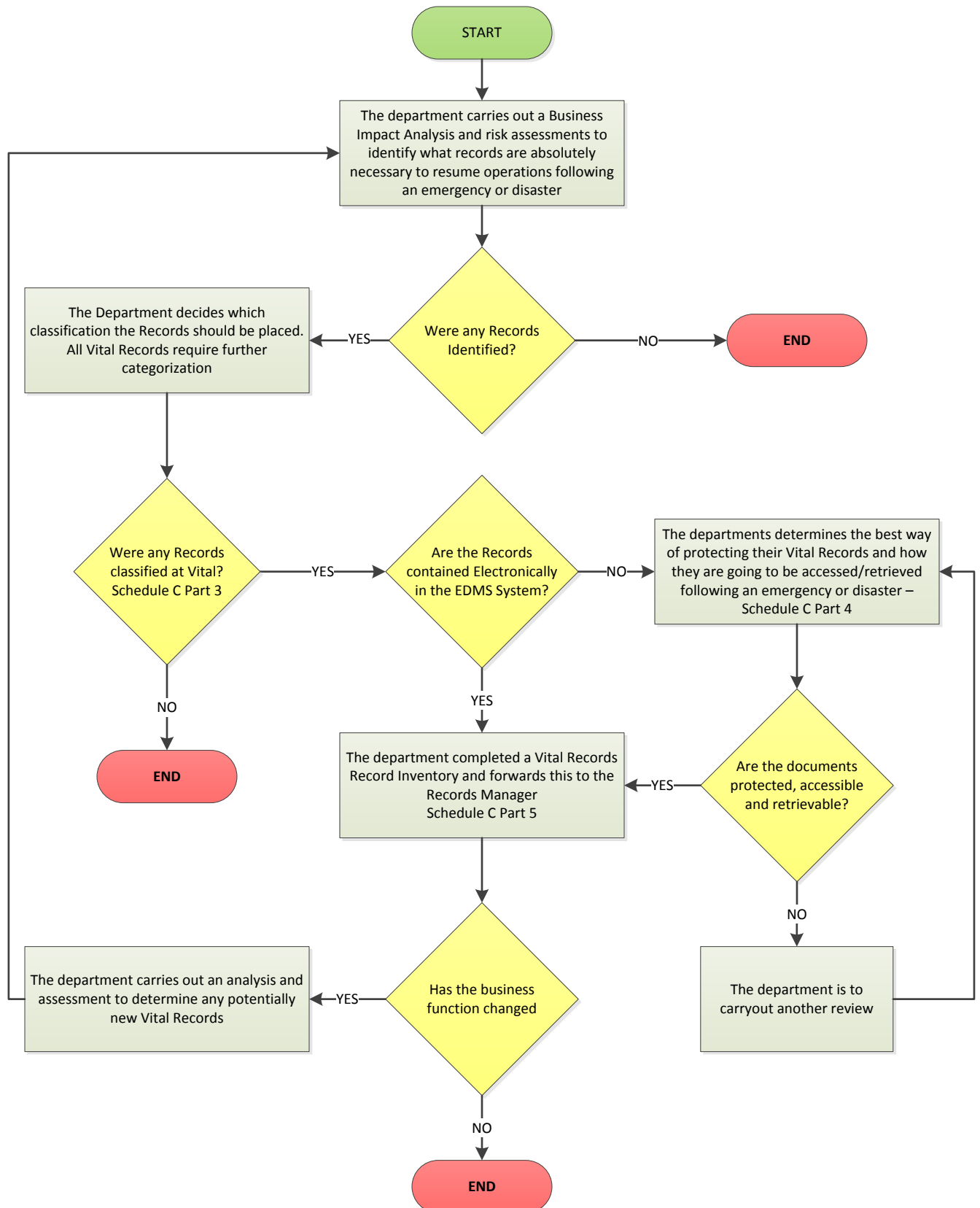
**5.03 Preparing the Vital Records Inventory.** An information sheet that provides details on preparing your Vital Records Inventory is available at Appendix 4 to this schedule.

## AUDITS

**6.01 Audit of Vital Records Inventory.** The City's Vital Records Inventory will be published internally to enable departments to audit their component annually. These audits will assist the Records Manager in identifying the new vital records or those records that should no longer be designated as such.



## VITAL RECORDS FLOW CHART





## **RISK MEASUREMENT WORKSHEET**

1. Risk measurement is defined as “the quantification of certain risk exposures for the purpose of comparison to organizational risk tolerances.” The following formula is used by Records and Information Management professionals to determine the level of risk for documents/Records:

$$R = P \times I$$

$R$  = the risk associated with the loss of a specific vital records series  
 $P$  = the probability that such a threat will occur in any given year  
 $I$  = the impact of the loss should the threat occur

2. The following table is a good example how to place documents into scales of Risk by assessing the probability of something occurring and identifying the impact to your organization:

<b>Scale</b>	<b>Probability</b>	<b>Impact</b>
High	Likely to occur each year or more than a 25% chance of occurrence	<ul style="list-style-type: none"><li>• Financial impact on the organization is likely to exceed x</li><li>• Significant impact on the organization's strategy or operational activities</li><li>• Significant stakeholder concern</li></ul>
Medium	Likely to occur in a ten-year time period or less than a 25% chance of occurrence	<ul style="list-style-type: none"><li>• Financial impact on the organization is likely to be between x and y</li><li>• Moderate impact on the organization's strategy or operational activities</li><li>• Moderate stakeholder concern</li></ul>
Low	Not likely to occur in a ten-year period or less than a 2% chance of occurrence	<ul style="list-style-type: none"><li>• Financial impact on the organization likely to be less than y</li><li>• Low impact on the organization's strategy or operational activities</li><li>• Low stakeholder concern</li></ul>

3. Once the Probability and Impact range is identified you can evaluate the risk to the records in your organization. Below is an Impact/Probability matrix to help assess the risk to your records and the protection rules you should follow:

Probability of Loss or damage				
Impact of Loss or Damage		Low	Medium	High
	Low	1 (Accept and monitor risk)	2 (Protect <b>useful</b> and <b>important</b> records through management procedures)	3 (Protect <b>useful</b> and <b>important</b> records through management procedures)
	Medium	4 (Recovery procedures for <b>important</b> records included in Business Continuity Plan)	5 (Reduce risk where possible; recovery procedures for <b>important</b> records included in Business Continuity Plan)	6 (Reduce risk; recovery procedures for <b>important</b> records included in Business Continuity Plan)
	High	7 (Protect <b>vital</b> records; recovery procedures included in Business Continuity Plan)	8 (Reduce risk where possible; protect <b>vital</b> records; recovery procedures included in Business Continuity Plan)	9 (Reduce risk; protect <b>vital</b> records; recovery procedures included in Business Continuity Plan)

4. Below are some examples of Risk Assessments carried out within the City of Medicine Hat:

Vital Record Type	Probability of Loss or Damage	Impact of Loss or Damage	Risks Score	Potential Risk
Legal Case Files	Low	Medium	4	<ul style="list-style-type: none"> <li>• FIRE</li> <li>• Theft</li> </ul>
Risk Reduction	<ul style="list-style-type: none"> <li>• Files are scanned once they are closed and saved into SIRE.</li> <li>• Paper files are kept in a secure room. Electronic files in SIRE have security place on them to limit access.</li> </ul>			

Vital Record Type	Probability of Loss or Damage	Impact of Loss or Damage	Risks Score	Potential Risk
City Bylaws	Low	High	7	<ul style="list-style-type: none"><li>• FIRE</li><li>• Theft</li></ul>
Risk Reduction	<ul style="list-style-type: none"><li>• Bylaws are scanned once completed and saved into SIRE.</li><li>• Original Bylaws are kept in a secure room.</li></ul>			





## Schedule C Appendix 3

### Records Management Manual

### Vital Records Inventory Worksheet - SAMPLE

DEPARTMENT									
Prepared by			Date Prepared		Approved by			Date Approved	
Records Manager Signature									
Record Series Name	Vital Record Class	Record Description	Original File Location	Reference Activity	Duplicate? If so, where? (be specific)	Volume on Site	Format	Electronic System Name	VR Contact Person & Phone
City Bylaws	Vital B	Official Council approved bylaws.	City Clerk Vault 2 <sup>nd</sup> Floor	Medium	L:/shared/cclk/bylaws	10 binders	Paper & Electronic (now in SIRE)	SIRE	Angela Cruickshank
Cemetery Register	Vital B	Location of interred	Parks	High	Room #__ in Parks Bldg.	3 filing cabinets	Paper electronic, microfiche		Tim Sterkenberg
Employee File	Vital A	Employee Personnel records	HR building	High	Most are paper, copies in dept.	4 – 3 drawer filing cabinets	Paper	OASIS, shared drive	James Will

#### Worksheet Explanation:

**Record Series Name** – the name of any large collection of records that are the same and fall within the definition of a vital record (see below).

**Vital Record Class** – the class assigned by the records management department based on research and emergency management criteria.

**Original File Location** – the location of the physical document that is considered the original document.

**Reference Activity** – indicate the frequency that the records are accessed (high=daily, medium=1-3 times per month, low=very infrequently).

**Duplicate? If so, where?** – indicate if there is a duplicate that would help reconstruct the document and where is it located.

**Volume on Site** – provide details on number of file drawers, boxes, binders, that are nearby etc.

**Format** – list all formats of the documents including, CD ROM, microfiche, paper, etc.

**Electronic System Name** – list the software/program used if electronic.

**VR Contact Person & Phone** – provide contact name and phone number of the person responsible for the record (not necessarily the custodian).

***Vital Record Definition - Records that are essential to resume or to continue the operations of an organization after a disaster, emergency, or loss of information; those necessary to recreate the corporation's legal and financial position.***

**Vital A** – Records for emergency operations    **Vital B** – Records for immediate resumption and continuation of business    **Vital C** – Records for legal and audit purposes

# Vital Records Inventory Worksheet

<b>Department</b>									
<b>Prepared By</b>			<b>Date Prepared</b>		<b>Approved By</b>		<b>Date Approved</b>		
<b>Prepared By (Print Name)</b>					<b>Approved By (print name)</b>				
<b>Record Series Name</b>	<b>Vital Records Category</b>	<b>Record Description</b>	<b>Original File Location</b>	<b>Reference Activity</b>	<b>Duplicate? If so, where? be specific</b>	<b>Volume on Site</b>	<b>Format</b>	<b>Software Name</b>	<b>VR Contact Person &amp; Phone</b>

**Vital A** – Records for emergency operations    **Vital B** – Records for immediate resumption and continuation of business    **Vital C** – Records for legal and audit purposes

## Vital Records Inventory - Information Sheet



The City of Medicine Hat's objective is to develop a **master vital records inventory** with help from departments in order to minimize exposure to risks. This would also enable us to manage the vital records and work towards a business continuity plan that would have the City of Medicine Hat better prepared to function as soon as possible after a disaster, in conjunction with Emergency Management. The first step in this process is for you to provide us with information about your "Vital Records." This will comprise a Vital Records Inventory.

***The time to implement a vital records program is before you need it!***

***Vital records are records that are essential to resume or to continue the operations of an organization after a disaster, emergency, or loss of information; those necessary to recreate the corporation's legal and financial position.***

Classification of Records The first step in the process is to classify your documents and identify the Vital Records.

The City of Medicine Hat has determined 3 categories of Vital Records:

- Vital A – Records required for emergency operations.
- Vital B – Records required for immediate resumption and continuation of business.
- Vital C – Records required for legal or audit purposes.

The City has also deemed that

- Vital A category pertains to Emergency Operating Records.
  - § Emergency Preparedness Plan
  - § Delegations of authority
  - § Security clearance roster
  - § Office evacuation blueprints and maps
  - § Copy of vital records inventory
  - § Emergency staffing assignments, list, addresses, contact nos, etc.
  - § Building plans and systems, operational manuals
  - § Inventories - equipment and records
  - § Current research & development data
  - § City programs – continuing critical functions

- Vital B and Vital C are legal and financial rights records.
  - § Fixed assets - insurance claims, etc.
  - § Employee records - documents showing the current amount due for payroll, benefits, pension, etc.
  - § Production records – engineering drawings, current inventory, specs, etc.
  - § Financial records – accounts receivable, payable, notes, loans, general ledgers, monies owed, etc.
  - § Insurance policies
  - § Ownership records - deeds, leases, titles, patents and trademarks, registration nos, capital investments, business permits, etc.
  - § Major contracts and agreements with all amendments.
  - § Corporate records - minutes, articles of incorporation, bylaws.

### Analysis of Vital Records

The analysis of Vital Records should include their location, media type, updates and accessibility. In addition it should include whether the records are paper, electronic and other media record types.

### ***Completion Instructions:***

1. For every vital record series fill in as many details as possible on the template in Appendix 4 to Schedule C of the RMM.
2. Once complete, send to [simamo@medicinehat.ca](mailto:simamo@medicinehat.ca).
3. Questions? Call the Records Manager on 8863.

## SCHEDULE D

<b>Records Management Manual</b>  <b>Scanning and Imaging Procedures and Standards</b>		City Policy Number <b>MH 0156</b>
<b>Authority:</b> CITY CLERK	<b>Effective Date:</b> November 05, 2014	Page 1 of 10

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## Appendicies

Appendix 1 – Standards for Scanning and Imaging Paper Documents

Appendix 2 – Scanner Performance Test Procedure

Appendix 3 – Scanner Quality Control Test Procedure

Appendix 4 – Scanner Performance and Quality Control Log

Appendix 5 – Scanning Outsourcing Analysis 2013

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## INTRODUCTION

**1.01 Scanning and Imaging for Paper Records.** This Schedule is issued in support of the City of Medicine Hat Records Management Policy to assist in meeting accepted standards for managing its records. It is designed to ensure that electronic images of paper source documents, where the image is intended to replace the original as the official record, are captured in a way that ensures reliability, authenticity, and usability over their entire retention period. Detailed lists of the standards appear in Appendix 1 to this Schedule.

**1.02 Electronic Records as Documentary Evidence.** The City of Medicine Hat must always be ready to produce its electronic records as evidence in legal proceedings. The City will abide by the standards as laid down in the Canadian standard 'CAN/CGSB-72.34-2005: Electronic Records as Documentary Evidence' and with the introduction of an Electronic Documents Management System (EDMS) will facilitate the City's compliance and allow for electronic documents to be presented with integrity. This system will also allow the images, or copies produced from the images, to be authenticated as true copies of the originals and to be admissible as evidence in legal proceedings.

**1.03 SIRE Capture.** SIRE, the City of Medicine Hat's EDMS utilizes the software application 'SIRE Capture' to scan and index paper documents effectively. More information on SIRE Capture can be found in Section 4 below.

## SCANNER - ADMINISTRATION

**2.01 Scanning Areas.** The City of Medicine Hat's Records Management Project will provide at least one scanner to each department for the purpose of incorporating SIRE Capture into the scanning procedures as appropriate. The scanner can only be utilized by one computer so departments will need to discuss where it is to be installed. The scanners installation will be carried out by ICS and the Records Manager.

**2.02 Scanner Settings.** The initial scanner settings will be setup by the Records Manager; this will incorporate the Quality Assurance requirements as laid down in this Schedule. The following settings will be entered into the scanner:

- Single Page – Black and White
- Single Page – Colour
- Duplex – Black and White
- Duplex – Colour

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**2.03 Department Scanner Procedures.** Each department must incorporate their new scanner and the SIRE Capture software into their existing departmental procedures, examples of areas that may need adaption are:

- The preparation for variations in the process for different document types.
- How documents are received, sorted, and incorporated into the imaging process.
- Indexing requirements, for example, know what indexes will be required for the documents.
- Ensure that all required documents/records are in fact scanned.
- Confirm that the minimum image quality (300 DPI) is always used.
- Guarantee that Quality Control of scanned images is always carried out.

**2.04 Scanner Maintenance.** Regular maintenance of scanning equipment is critical to ensure that it is operating properly and achieving optimal performance. The procedures provided by the manufacturer of the equipment must be followed at all times.

**2.05 Fault Reporting.** If the scanner does not consistently produce the required quality or does not work correctly, departments must speak directly to ICS Client Services at Ext 8102 or by email to [ICS Client Services](#).

**2.06 Other Department Scanners.** There are many different scanners deployed within departments. All scanners that are used to create electronic images that are intended to be stored in SIRE must be tested to ensure it meets the minimum standards as laid down in this Schedule. It will also ensure that the integrity of documents stored within the City's EDMS system is consistent.

**2.07 Scanner Performance Test.** On installation of a scanner the Records Manager will carry out a performance test as detailed in section 6.02 of this Schedule.



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## DOCUMENT PREPARATION

**3.01 Preparation of Original Documents.** All original records must be examined for their digitization suitability prior to the scanning process. Considerations of the physical properties and attributes of the original documents will influence the image quality. Departments should look for special features that might present challenges in the scanner process, for example:

- Multi-page document that must be kept together
- Fragile documents
- Poor quality or faint print
- Seals and watermarks
- Physical attachments such as photographs and sticky notes
- Extremely thin or thick paper
- Unusual size and/or orientation of paper.

It is recommended that each department assess their own needs and incorporates the preparation of documents prior to scanning into their own procedures to address their unique situations.

**3.02 Complex Document Preparation.** Departments that have complex or unique issues relating to the preparation of document should consult the Records Manager.

## SCAN AND CAPTURE OF PAPER RECORDS

**4.01 Capture Methods.** There are fundamentally two processes to capture paper Records and input them into the SIRE EDMS System, these are:

- 1) **SIRE Capture.Net.** SIRE Technologies provides a software package called SIRE Capture.net which utilizes the newly installed department scanner. Training on the use of SIRE Capture will be provided by the Records Management Team, this training compliments the instructions laid down in the [Capture.NET User Manual](#).
- 2) **Department Scanners.** Other department scanners can also be used to create images of records and ICS will ensure the minimum standards are applied. These records can then be imported using Capture.Net, FileCenter or WebCenter as contained in the SIRE [User Manuals](#).

**4.02 Document Batching.** Documents should normally be grouped or batched as much as possible to ensure easier management and to perform quality control. A batch may consist of a collection of many pages or just one page.

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**4.03 Image Quality.** Scanned images require quality control checks to ensure the integrity of the document prior to indexing and storage within SIRE, more information on quality control checks can be found in Section 6 of this Schedule.

**4.04 Metadata and Indexes.** Metadata (index) is structured information that describes a record to enable the management, understanding, preservation, retrieval and disposition of records. The Records Management Team is responsible for the creation of indexes (metadata) in SIRE; indexes will be provided in the system before any scanning project begins.

## DOCUMENT QUALITY CONTROL

**5.01 Quality Control Error Threshold.** The quality of images created and stored in the City's EDMS System is vital in ensuring they are legally presentable; therefore the accepted error threshold is 99.9% accurate for both image quality and indexing (1 error in 1,000).

**5.02 Quality Control during Scanning.** Each production batch of images must be examined initially by the scanner operator. Based on the examination, images found to be of poor quality may be deleted and the documents rescanned or the entire batch deleted and rescanned. Quality control checks on scanned images may be performed before they are indexed or it may be performed together with indexing depending on the needs of the particular department.

When carrying out Quality Control checks, the source paper document must be compared to the image. A sample should be selected from different parts of the batch if applicable. If a poor quality image is found, the images immediately preceding and following must also be examined.

**5.03 Quality Control Frequency.** During the initial stages of implementation of an imaging process or when a scanner operator or indexer is inexperienced, a large sample of documents (**80% or even 100%**) should be reviewed. Once users are confident in the quality and accuracy of the scanning and indexing processes, the sample size may be reduced so that only **15-20%** of images are reviewed. Unless a department's business workflow includes an inspection of each image, it is advisable to have a sample of images inspected by a second person other than the scanner operator.

**5.04 Quality Issues.** When poor quality images are found, the reviewer must determine whether the error is major (requiring rescanning) or minor (the image is acceptable as is); an isolated incident (meaning only that image needs to be rescanned) or something which might affect the entire batch (meaning the entire batch should be reviewed and perhaps rescanned). If an entire batch is to be rescanned, the reviewer should determine whether further batches should be reviewed as well. The following are definitions of Major Quality issues and Minor Quality Issues:

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1) **Major Quality Issues.** Anything which omits or renders illegible in any of the substantive content of the document must be considered major and require rescanning. The following are examples of major quality issues:

- Missing characters;
- Illegible small characters or handwriting;
- Missing lines or sections;
- Missing portions of edge of image; and
- Consistent spot or “noise” which obscures part of image.
- Multiple Minor Quality Issues

2) **Minor Quality issues.** Minor quality issues, which do not require rescanning unless extreme and/or render document or parts of it illegible, include the following:

- Slight Image skew;
- Some background noise or speckle;
- Incorrect image orientation;
- Minor contrast deficiency ;
- Loss of certain colours;

**5.05 Declaration of Quality Control Check.** When a user uploads a document into the EDMS System they are declaring that the quality control check has been completed. To ensure the City of Medicine Hat is compliant with scanning and imaging standards required for evidential submission, SIRE records the user’s name, date and time the records was uploaded into SIRE.

## PERFORMANCE AND QUALITY CONTROL MEASURES

**6.01 Initial Image Capture Test.** The Records Manager in conjunction with ICS will perform an initial image capture test and a 100% quality assurance test utilizing the Image Benchmarking set enclosed in Appendices 3 and 4 of this Schedule. These tests will also allow for adjustments to the scanner, document preparation and quality assurance requirements before records are processed, they will also become the benchmark for which all future tests will be judged.

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**6.02 Scanner Performance Tests.** It is vital that the performance of the scanner does not compromise the integrity of the scanned image and that it is performing consistently to the required standard. To that end, a Scanning Performance Test should be carried out when a scanner is first installed and then annually thereafter, or in the following circumstances:

- Continuous use for 5 days.
- After approximately 10,000 documents have been scanned.
- Scanner is moved.
- Scanner is serviced
- New software is loaded.

The Scanner Performance test must be carried out on all scanners that are utilized in the creation of electronic records which are subsequently stored in the City's EDMS System. Each department Scanner must have its own Scanner Performance and Quality Control Log where the results of test scans must be recorded, see paragraph 6.04 for more information. Instructions on how to complete a Scanner Performance test are located in Appendix 2 to this Schedule.

**6.03 Quality Control Test.** The Records Management Team has assembled a sample set of documents that are to be scanned as part of the Quality Checks. The sample set will be used initially to determine the scanner settings which produce images of acceptable quality and then used periodically to check that the scanner is working to the acceptable standard.

Quality Control Tests should be carried out when a scanner is first installed and then annually from this date, or in the following circumstances:

- Scanner is moved.
- Scanner is serviced
- New software is loaded.

Images should be test printed after being scanned to see the quality of copies that will come out of the system. Record all scanning events in the Scanner Performance Quality Log. The scanner settings and the characteristics of the monitor and printer used to examine the images must also be documented, particularly if the scanner moves to different locations. Once an acceptable set of images has been produced from the sample set, the images and the printouts of the images must be saved for future reference. Instructions on how to complete a Quality Control test are located in Appendix 3 to this Schedule.

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**6.04 Scanner Performance and Quality Control Log.** The results of all scanner performance tests and Quality Control Test must be recorded in the Scanner Performance Quality Control Log (Appendix 4); this log will record the date of inspection, the scanner operator's name, scanner settings, documents tested, and the results. This log provides evidence that Quality Assurance procedures are being followed and allows a scanner operator to spot developing problems.

## RETENTION OF PAPER RECORDS POST SCANNING

**7.01 Quality Control.** The paper source documents must be retained until all quality control checks and any necessary retakes or corrections have been completed, and the images have been saved into the City's EDMS System.

**7.02 Disposition.** Each department must document procedures relating to the storage and destruction of paper source documents, including instructions for managing source documents which will be kept or returned rather than destroyed.

1) **Retention.** In some cases, it may be necessary to retain paper source documents, for example, the source document is particularly valuable (e.g., City incorporation document) which could never be replaced; or if a paper source document was of such poor quality that a legible image could not be made. In addition there may be other laws of evidence, other laws, regulations, by-laws, policies, preservation or business requirements might continue to require the retention of the original paper source records.

2) **Destruction.** The electronic image is not considered to be the official record if the source paper document still exists. Original paper sources records can be disposed of if there is a City bylaw or policy directive in place outlining the imaging records management procedure. The RMM is the authority for this. **It is important that before any source documents are destroyed quality control procedures must be successfully completed. The Certificate of disposal of source records must be completed and the appropriate back up procedures have been completed (please wait at least 24 hours before the destruction of documents due to Server overnight Backups).**

3) **Electronic Records Admissibility in Legal Proceedings.** Electronic records, including electronic images, are considered admissible in legal proceedings if the electronic management system in which an electronic record is recorded or stored has integrity. The classification, protection and retention of documents stored in the City's EDMS System ensure that we meet these criteria.

4) **Certificate of Disposal of Source Records.** Most provisions within the Evidence Act requires proof that the source record was disposed. Destruction of paper source

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documents must be authorized by the General Manager or representative and a record (destruction certificate) must be kept of the destruction. The Records Disposition Program, Schedule B of the Records Management Manual (RMM) explains how to carry out this process.

## OUTSOURCED SCANNING

8.01 If a department contracts out all or part of its imaging requirements, the service provider must first demonstrate compliance with CAN/CGSB-72.11-93 - Microfilm and Electronic Images as Documentary Evidence. An outsourcing analysis was carried out in 2013 by the Records Management Team and is available for departments to view at Appendix 5 to this Schedule.

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## SCANNING RESPONSIBILITY MATRIX

TIMEFRAME	RESPONSIBLE GROUP	TASK
<b>Install</b>	<b>ICS</b>	ICS installs the scanner at your location.
<b>Initial Setup</b>	<b>RM Team</b>	RM Team sets up scanner settings to ensure compliance with legislation.
<b>Initial Setup</b>	<b>RM Team</b>	RM Team sets up the Image Capture Test Sample set and Scanner Folder.
<b>Initial Setup</b>	<b>RM Team</b>	<p>The RM Team carries out the following test:</p> <ul style="list-style-type: none"> <li>• Scanner Performance Test</li> <li>• Quality Control Test</li> </ul>
<b>Post Scanning Documents</b>	<b>Department</b>	Scanned documents must only be destroyed in accordance with City and department policy. A minimum period of 24 hours must be adhered to after scanning to ensure a backup of the electronic records has been completed by the SIRE server.
<b>Annually</b>	<b>RM Team</b>	<p>The department must carry out the following tests annually:</p> <ul style="list-style-type: none"> <li>• Scanner Performance Test</li> <li>• Quality Control Test</li> </ul>
<b>Scanner: Move Serviced Upgrades</b>	<b>RM Team</b>	<p>The department must inform the Records Manager if a scanner is moved, serviced or upgraded. The following tests must be completed:</p> <ul style="list-style-type: none"> <li>• Scanner Performance Test</li> <li>• Quality Control Test</li> </ul>





## **STANDARDS FOR SCANNING AND IMAGING PAPER DOCUMENTS**

**Scanning Outsourcing.** If a department contracts out all or part of its imaging requirements, the service provider must first demonstrate compliance with CAN/CGSB-72.11-93 Microfilm and Electronic Images as Documentary Evidence.

**Legal.** Before starting scanning on a large scale, consider whether records need to remain in paper form for legal reasons such as the need for preserving original signatures. In many cases, electronic records are considered equivalent to paper ones for legal purposes (Canadian General Standards Board “**Microfilm and Electronic Images as Documentary Evidence**” (CAN/CGSB-72.11-93). In order for electronic records to be considered admissible as documentary evidence they must:

- 1) Have been imaged in the normal and ordinary course of business.
- 2) Have been imaged as part of an established and formalized imaging program with appropriate quality assurance, system audit, and compliance monitoring measures.
- 3) Have been used and relied upon for normal business purposes.

**Records Management.** Scanned records are subject to the retention and disposition rules laid out in the City of Medicine Hat Classification and Retention Schedule (CMH-CRS). The records to be scanned should be organized by file plan for indexing, post scanning storage or destruction processes.

Once a record has been scanned, there will be two records to manage unless there is a disposition policy in place. If both paper and electronic copies are to be retained as official records, they will be governed by CMH-CRS and both paper and electronic copies must both be disposed of according to the CMH-CRS at the same time.

If the original paper records are **not** to be kept, make sure all legal issues are addressed before following the Records Disposition Program.

**Information and Computer Services (ICS).** In order for records to remain authoritative and useable, they must remain readable and accessible for the entire retention period of the record as determined by the CMH-CRS. This means that imaged records must be migrated through software and hardware changes to prevent obsolescence. There will be costs associated with migration. The General Manager in each department is responsible to manage the migration costs for their electronic records.

**Archives.** If the CMH-CRS calls for records to be transferred to City of Medicine Hat Archives, at the end of their operational life, consult with appropriate archives staff before starting any scanning project to ensure that digital and paper images can be transferred and preserved properly.

**Canadian Legal Evidentiary Requirements.** In Canada and Alberta, the integrity of electronic records management systems, working in the usual and ordinary course of business, is governed by a mix of legislation and caselaw. A cornerstone of the law of evidence is that only relevant and truthful evidence is admitted into court. These are the primary legislative authorities:

### **Alberta Evidence Act**

This Act provides rules on admissibility of records in court proceedings. Modifications were made to the Alberta Evidence Act to accommodate electronic evidence. Admissibility and weight of electronic records are the two issues that the Act addresses.

### **Electronic Transactions Act**

This Act provides legal recognition of information and records in electronic form, allows for the provincial/municipal governments and the private sector to conduct business electronically based on consent of the parties, sets out conditions related to electronic signatures, and permits electronic activities related to contracts. The Electronic Transaction Act has a provision for electronic records and allows the electronic records to be used as official records. It also permits the destruction of the source records.

### **Canadian General Standards Board**

#### ***CAN/CGSB-72.11-93 Microfilm and Electronic Images Documentary Evidence Standard.***

This standard provides rules and guidelines for organizations to establish and operate a credible image management program with the ability to demonstrate that the resulting captured images are accurate reproductions of source records.

This standard provides guidelines for the capture of images of business source records and the secure storage of those images. In order to maximize the probability of admissibility and weight given to business records as evidence, this standard recommends that they be stored in secure storage. Because computer output to microfilm (COM) is considered by many to be a source record, many of the certification requirements will not be necessary. When microform systems are used which allow images to be erased, special procedures and/or affidavits that are not described in this standard may be necessary to safeguard the system's integrity and the admissibility and credibility of its records. In these circumstances, specific legal advice should be obtained.

This standard does not describe the processing methods and the technical requirements necessary to apply the rules and quality control guidelines specified in this standard.

## ***CAN/CGSB-72.34-2005 Electronic Records as Documentary Evidence***

This standard applies to those who receive, create, capture, maintain, use, store or dispose of records electronically. This standard applies to private and public sector activities of persons irrespective of whether such activities are undertaken on a for-profit or not-for-profit basis.

This standard is intended for use by those who want to ensure that the recorded information (electronic records and transactions) in their IT Systems is trustworthy, reliable and recognized as authentic. Typical users include:

- Managers of private and public sector organizations;
- IT Systems and records management system (RMS) professionals;
- All other personnel in organizations, including those responsible for security services and risk management; and
- Legal professionals and other persons responsible for creating and maintaining records.

This standard provides principles for developing policies, procedures, practices and documentation for the integrity and authenticity of electronically recorded information to:

- Ensure that electronic records can reliably support business decisions and exchanges of commitments;
- Enhance the admissibility and the weight of electronic records in a court of law, a tribunal or an inquiry; and
- Protect the value of electronic records in documenting the content and accountability for decisions and transactions.

This standard also defines best practices for electronic storage of business or other recorded information. Therefore, organizations conforming to its recommendations benefit even when evidentiary issues are not relevant. In addition, this standard provides guidelines for:

- Records management supporting a quality process framework; and
- Identifying and implementing appropriate measures to protect the evidentiary value of electronic records, including their incorporation within systems design and management processes.

This standard provides specific details for the creation and management of computer generated records including imaged or scanned electronic records. The objective of this standard is to establish an environment which, if applied correctly, will help to ensure electronic records will be admissible in legal proceedings.

The Canadian national standard on electronic evidence<sup>i</sup> defines “source record”<sup>ii</sup> and states that source records can be disposed of once their electronic forms

have been stored in a secure records management environment.<sup>iii</sup> It also states that other policies or business requirements may require the source record be retained for a specific period of time. For the City of Medicine Hat, such policies are embodied in the CMH-CRS, Records Management Policy and Records Management Bylaw.

### **Freedom of Information and Protection of Privacy Act**

This legislation allows the public to access government information. Imaged records are subject to this legislation and processes need to be established to enable the disclosure and correction of information. This legislation also requires the protection of personal information. Access to this information must be restricted to the people who need it to perform a specific function.

### **ISO Standards for Scanning and Imaging of Records**

**ISO 16175-2:2011** Information and documentation—Principles and functional requirements for records in electronic office environments—Part 2 Guidelines and functional requirements for digital records management systems.

**ISO/TR 15801:2009** Document management – Information stored electronically – Recommendations for trustworthiness and reliability.

**ISO 15489-1:2001** Information and Documentation – Records Management – Part 1 – General

**ISO 15489-2:2001** Information and Documentation – Records Management – Part 2 – Guidelines

**ISO 12653-1:2000** Electronic Imaging – Test target for the black and white scanning of office documents – Part 1 – Characteristics

**ISO 12653-2:2000** Electronic Imaging – Test target for the black and white scanning of office documents – Part 2 – Method of Use.

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<sup>i</sup> Canadian General Standards Board. *Electronic Records as Documentary Evidence* (CAN/CGSB-72.34-2005).

<sup>ii</sup> *Ibid*, pg. 13: “source record-a record containing information or data entered into an RMS (records management system)”.

<sup>iii</sup> *Ibid*, pg. 14: 5.1 General “b) Original paper source records can be disposed of once their electronic form is stored in a secure records management environment.”

## Scanner Performance Test Procedure

It is important that we check the scanner settings are set to the minimum required for the capture of images for the purpose of using them as Official Records, these settings will ensure the City is compliant with legislation.

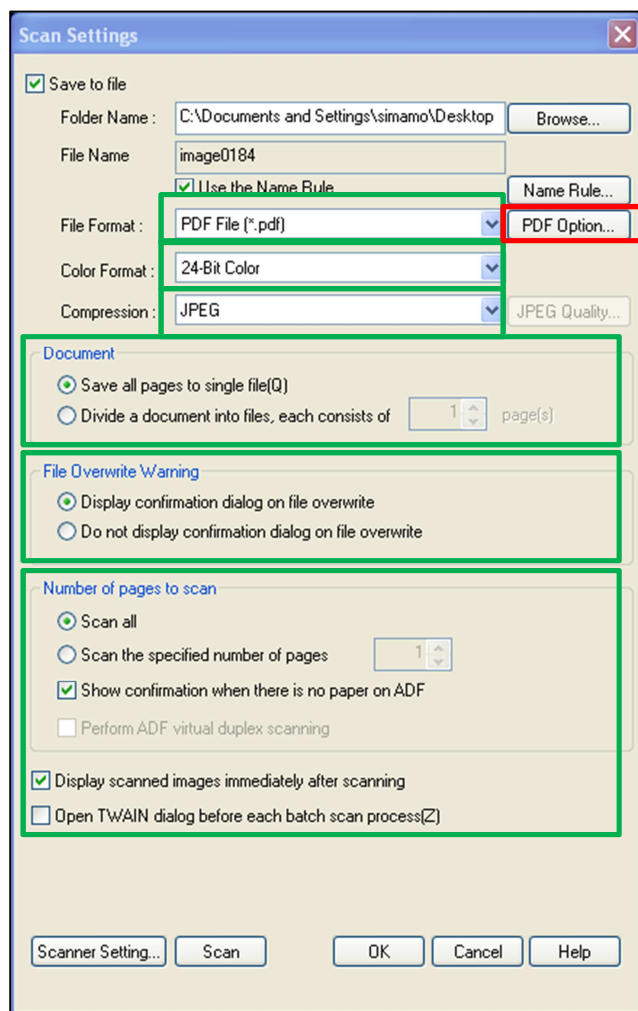
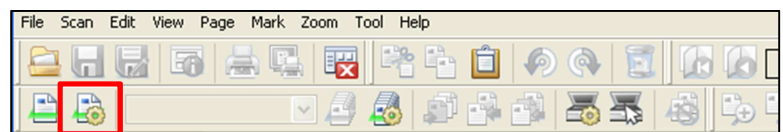
### Step 1

Open the Scanner program 'ScandAll Pro' by double clicking on the icon on your desktop or by using the link at Start\All Programs\Fujitsu ScandAll Pro\ScandAll Pro



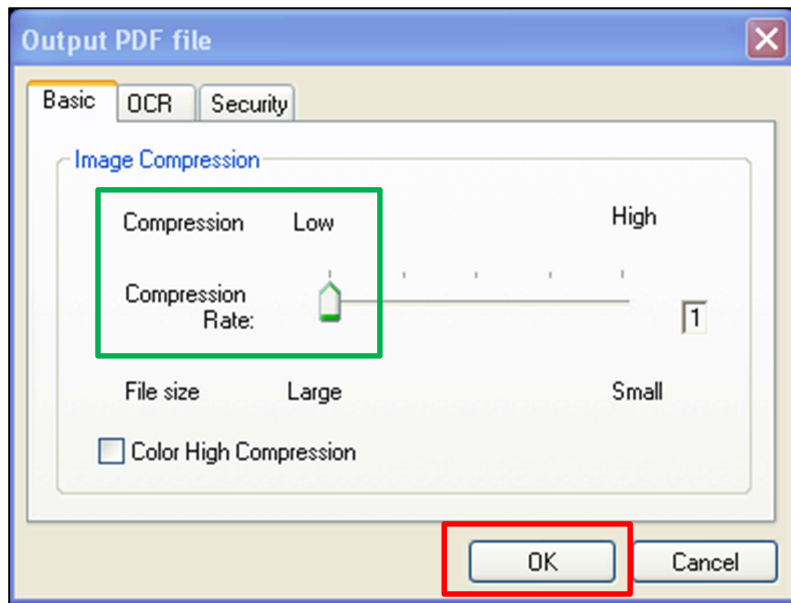
### Step 2

Click the 'Scan Settings' icon on the Toolbar. Ensure the settings match those listed below, when finished click on the PDF Option Button:



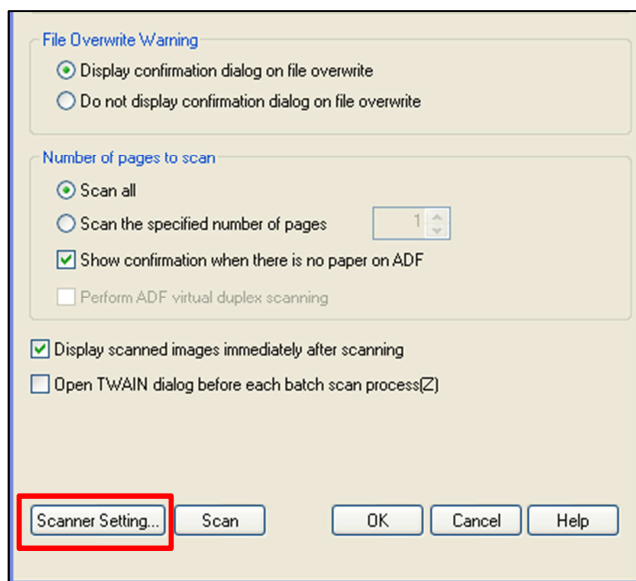
### Step 3

When the PDF Options appear ensure the compression level is set to low, then click on OK to return to the Scan Settings Window.



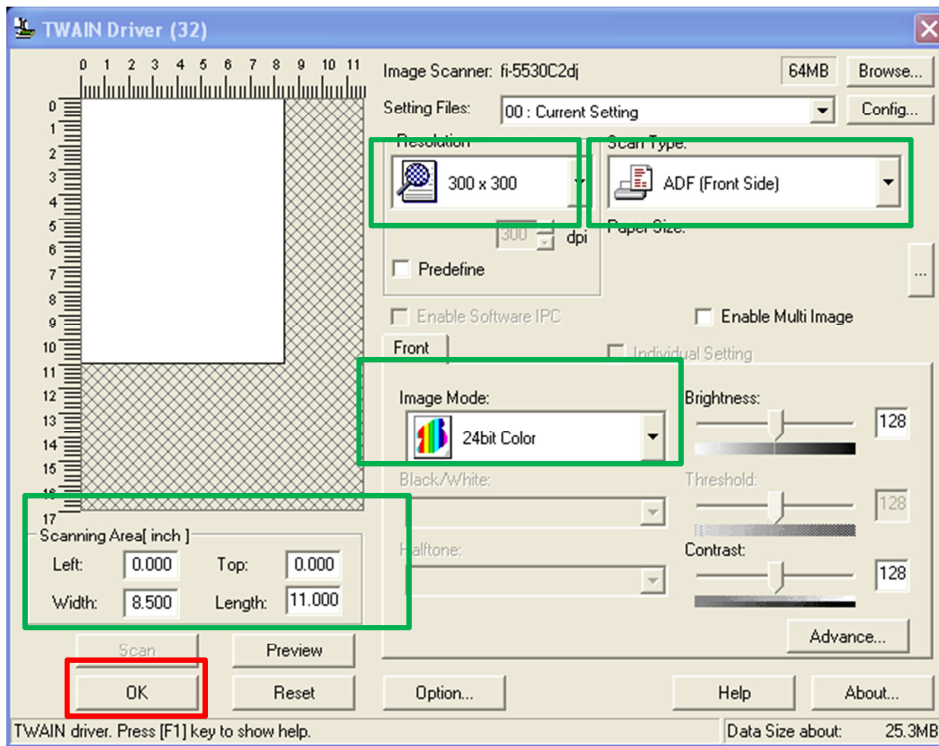
### Step 4

Click on the 'Scanner Setting' button:



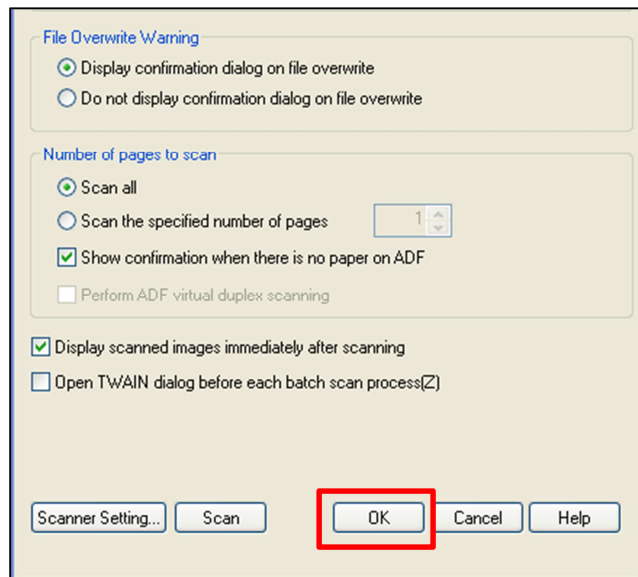
## Step 5

Ensure the settings mirror those shown below, once complete click OK to finish:



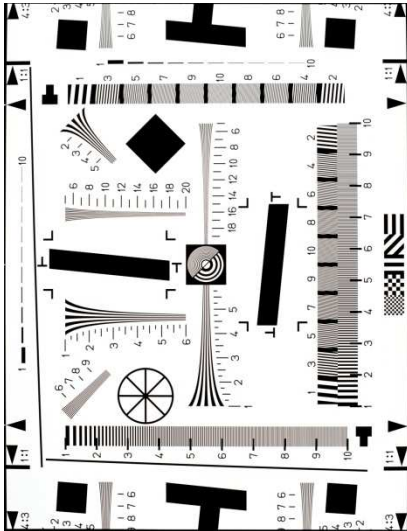
## Step 6

Exit the Scan Settings Options by click the 'OK' button:



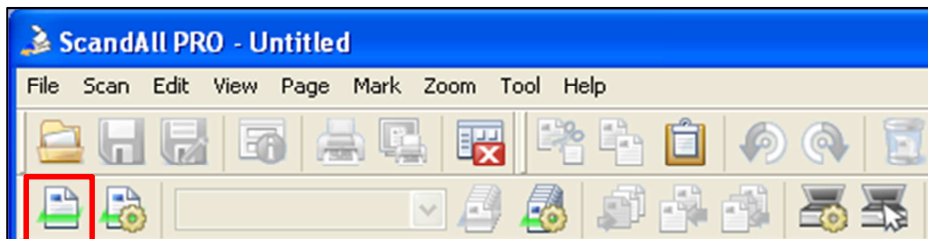
## Step 7

Load the **Original** Scanner Performance Sample Document provided, into the scanner:

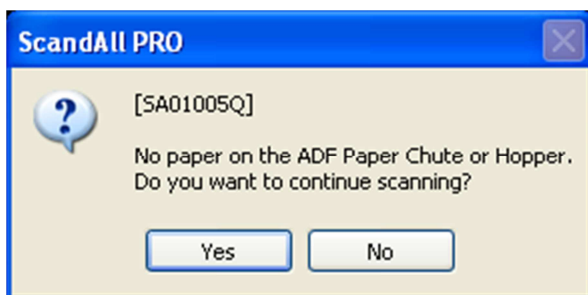


## Step 8

Click the Scan button on the Toolbar:



The scanner should now scan the **Original Sample** document and a pop-up message should appear:



Reload the Sample Document and click YES.

Repeat one more time and then click NO. You should now see the 'ScandAll Pro' program convert the scanned documents and save them to your computer as a PDF.

## Step 9

Open the newly created PDF document and print the three pages on single pages.



### **Step 10**

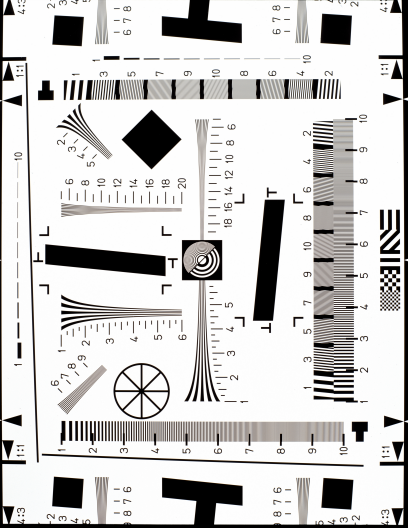
It is vital that the performance of the scanner does not compromise the integrity of the scanned image and that it is performing consistently to the required standard. Examine the printed pages to ensure the following criteria are met:

- The three pages produced are of the same Quality and the shading of the boxes does not differ.
- There should not be any breaks or distortion to lines.
- Characters should be readable clearly visible and the same on each document.

If the scanner does not consistently produce the required performance quality, it must be reported to the RM Team so a service can be arranged.

### **Step 11**

Add the Performance Test sheets to the Scanner folder and complete an Entry in the Performance and Quality Control Log.



## Scanner Quality Control Test Procedure

It is important that we check that the scanner settings are set to the minimum required for the capture of images for the purpose of using them as Official Records, these settings will ensure the City is compliant with current legislation.

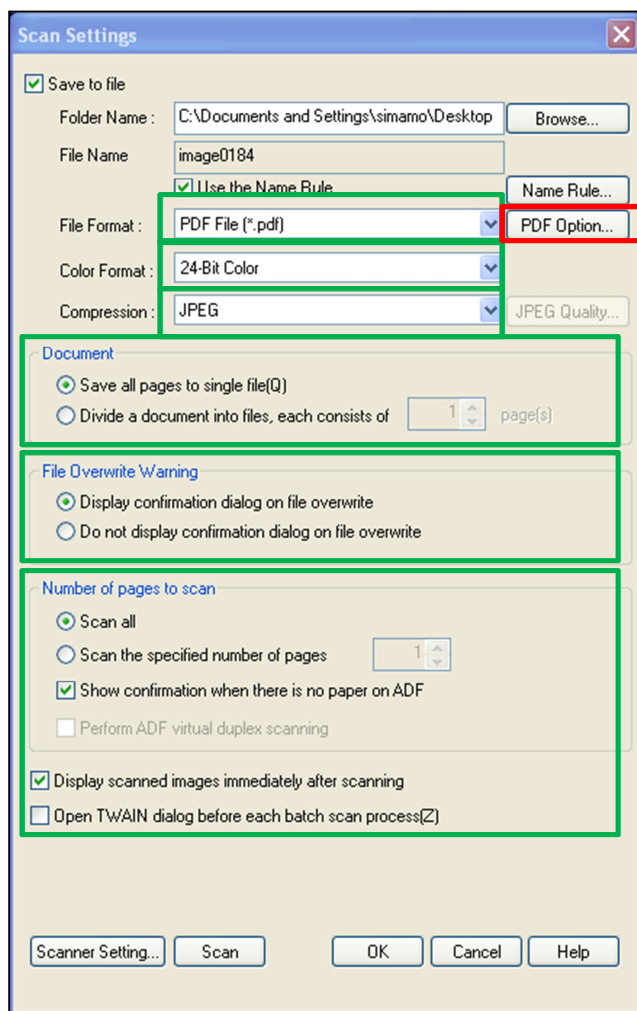
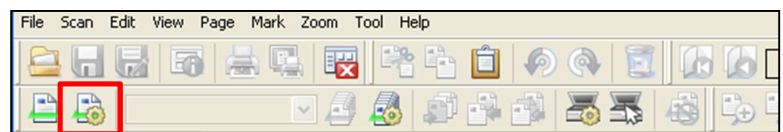
### Step 1

Open the Scanner program 'ScandAll Pro' by double clicking on the icon on your desktop or by using the link at Start\All Programs\Fujitsu ScandAll Pro\ScandAll Pro



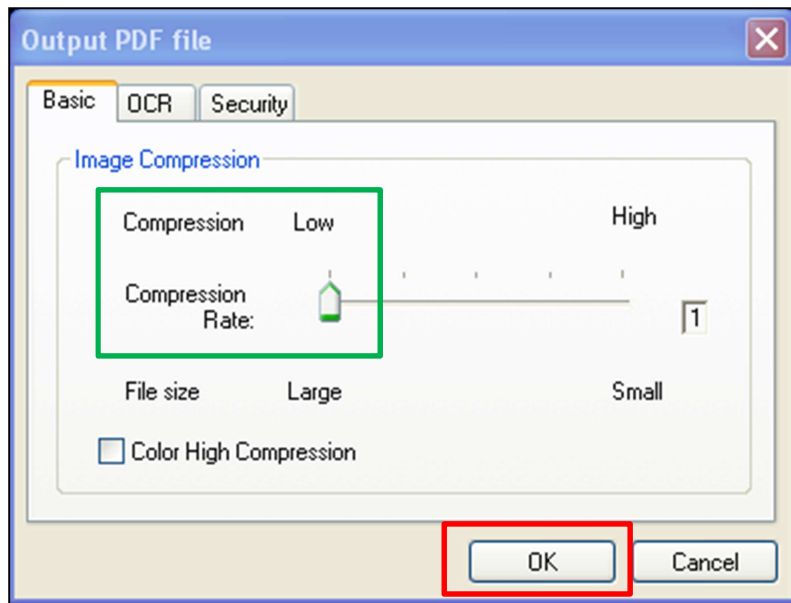
### Step 2

Click the 'Scan Settings' icon on the Toolbar. Ensure the settings match those listed below, when finished click on the PDF Option Button:



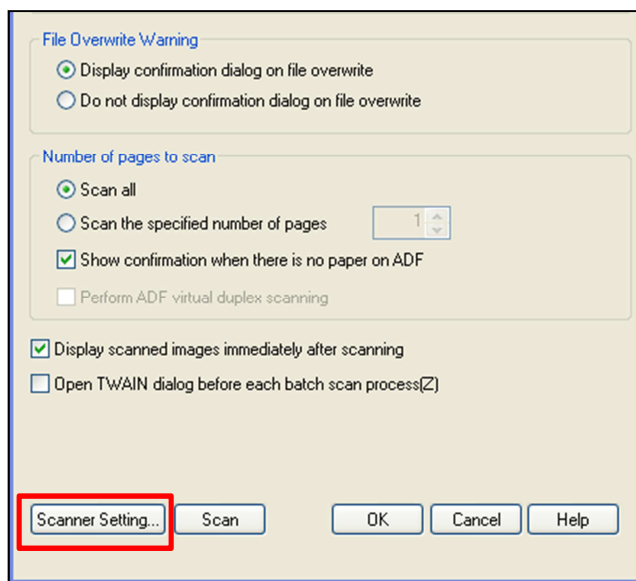
### Step 3

When the PDF Options appear ensure the compression level is set to low, then click on OK to return to the Scan Settings Window.



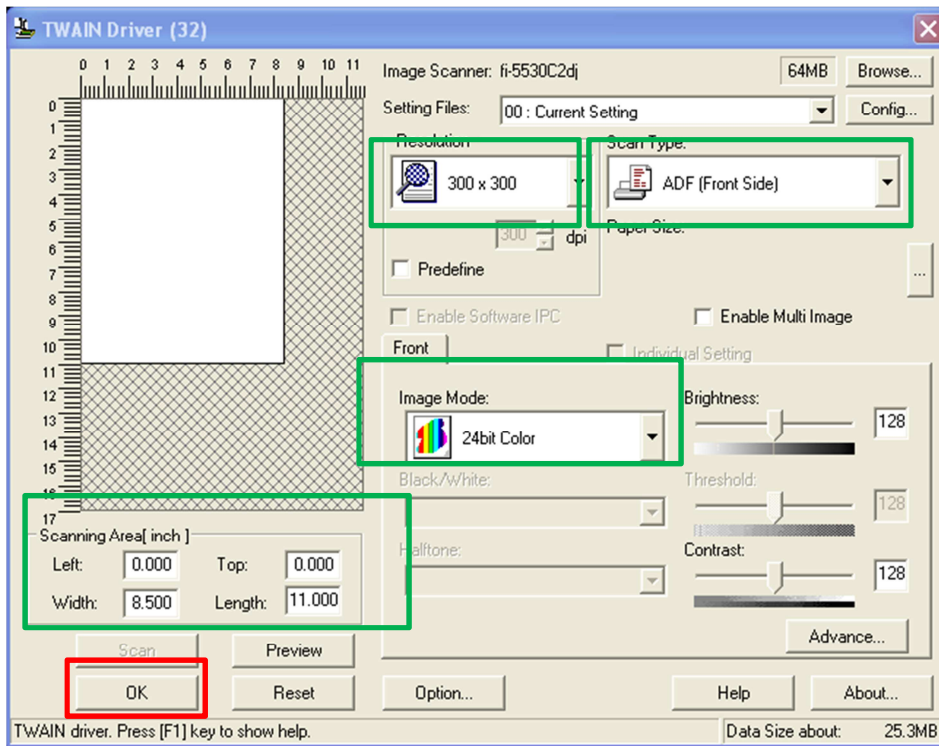
### Step 4

Click on the 'Scanner Setting' button:



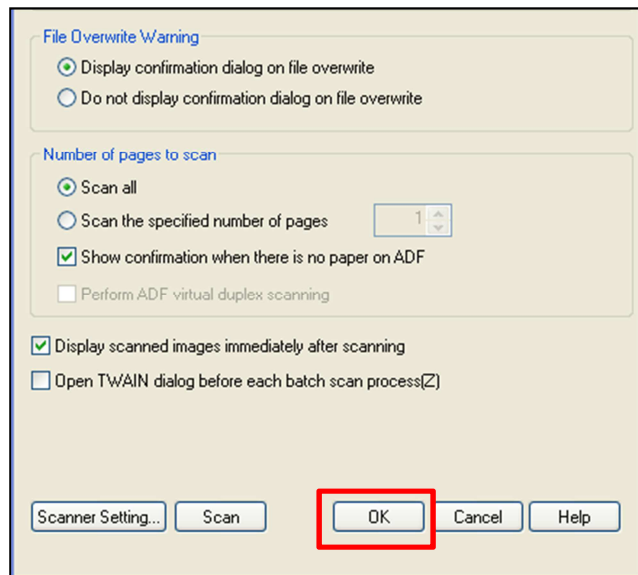
## Step 5

Ensure the settings mirror those shown below, once complete click OK to finish:



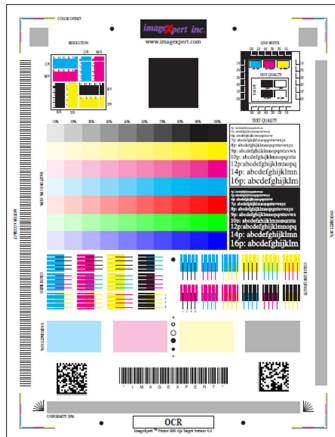
## Step 6

Exit the Scan Settings Options by click the 'OK' button:



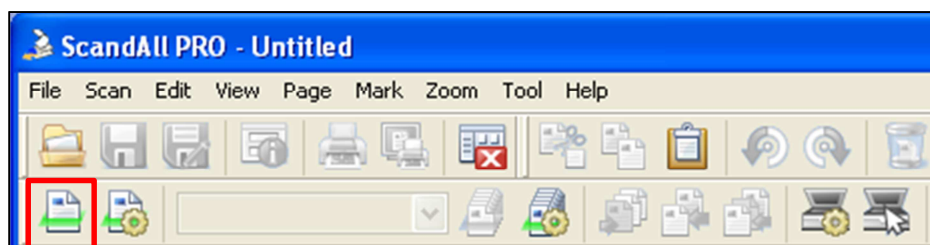
## Step 7

Load the **Original** Quality Control Sample Document provided, into the scanner:

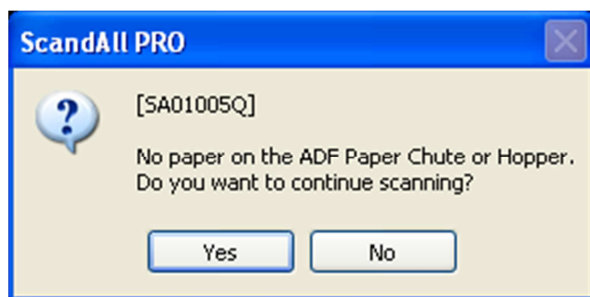


## Step 8

Click the Scan button on the Toolbar:



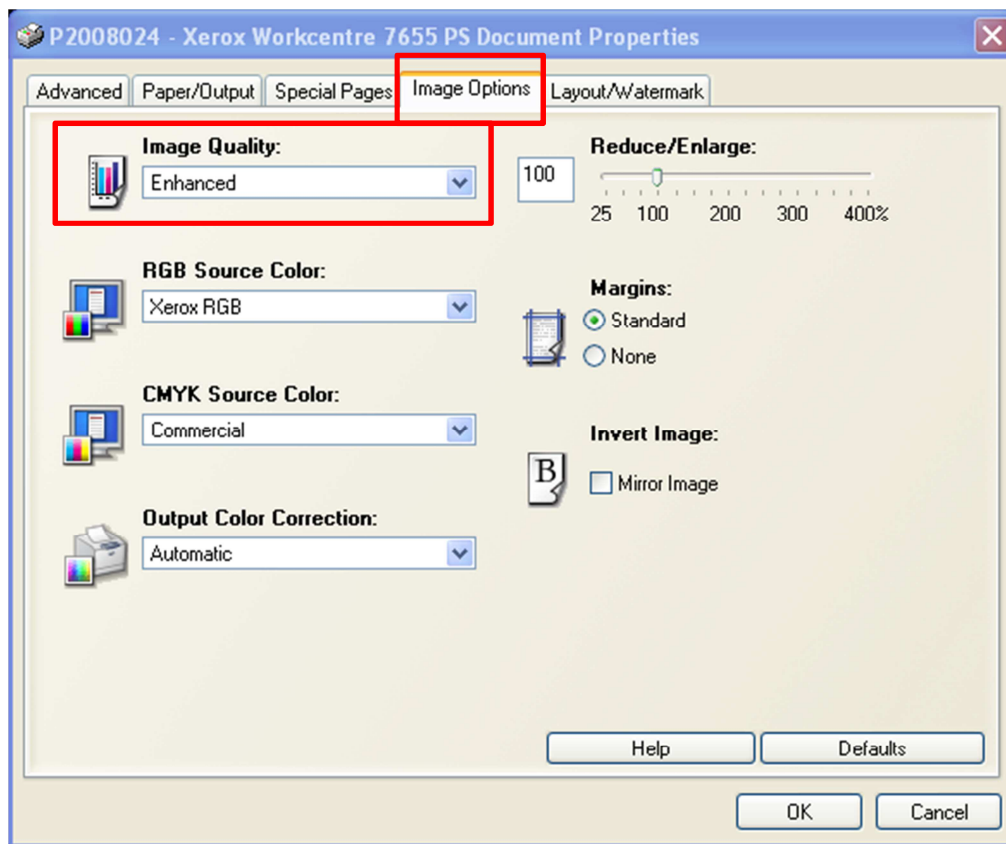
The scanner should now scan the **Original Sample** document and a pop-up message should appear:



Click NO, you should now see the 'ScandAll Pro' program convert the scanned image and save it to your computer as a PDF.

## Step 9

Open the newly created PDF document and print using the highest quality level on a Xerox Workcentre Printer. This requires the user to enter the Properties of the Printer, select Image Options and the change the Image Quality from Standard to Enhanced:



## Step 8

It is vital that the scanner does not compromise the integrity of the scanned image and that the quality matches the minimum required standard. Examine the printed page to ensure the following criteria are met:

- Compare your scanned image with the original to ensure they are of the same Quality and the colour and shading of the boxes does not differ.
- There should not be any breaks or distortion to lines.
- Characters should be readable clearly visible and the same on each document.

If the scanner does not consistently produce the required quality, it must be reported to the RM Team so that a service for the scanner can be arranged.

## Step 9

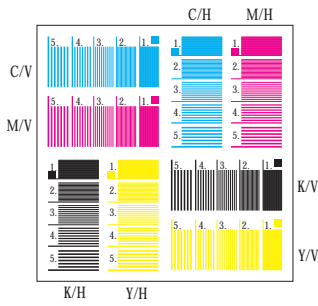
Add the Quality Control Test sheet to the Scanner folder and complete an Entry in the Performance and Quality Control Log.

COLOR OFFSET

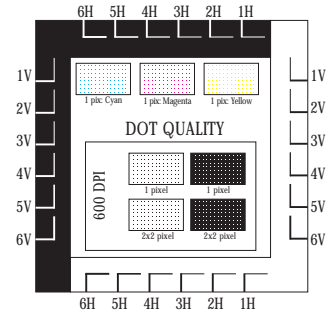
imageXpert inc.

www.imagexpert.com

RESOLUTION



LINE WIDTH

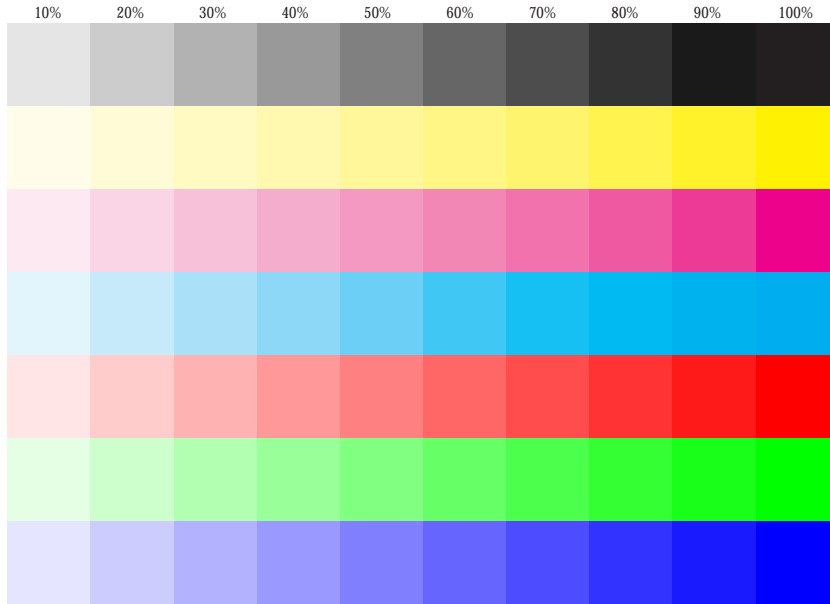


TEXT QUALITY

4p: abcdefghijklmnopqrstuvwxyz  
5p: abcdefghijklmnopqrstuvwxyz  
6p: abcdefghijklmnopqrstuvwxyz  
7p: abcdefghijklmnopqrstuvwxyz  
8p: abcdefghijklmnopqrstuvwxyz  
9p: abcdefghijklmnopqrstuvwxyz  
10p: abcdefghijklmnopqrstu  
12p: abcdefghijklmnopq  
14p: abcdefghijklmn  
16p: abcdefghijklm

4p: abcdefghijklmnopqrstuvwxyz  
5p: abcdefghijklmnopqrstuvwxyz  
6p: abcdefghijklmnopqrstuvwxyz  
7p: abcdefghijklmnopqrstuvwxyz  
8p: abcdefghijklmnopqrstuvwxyz  
9p: abcdefghijklmnopqrstuvwxyz  
10p: abcdefghijklmnopqrstu  
12p: abcdefghijklmnopq  
14p: abcdefghijklmn  
16p: abcdefghijklm

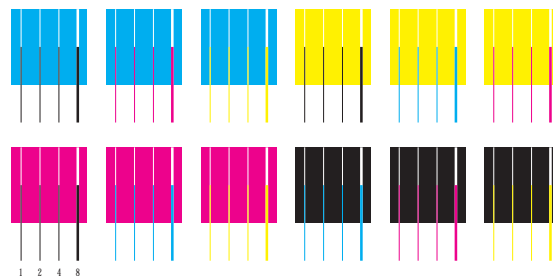
HALFTONE 10%-100%



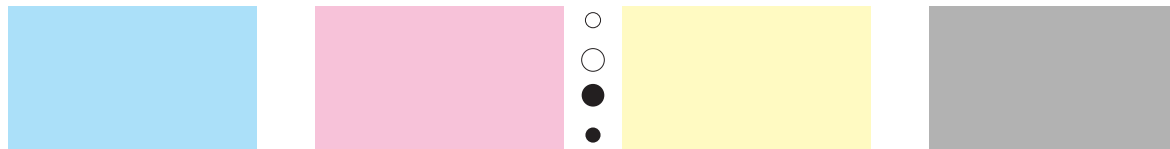
COLOR BLEED



COLOR LINE QUALITY



UNIFORMITY 30%



\* I M A G E X P E R T \*



UNIFORMITY 30%

OCR

ImageXpert™ Printer 600 dpi Target Version 4.0



**SCANNER PERFORMANCE AND QUALITY CONTROL LOG**

Date	Test Type (Quality or Performance)	Scanner Inspector Name	Test Result <sup>1</sup>	Comments <sup>2</sup>	Records Management Auditors Initials

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<sup>1</sup> After checking the test results the inspector is to enter either Pass or Fail.

<sup>2</sup> Include the findings of any failed tests and the course of action taken.



**SCANNING OUTSOURCING ANALYSIS EXAMPLE 2013**

**SCANNING COSTS ANALYSIS - HUMAN RESOURCES EMPLOYEE FILES**

**Employee File Criteria**

Number of Files	Total Pages	Avg Docs in File
<b>2400</b>	<b>186000</b>	<b>77.5</b>

**External**

			Timeline
<b>IDOCZ</b>	Calgary	<b>\$ 29,760.00</b>	6 WEEKS
<b>CRITICAL CONTROL</b>	Edmonton	<b>\$ 25,443.00</b>	3 MONTHS
<b>CALGARY ARCHIVES</b>	Calgary	<b>\$ 22,711.50</b>	8 WEEKS
<b>IRON MOUNTAIN</b>	Calgary	<b>\$ 30,000.00</b>	?

*Need to cost courier services. This price does not include indexing.*

**Internal**

Estimated number of files that could be processed in one day	10	15	
Number of days to process 2400 files	240	160	
Number of Weeks to process 2400 files	48	32	WEEKS

**COST TO SCAN INTERNALLY:** **\$ 38,036.40** **\$ 25,357.60**

Wage cost for scanning 7.25 hours @21.86 per hour (includes benefit costs)

Cost per page based on 186,000 pages in total **\$ 0.20** **\$ 0.14**

*\*assumption-we are using existing equipment*

*\*this does include prep work for file before scanning*

*\*based on one document scanning clerk*



## Schedule E

Records Management Policy Manual <b>Compliance and Audit Plan</b>		City Policy Number <b>MH 0156</b>
Authority: CITY CLERK	Effective Date: November 05, 2014	Page 1 of 5

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## References

- Appendix 1: Organization Records Management Audit  
Appendix 2: Departmental Records Management Audit

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## INTRODUCTION

**1.01 Audit Definition.** Audits quantify the desired outcomes and test them against actual outcomes to determine if the organization is meeting its goals.

**1.02 Audit Function.** Audits identify weaknesses or gaps in business processes themselves or in their performance. Based on this information, the City of Medicine Hat can strengthen processes and documentation to improve programs and business processes. Generally, the audit's function ensures the City of Medicine Hat is following its internal standards and practices. Records Management Audits provide:

- Compliance with regulatory or oversight bodies.
- Provides proof to external auditors, regulatory agencies, and courts that the City is following its internal standards and practices.
- Shows the City's recordkeeping is legally defensible.
- Contributes to improved business processes within records management and the business units responsible for the records.
- Prepares the City for any external audit scenario.

To achieve compliance the City of Medicine Hat should perform records management audits in the following areas:

- Implementation of Records Management Procedures/Policy
- Policy and Records Management
- Records Management Planning
- Staff resources in Records Management
- Review and Monitor of Records Management

## RECORDS MANAGEMENT AUDIT

**2.01 Implementation.** Successful implementation of policies, procedures and plans for records management is vital. These must be implemented systematically throughout the organization through the deployment of recordkeeping systems, records management processes and tools, services and training. Implementation should align records management processes with business processes so that they support effective business operations. An understanding of organizational culture and attitudes towards recordkeeping and staff training can assist in the successful implementation of a records management program. Compliance Measures:

- a) Records are made, captured and maintained in official recordkeeping systems in accordance with legal, regulatory and business needs.

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- b) Business systems meet identified requirements for making and maintaining records.
- c) Current retention and disposal authorization is in place for all records, regardless of format, of the Public body.
- d) Records are disposed of in accordance with authorized retention and disposal authorities and appropriate processes.
- e) Staff is trained in recordkeeping practices and procedures, and training is appropriate to their positions.
- f) Staff use official recordkeeping systems and services and have access to appropriate advice.

**2.02 Policy and Records Management.** Policy is essential for directing how records will be managed in the City of Medicine Hat. Policy establishes how records are created, captured, maintained and disposed of in accordance with the legal, regulatory and business needs. It informs everyone of the place of records management, both strategically and operationally. Records management policy must be reviewed regularly to take account of changing business activities and priorities and to ensure that the records management program continues to fully support business needs. Policy Measures:

- a) Records Management is directed by policy approved by council.
- b) Policy statements direct that records are made, captured, maintained and disposed of in accordance with the legal, regulatory and business needs of the organization.
- c) Policy defines the responsibilities of all personnel who manage records or carry out recordkeeping activities.

**2.03 Records Management Planning.** Records management planning ensures that records are made, captured, maintained and disposed of in accordance with City of Medicine Hat policy and that the appropriate infrastructure is in place to support this. Objectives and performance targets for both the long term and the day to day activity of the program are essential parts of records management planning. These performance targets and objectives should support compliance with legal, regulatory and business needs. Planning Measures:

- a) Long and short term records management goals are identified and documented in the planning mechanisms of the Public body.

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- b) Adequate resources are allocated to achieve long and short term records management goals.

**2.04 Staff Resources in Records Management.** Access to skilled people is critical to the success of a records management program. Overall responsibility for the records management program should be assigned to a senior manager with organization-wide influence and appropriate strategic and managerial skills. The City of Medicine Hat should also be able to access records management skills internally through designated Records Management Personnel. Skilled Resources Measures:

- a) Overall responsibility for the records management program is assigned to the City Clerk.
- b) Specialist records management skills required to implement the records management program and its component recordkeeping systems are available to the organization.
- c) Staff undertaking records management have appropriate skills for their positions and responsibilities and these are kept up to date.

**2.03 Review and Monitor of Records Management.** Monitoring and review is a key principle in ensuring that records management continues to support the objectives of the City of Medicine Hat. Monitoring must be done regularly to be of value and to maximize opportunities for improvement. Planning documentation for a records management program offers useful indicators against which the operational effectiveness of records management policies, processes, training and services can be reviewed. Performance targets and indicators must be reviewed regularly to ensure that they are still relevant to the way records management operates and the Public body conducts its business. Compliance measures:

- a) All aspects of the records management program are regularly reviewed against performance objectives.
- b) Opportunities are identified for improving the effectiveness, efficiency and quality of records management systems, processes and tools through regular monitoring and review.
- c) Areas for improvement are addressed in records management planning.



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## REVIEW AND MONITORING RECORDS MANAGEMENT

**3.01 City of Medicine Hat Records Management Audit.** There are two main Records Management Audits carried out by the City of Medicine Hat, these are:

- a) **Organization Records Management Audit.** This audit is carried out by the Records Manager and its objective is to ensure recordkeeping, disposition, archiving, disposal and destruction of the City of Medicine Hat's records are undertaken in accordance with the established procedures and in compliance with the City of Medicine Hat's Records Management Bylaw, Policy and Manual. The Audit is carried out when required using a check list which principles derive from the General Accepted Recordkeeping Principles (GARP). A copy of the Audit checklist can be found at Appendix 1 to this Schedule.
- b) **Department Records Management Audit.** This audit is carried out by the Records Management Department Coordinators and its objective is to ensure recordkeeping, disposition, archiving, disposal and destruction of the City of Medicine Hat's records are undertaken in accordance with the established procedures and in compliance with the City of Medicine Hat's Records Management Bylaw, Policy and Manual. The Audit is carried out when required using a check list which principles derive from the General Accepted Recordkeeping Principles (GARP). A copy of the Audit checklist can be found at Appendix 2 to this Schedule.



## Schedule E – Appendix 1 Records Management Manual

### ORGANIZATION RECORDS MANAGEMENT AUDIT

**Audit Date:**

**Objective:** The object of this Audit is to ensure that recordkeeping, disposition, archiving, disposal and destruction of the City of Medicine Hat's records is undertaken in accordance with established procedures and in compliance with the City of Medicine Hat Records Management Bylaw, Policy and Records Management Manual.

**Audit Scope and Methodology:** This Audit is to be carried out when required using the checklists below; audit findings must be clear and concise with any follow-up action clearly detailed.

Checklist	Audit Name
Checklist 1	Records Management Policy Review
Checklist 2	Records Disposition/Destruction
Checklist 3	Scanning and Imaging
Checklist 4	Training
Checklist 5	Security Review
Checklist 6	Storage of Electronic Records
Checklist 7	Department Audits
Checklist 8	Vital Records Program
Checklist 9	Freedom of Information and Protection of Privacy

## GENERALLY ACCEPTED RECORDKEEPING PRINCIPLES (GARP)

Principle	Description
<b>Accountability</b>	An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel, and ensure program auditability.
<b>Transparency</b>	The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.
<b>Integrity</b>	A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.
<b>Protection</b>	A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.
<b>Compliance</b>	The record keeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.
<b>Availability</b>	An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.
<b>Retention</b>	An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, operational and historical requirements.
<b>Disposition</b>	An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

## GARP RATING DEFINITIONS

### Level 1 = 1 point to Level 5 = 5 points:

- **Level 1 – Substandard** – this level describes an environment where recordkeeping concerns are either not addressed at all, or are addressed in a very ad hoc manner. Organizations that identify primarily with these descriptions should be concerned that their programs will not meet legal or regulatory scrutiny.
- **Level 2 – In Development** – This level describes an environment where there is a developing recognition that recordkeeping has an impact on the organization, and that the organization may benefit from a more defined information governance program. However, in Level 2, the organization is still vulnerable to legal or regulatory scrutiny since practices are ill-defined and still largely ad hoc in nature.
- **Level 3 – Essential** – This level describes the essential or minimum requirements that must be addressed in order to meet the organization's legal and regulatory requirements. Level 3 is characterized by defined policies and procedures, and more specific decisions taken to improve recordkeeping. However, organizations that identify primarily with Level 3 descriptions may still be missing significant opportunities for streamlining business and controlling costs.
- **Level 4 – Proactive** – This level describes an organization that is initiating information governance program improvements throughout its business operations. Information governance issues and considerations are integrated into business decisions on a routine basis, and the organization easily meets its legal and regulatory requirements. Organizations that identify primarily with these descriptions should begin to consider the business benefits of information availability in transforming their organizations globally.
- **Level 5 – Transformational** – This level describes an organization that has integrated information governance into its overall corporate infrastructure and business processes to such an extent that compliance with the program requirements is routine. These organizations have recognized that effective information governance plays a critical role in cost containment, competitive advantage, and client service.

Records Management Audit Checklist 1: Records Management Policy Review				
<b>Objective:</b>	Objective: Records management is organized, documented, planned and executed in a strategic and corporate manner			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
There is an Administrative Committee approved Records Management Strategy to deliver policy.			Compliance	
The City of Medicine Hat has a Records Management Policy and Bylaw approved by Council.			Compliance	
Records Management policies and procedures cover both digital and physical records.			Compliance	
Records Management procedures are written, approved and regularly reviewed.			Compliance	
The City of Medicine Hat has an approved policy for Freedom of Information and Protection of Privacy.			Compliance	
Roles and responsibilities for City Records Management staff are reviewed annually.			Accountability	
Electronic records are retained in accordance with current, approved retention schedules and within appropriate environments.			Compliance	
Changes to the retention schedule are presented to the Administrative Committee as required.			Compliance	
Legislation, standards and best practices are reviewed annually for revisions and additions.			Compliance	
Review policy content for compliance with the Records Management Bylaw, Policy and Procedures.			Compliance	
The City of Medicine Hat has established a recordkeeping system (e.g. an electronic record management system) to manage its records.			Accountability	
Review areas that can be improved such as Workflow, E Forms etc. and include them in planning strategies.			Accountability	
Electronic signature forms are verified and authenticated by a General Manager or representative and forms are kept as evidence.			Compliance	

<b>Measure</b>	<b>Compliance</b> <i>Yes/No/Partial</i>	<b>Findings</b> <i>To include any evidence, comments, follow up action/date.</i>	<b>GARP Principle</b>	<b>GARP Score</b>
Form a Corporate Records Committee that includes participants from records, several department representatives, emergency management and city archivist.			Availability	
Records Management newsletter published and distributed.			Transparency	
A review of Documents/Records with legal holds place upon them.			Compliance	
Review Records Management program progress.			Accountability	
Long term goals for time and resources to records and document management are stipulated at the senior level.			Accountability	
Adequate records staff have been allocated to records management within the City.			Accountability	

Records Management Audit Checklist 2: Records Disposition/Destruction				
<b>Objective:</b>	Records are archived, destroyed or disposed of in accordance with the City of Medicine Hat Classification and Retention Schedule.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Departments should be familiar with the City's Classification and Retention Schedule which applies to all records created or held by each department both, digital and non-digital.			Compliance	
Select a sample of records held at department level and ensure retention is in accordance with the organization's approved retention schedule.			Retention	
Review the register of destroyed records and ensure destruction has been undertaken in accordance with procedures and retention schedules.			Compliance	
All EDMS annual disposition certificates from departments have been verified, approved and returned to Records Department by specified time.			Disposition	
Records team to oversee destruction processes in the department through spot checks.			Disposition	



Records Management Audit Checklist 3: Scanning and Imaging				
<b>Objective:</b>	To ensure that the City of Medicine Hat's recordkeeping practices create legally defensible records when scanning and imaging official documents.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Scanning that is outsourced is reviewed for standards.			Compliance	
A random audit has been carried out to ensure Quality and Performance checks have been completed on department Scanners.			Integrity	
Departments have created and follow their own scanning standards with minimum requirements according to legislation.			Compliance	
Certificate of Disposal of Source Records should be completed on the destruction of source paper documents.			Compliance	

Records Management Audit Checklist 4 : Training				
<b>Objective:</b>	All staff receive appropriate training in records management			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Review Records Management Training Program and perform needs assessments where necessary.			Transparency	
Staff understands what they are recording, how it should be recorded and why they are recording it into the EDMS.			Transparency	
Records Management training is included in the City of Medicine Hat Corporate Training and Development Plan.			Transparency	
Staff are trained at applicable levels in the EDMS system.			Transparency	
There is provision for the regular review of training needs in records management			Transparency	
Department Records Coordinator is sufficiently trained and a back-up has been identified and trained.			Transparency	

Records Management Audit Checklist 5: Security Review				
<b>Objective:</b>	Records staff to take steps to protect access to the system.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
<p>Sufficient audit-trail information is collected and maintained. This should:</p> <ul style="list-style-type: none"> <li>• As far as possible, be generated automatically by the electronic system;</li> <li>• Have an accurate associated date and time;</li> <li>• Be available for inspection by authorized external personnel who have little or no familiarity with the electronic system;</li> <li>• Be kept securely to prevent any change to the data;</li> <li>• Not be modifiable.</li> <li>• Audit trail data is retained for as long as the data is kept.</li> </ul>			Protection	
ICS have created and maintained system documentation and procedures, such as a system portfolio and change control register. The documentation provides a description of how the system operates including information about the hardware, software and network elements that comprise the electronic system and how they interact. It also records how the system is configured and any changes to the system, e.g. specification of the system, the type of network used, any software patches applied and when these were applied.			Transparency and Protection	
Test public access to SIRE (SIRE Pub).			Availability	
RM staff to check with ICS about the reliability of backups of the EDMS system.			Integrity	

Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Obtain and review reports of any incidents relating to confidentiality breaches and ensure action has been taken to address issues. Obtain and review audit trail and system access reports for evidence of non-compliance. Prepare for any external audit on the records.			Availability	
A review of any City centralized storage facilities to ensure they are restricted to prevent unauthorized access, damage, theft or other loss of records where required.			Protection	
Breaches of record confidentiality, loss of records etc. are recorded as security incidents and managed appropriately			Integrity	

Records Management Audit Checklist 6 : Storage of Electronic Records				
<b>Objective:</b>	All recordkeeping systems and storage facilities are protected from unauthorized access, destruction or theft and from accidental damage from environmental hazards.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Storage areas for electronic records (including file servers) ensure records are safe from environmental or biological hazards, e.g. damp, fire, flood or chemical contamination.			Protection	
Electronic records are stored in accordance with Canada General Standards Board's standards for electronic records and with ISO 15801.			Protection	
ICS have carried out a Backup and Restore test for the EDMS System.			Integrity	

Records Management Audit Checklist 7 : Department Audits				
<b>Objective:</b>	To complete audit documents as evidence of audit procedures.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Have departments completed an Audit with the last 5 years?			Compliance	
Has the Records Manager completed a summary of the department audits and submitted this to the Administrative Committee for Information?			Transparency	

Records Management Audit Checklist 8 : Vital Records Program				
<b>Objective:</b>	Ensure the protection of records in case of business interruption and to maintain a system to protect vital and critical records in case of business interruption.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Department to conduct review of records to determine if they are considered vital.			Compliance	
Departments provide listing of Vital Records to records management team and the Vital Records Register is updated.			Compliance	
The Vital Records Register is accessible to those who require access.			Availability	
The City of Medicine Hat's business continuity and/or disaster management programs include records maintenance / management.			Protection	

Records Management Audit Checklist 9 : Freedom of Information and Protection of Privacy – Legislation and Policy				
<b>Objective:</b>	Access to records takes place in a managed manner using prescribed legislation, policies and procedures.			
<b>Reference:</b>	<a href="#">Alberta Government FOIP Website</a>			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
The City of Medicine Hat has a FOIPP policy.			Compliance	
Departments are aware of procedure and legislation.			Compliance	
City departments have provided a list of all documents that contain personal information to be recorded in the City's Personal Information Bank inventory.			Compliance	
Departments have continually reviewed their records that contain Personal Information and informed the Records Manager.			Compliance	
The department has carried out a review of forms, templates and department IT solutions that may require personal information and ensure they are FOIPP compliant.			Integrity	
Department Forms that collect Personal Information have been reviewed to ensure they have a Personal Information Statement on them.			Integrity	
The RM Team monitor new or changed legislative changes regarding FOIPP.			Compliance	
The City of Medicine Hat displays the Personal Information Bank for Public Access			Availability Transparency	



**SUMMARY OF FINDINGS**

**Records Manager or Representative**

Name

Title

Signature

Date



## Schedule E – Appendix 2 Records Management Manual

### **DEPARTMENT RECORDS MANAGEMENT AUDIT**

<b>Department Name:</b>	
<b>Audit Date:</b>	

**Objective:** The object of this Audit is to ensure that recordkeeping, disposition, archiving, disposal and destruction of the department's records is undertaken in accordance with established procedures and in compliance with the City of Medicine Hat Records Management Policy and Classification and Retention Schedule.

**Audit Scope and Methodology:** This Audit is to be carried out in each department using the checklists below; Audit Findings must be clear and concise with any follow-up action clearly detailed.

Checklist	Audit Name
Checklist 1	Department Records Management Responsibilities
Checklist 2	Vital Records Program
Checklist 3	Scanning and Imaging
Checklist 4	Records Disposition/Destruction
Checklist 5	Freedom of Information and Protection of Privacy
Checklist 6	Security Review
Checklist 7	Storage Non Electronic Records

## GENERALLY ACCEPTED RECORDKEEPING PRINCIPLES (GARP)

Principle	Description
<b>Accountability</b>	An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel, and ensure program auditability.
<b>Transparency</b>	The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.
<b>Integrity</b>	A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.
<b>Protection</b>	A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.
<b>Compliance</b>	The record keeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.
<b>Availability</b>	An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.
<b>Retention</b>	An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, operational and historical requirements.
<b>Disposition</b>	An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

## GARP RATING DEFINITIONS

### Level 1 = 1 point to Level 5 = 5 points:

- **Level 1 – Substandard** – this level describes an environment where recordkeeping concerns are either not addressed at all, or are addressed in a very ad hoc manner. Organizations that identify primarily with these descriptions should be concerned that their programs will not meet legal or regulatory scrutiny.
- **Level 2 – In Development** – This level describes an environment where there is a developing recognition that recordkeeping has an impact on the organization, and that the organization may benefit from a more defined information governance program. However, in Level 2, the organization is still vulnerable to legal or regulatory scrutiny since practices are ill-defined and still largely ad hoc in nature.
- **Level 3 – Essential** – This level describes the essential or minimum requirements that must be addressed in order to meet the organization's legal and regulatory requirements. Level 3 is characterized by defined policies and procedures, and more specific decisions taken to improve recordkeeping. However, organizations that identify primarily with Level 3 descriptions may still be missing significant opportunities for streamlining business and controlling costs.
- **Level 4 – Proactive** – This level describes an organization that is initiating information governance program improvements throughout its business operations. Information governance issues and considerations are integrated into business decisions on a routine basis, and the organization easily meets its legal and regulatory requirements. Organizations that identify primarily with these descriptions should begin to consider the business benefits of information availability in transforming their organizations globally.
- **Level 5 – Transformational** – This level describes an organization that has integrated information governance into its overall corporate infrastructure and business processes to such an extent that compliance with the program requirements is routine. These organizations have recognized that effective information governance plays a critical role in cost containment, competitive advantage, and client service.

Department Audit Checklist 1: Department Records Management Responsibilities				
<b>Objective:</b>	To ensure that all department staff are aware of and have access to records management policy, procedures and programs.			
<b>Reference:</b>	Records Management Manual			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Have all staff been given the opportunity to view the Records Management Manual?			Transparency	
Does the department have a Records Management coordinator and has their backup has been appointed and trained in the City's EDMS System?			Accountability	
What percentage of staff are trained and have a log-in for the City's EDMS. Is EDMS training included in department training programs and/or job duties?			Accountability	
Describe how your department manages records with legal holds or FOIPP related requests. <i>Note: Advise Records Management of any changes to documents with holds.</i>			Compliance	
Have you in the last two years conducted a review of the City's Classification and Retention Schedule to ensure it meets with appropriate legislation? <i>Note: Any additions or changes should be submitted by Retention Schedule Change Form.</i>			Compliance Retention	
Do you use Electronic Signatures? Have electronic signatures been verified and authenticated by General Manager and forms completed as evidence?			Compliance	

Department Audit Checklist 2: Vital Records Program				
<b>Objective:</b>	Ensure the protection of records in case of business interruption and to maintain a system to protect vital and critical records in case of business interruption.			
<b>Reference:</b>	Records Management Manual – Schedule C			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Describe how department vital records are protected. Are they in electronic or paper format? Where are they located? Who has access?			Protection	
Have you conducted a review of department records to determine if they are considered vital?			Protection	
Have you provided a listing of all Vital Records to records management team?			Compliance	
When storing electronic copies of Vital Records in an EDMS System, has the relationship been recorded to link these documents to the Physical form?			Protection	
If applicable, are your vital records protected and included in the department disaster management plan or program. <i>Note: The Records Management Team is available to assist you in achieving the protection of vital records (records that are necessary for the City to continue operating).</i>			Protection	

### Department Audit Checklist 3: Scanning and Imaging

<b>Objective:</b>	To ensure that the City of Medicine Hat's recordkeeping practices create legally defensible records when scanning and imaging official documents.			
<b>Reference:</b>	Records Management Manual – Schedule D			
<b>Measure</b>	<b>Compliance</b> <i>Yes/No/Partial</i>	<b>Findings</b> <i>To include any evidence, comments, follow up action/date.</i>	<b>GARP Principle</b>	<b>GARP Score</b>
Have all staff involved in scanning documents read and understood Schedule D of the Records Management Manual?			Integrity	
Have the Scanner Performance test been completed and recorded correctly?			Integrity	
Have the Scanner Quality Control Checks been completed and recorded correctly?			Integrity	
Do your department procedures incorporate periodic maintenance checks on all scanning equipment including Xerox copiers?			Integrity	
Do your department procedures incorporate quality control checks during the scanning and indexing of batches to confirm that records are an adequate reflection of what has been scanned?			Integrity	
Where Scanning is outsourced, have you ensured compliance with current Regulations?			Integrity	



Department Audit Checklist 4: Records Disposition/Destruction				
<b>Objective:</b>	Records are archived, destroyed or disposed of in accordance with the City of Medicine Hat Classification and Retention Schedule.			
<b>Reference:</b>	Records Management Manual – Schedule B and Schedule I			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Do you complete Records Destruction Certificates for <b>ELECTRONIC</b> records and returned them to the Records Management Team.			Disposition	
Do you maintain a register to record the details of all <b>PAPER</b> records pending disposition?			Disposition	
Have you completed <b>PAPER</b> Record Destruction certificates as required, and forwarded a copy to the Records Management Team?			Disposition	
Have you fully documented decisions to retain or destroy records outside of periods specified in approved retention schedules?			Disposition	
Have you consulted with City Archivist to review the disposition of your records that may have historical value? <i>Note: Review Classification and Retention Schedule for Archivist remarks.</i>			Retention	
Have you ensured that your procedure for off-site shredding is compliant with Records Disposition Program?			Disposition	
Archiving / disposal and destruction of records is undertaken regularly, e. g. at least annually.			Disposition	

Department Audit Checklist 5: Freedom of Information and Protection of Privacy – Legislation and Policy				
<b>Objective:</b>	Access to records takes place in a managed manner using prescribed legislation, policies and procedures.			
<b>Reference:</b>	<a href="#">Alberta Government FOIP Website</a>			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Are you and your staff aware of the FOIPP legislation and City Process?			Compliance	
Have you provided a list to the Records Management Team of all documents that contain personal information; that is to be recorded in the City's Personal Information Bank inventory?			Compliance	
Have you, in this audit period, provided confirmation of changes to the Personal Information Bank (PIB) to the Records Management department?			Compliance Availability	
Have you reviewed department forms that collect personal information to ensure they have a Personal Information Statement on them?			Compliance	

Department Audit Checklist 6 Security Review				
<b>Objective:</b>	To protect the privacy of information and secure the corporation's records to unauthorized access and use of the records.			
<b>Reference:</b>				
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Have you advised all staff as to their responsibilities regarding confidential records?			Protection	
Do you complete the necessary security forms for staff for access to the EDMS and submit to Records Management team?			Protection	
Describe how you have monitored levels of access to the electronic system. Have you ensured that these have been documented and approved and only staff with the relevant access rights is permitted to create new records or edit existing ones?			Protection	
What is your procedure for documenting breaches of record confidentiality, loss of records etc. <i>Note: Any breaches or concerns should be reported to the Records Management team for system testing and reliability. RM Team will provide audit trails as evidence for non compliance.</i>			Protection	

Department Audit Checklist 7: Storage Non Electronic Records				
<b>Objective:</b>	All recordkeeping systems and storage facilities are protected from unauthorized access, destruction or theft and from accidental damage from environmental hazards.			
<b>Reference:</b>	Records Management Manual – Schedule J			
Measure	Compliance <i>Yes/No/Partial</i>	Findings <i>To include any evidence, comments, follow up action/date.</i>	GARP Principle	GARP Score
Describe your storage areas allocated to holding physical records. Do you have adequate space to accommodate anticipated growth?			Protection	
Describe how/if your storage areas for physical records conform to ensure records are safe from environmental or biological hazards, e.g. damp, fire, flood or chemical contamination.			Protection	
Describe how access to the records storage areas is restricted to prevent unauthorized access, damage, theft or other loss of records where required.			Protection	
Is there a suitable File System in place to manage paper records and documents?			Retention	
Do you have any records/documents stored off-site with a commercial company, and if so are there sufficient agreements in place?			Compliance	
Is there a process in place to identify Archive Records for transfer to the City Archivist?			Retention	

**SUMMARY OF FINDINGS**

**Department Auditor**

Name	<div></div>	Title	<div></div>
Signature	<div></div>	Date	<div></div>

**Department General Manager**

Name	<div></div>	Title	<div></div>
Signature	<div></div>	Date	<div></div>



Records Management Manual		City Policy Number
<b>Naming Convention Standards</b>		<b>MH 0156</b>
<b>Authority:</b> CITY CLERK	<b>Effective Date:</b> November 05, 2014	Page 1 of 2

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## References

Appendix 1 – CMH Naming Conventions Standards

Document and Record Naming Convention		Schedule F
Authority: CITY CLERK	Effective Date: November 05, 2014	Page 2 of 2

## OVERVIEW

**1.01** Establishing effective business rules around managing the electronic workspace can increase efficiency and support collaboration. Specifically, clear business rules around managing shared electronic workspace can:

- Reduce the duplication that occurs when multiple people store the same file in multiple locations;
- Increase access to information by ensuring all information related to the business is stored uniformly in an accessible location where all who need to get access to it can access it;
- Improve the maintenance of corporate memory by ensuring that responsibility for information content is transferred when an individual responsible leaves the organization (thus reducing the amount of “orphaned” information); and
- Facilitate the protection of personal and sensitive information

**1.02** For the purposes of this schedule, “document” covers a wide variety of file types such as word-processing files, text files, spreadsheets, presentations, drawings, databases and emails.

## BUSINESS RULES

**2.01 Location of Business Related information.** The shared drive is a place to organize, find and maintain the City of Medicine Hat’s information to support its work. This information needs to be accessible to all who need it. All business related information is to be maintained either in the Shared Network area or saved in the City of Medicine Hat’s Electronic Document Management System (EDMS). Information should not be duplicated in both areas. Individual department processes will decide when and where documents are to be stored.

**2.02 Naming convention Standards.** It is common practice to name documents and records in a standard format to assist in their subsequent retrieval and handling. In order to ensure a consistent practice throughout the City of Medicine Hat, 12 naming convention standards have been developed. These standards can be found at Appendix 1 to this schedule. The new standards should be flexible enough to respond to most department needs and technologies, and represents an improvement on existing practices that is to be used throughout all programs and systems in the City including the shared drives.

## IMPLEMENTATION

**3.01** These standards apply to all new electronic documents and records created, amended or received and judged to be of sufficient value to be retained in an electronic documents management system. **There is no requirement to rename all previous existing documents.**



## **Naming Convention Standards**

When a new electronic record is saved you will need to give it a title. This is the title which will be listed in the file directory. Naming records consistently and according to agreed conventions facilitates the storage and retrieval of records. Therefore you are required to follow the naming convention standards set out in this document.

<a href="#"><u>Rule 1</u></a>	Keep file names short, but meaningful.
<a href="#"><u>Rule 2</u></a>	Avoid unnecessary repetition and redundancy in file names and file paths.
<a href="#"><u>Rule 3</u></a>	Use capital letters to differentiate between words, not spaces or underscores.
<a href="#"><u>Rule 4</u></a>	When including a number in a file name always give it as a two-digit number, i.e. 01-99, unless it is a year.
<a href="#"><u>Rule 5</u></a>	If using a date in the file name always state the date 'back to front', and use four digit years, two digit months and two digit days: YYYYMMDD or YYYYMM or YYYY or YYYY-YYYY.
<a href="#"><u>Rule 6</u></a>	When including a personal name in a file name give the surname first followed by the initials.
<a href="#"><u>Rule 7</u></a>	Avoid using common words such as 'draft' or 'letter' at the start of file names.
<a href="#"><u>Rule 8</u></a>	Order the elements in a file name in the most appropriate way to retrieve the record.
<a href="#"><u>Rule 9</u></a>	The file names of records relating to recurring events should include the date and a description of the event, except where the inclusion of any of either of these elements would be incompatible with rule 2.
<a href="#"><u>Rule 10</u></a>	The file names of correspondence should include the name of the correspondent, an indication of the subject, the date of the correspondence and whether it is incoming or outgoing correspondence, except where the inclusion of any of these elements would be incompatible with rule 2.
<a href="#"><u>Rule 11</u></a>	The file name of an email attachment should include the name of the correspondent, an indication of the subject, the date of the correspondence, whether it is incoming or outgoing correspondence, 'attch', and the attachment number, except where the inclusion of any of these elements would be incompatible with rule 2.
<a href="#"><u>Rule 12</u></a>	The version number of a record should be indicated in its file name by the inclusion of 'V' followed by a two digit number and, where applicable, 'Draft'.

## Rule 1: Keep file names short, but meaningful.

File names should be kept as short as possible while also being meaningful. Long file names mean long file paths and long URLs which increase the likelihood of error, are more difficult to remember and recognize, and are more difficult to transmit in emails as they often 'break'. However, avoid using initials, abbreviations and codes that are not commonly understood.

Rule 1 Example		
File name:	This PlanningBuildingDevelopment.docx	Not This: Planning_Building_and_Development.docx
Explanation:	Some words add length to a file name but do not contribute towards the meaning, for example words like "the", "a", and "and". Where the remaining file name is still meaningful within the context of the file directory these elements can be removed. Sometimes words have standard abbreviations, e.g. "cttee" is a standard abbreviation for "committee"; where this is the case the standard abbreviation can be used.	

## Rule 2: Avoid unnecessary repetition and redundancy in file names and file paths.

Avoid redundancy in file names and file paths. Unnecessary repetition increases the length of file names and file paths, which is incompatible with rule 1.

Rule 2 Example		
File name:	<b>This</b> /.../Council/20121030Minutes.docx  /.../Procedures/Appeals.docx	<b>Not This</b> /.../Council/20121030CouncilMinutes.docx  /.../Procedures/AppealsProcedures.docx
Explanation:	In the first example the folder is called "Council" so it is not necessary to include the word "Council" in the file name because all the records in that folder are Council records.  In the second example the folder is called "Procedures" so it is not necessary to include the word "Procedures" in the file name because all the records in that folder are procedure records.	

### Rule 3: Use capital letters to differentiate between words, not spaces or underscores.

Avoid using spaces and underscores in file names. Some software packages have difficulty recognizing file names with spaces; this can be a particular difficulty for files when they are published on an external website, so it is best to avoid using spaces. Using underscores in your file names increases the length, which is incompatible with rule 1.

Rule 3 Example		
File Name:	This	Not This
	RiskManagement.docx	Risk_management.docx Risk management.docx
Explanation:	Removing the space or underscore reduces the length of the file name, but by using capital letters to differentiate between the words the file name is still readily recognizable.	

### Rule 4: When including a number in a file name always give it as a two-digit number, unless it is a year.

The file directory displays file names in alphanumeric order. To maintain the numeric order when file names include numbers it is important to include the zero for numbers 0-9. This helps to retrieve the latest record number.

Rule 4 Example		
File Name:	This	Not This
	OfficeProceduresV01 OfficeProceduresV02 OfficeProceduresV03 OfficeProceduresV04 OfficeProceduresV05 OfficeProceduresV06 OfficeProceduresV07 OfficeProceduresV08 OfficeProceduresV09 OfficeProceduresV10 OfficeProceduresV11	OfficeProceduresV1 OfficeProceduresV10 OfficeProceduresV11 OfficeProceduresV2 OfficeProceduresV3 OfficeProceduresV4 OfficeProceduresV5 OfficeProceduresV6 OfficeProceduresV7 OfficeProceduresV8 OfficeProceduresV9
Explanation:	This example shows the successive versions of an office procedures document. If two-digit numbers are used the latest version will always be at the bottom of the list.	

**Rule 5: If using a date in the file name always state the date ‘back to front’, and use four digit years, two digit months and two digit days: YYYYMMDD or YYYYMM or YYYY or YYYY-YYYY.**

Dates should always be presented ‘back to front’, that is with the year first (always given as a four digit number), followed by the month (always given as a two digit number), and the day (always given as a two digit number). By giving the dates back to front means that the chronological order of the records is maintained when the file names are listed in the file directory. This helps when trying to retrieve the latest dated record.

Rule 5 Example		
<b>File Name:</b>	<b>This</b> 20120324Agenda.doc 20120324Minutes.doc 20120324AttachmentA.doc 20120201Agenda.doc 20120201Minutes.doc	<b>Not This</b> 1Feb2012Agenda.doc 1Feb2012Minutes.doc 24March2012Agenda.doc 24March2012Minutes.doc 24March2012PaperA.doc
<b>Explanation:</b>	This example shows the minutes and attachments of a committee. By stating the year ‘back to front’ the minutes and papers from the most recent meeting appear at the top or bottom of the directory list depending on whether your order is set to ascending or descending.	

**Rule 6: When including a personal name in a file name give the surname first followed by the initials.**

It may be appropriate to include within a file name the name of an individual, usually when the record is a piece of correspondence. However, it will not usually be appropriate to name records after the record owner or creator, i.e. avoid naming records after you. When it is appropriate to include a personal name it should be given as surname first followed by initials as it is most likely that the record will be retrieved according to the surname of the individual.

Rule 6 Example		
<b>File name:</b>	<b>This</b> BrownSamR20121201.docx	<b>Not This</b> SamRBrown20121201.docx
<b>Explanation:</b>	This is a letter to Mr. Samuel R Brown. By putting the surname first the file directory will display this file next to the b’s, which is where you would expect to find a letter to Mr. Brown.	

## Rule 7: Avoid using common words such as ‘draft’ or ‘letter’ at the start of file names.

Avoid using common words such as ‘draft’ or ‘letter’ at the start of file names, or all of those records will appear together in the file directory, making it more difficult to retrieve the records you are looking for.

### Rule 7 Example

	This	Not This
<b>File name:</b>	<code>../Publicity/AdvertisingV01Draft.doc</code> <code>AdvertisingV05Final.doc</code> <code>BudgetReport2011-2012V20Final.doc</code> <code>BudgetReport2011-2012V15Draft.doc</code> <code>GrantS20120312.doc</code> <code>OfficeProceduresV10Draft.doc</code> <code>ThomasA20121205.doc</code>	<code>../Publicity/DraftAdvertising.doc</code> <code>DraftBudgetReport2011-2012.doc</code> <code>DraftOfficeProcedures.doc</code> <code>FinalAdvertising.doc</code> <code>FinalBudgetReport2011-2012.doc</code> <code>LetterAThomas.doc</code> <code>LetterSGrant.doc</code>
<b>Explanation:</b>	The file directory will list files in alphanumeric order. This means that all records with file names starting “Draft” will be listed together. When retrieving files it will be more useful to find the draft budget report next to the previous year’s budget, rather than next to an unrelated draft record.	

## Rule 8: Order the elements in a file name in the most appropriate way to retrieve the record.

The elements to be included in a file name should be ordered according to the way in which the record will be retrieved. If the records are retrieved according to their date, the date element should appear first. If the records are retrieved according to their description, the description element should appear first.

Rule 8 Example		
File name:	This	Not This
	<code>/.../EnergyCttee/ 20120630Agenda.doc 20120630Minutes.doc 20120120Agenda.doc 20120120Minutes.doc</code>	<code>/.../EnergyCttee/ Agenda1Feb2012.doc Agenda20Jan2012.doc Agenda30June2012.doc Minutes1Feb2012.doc</code>
	<code>/.../Events/Spectrum20120630.docx RetirementBanquet20120305.docx StampedeParade20120728.docx</code>	<code>/.../Events/ 20120304StampedeParade.doc 20120630Spectrum.doc 20120905RetirementBanquet.doc</code>

### Explanation:

- The first example shows minutes and agenda of the Energy Committee.
- Minutes and papers of a meeting are likely to be retrieved on the basis of the date of the meeting, it is therefore best to have the date at the start of the file name, otherwise all the Agendas will come at the top of the directory list, followed by all of the minutes, and then by the attachments.
- The second example shows the file names of the files in the Events folder. Because events are likely to be retrieved by the name of the event rather than the date of the event, it is most useful to have that element first.

**Rule 9: The file names of records relating to recurring events should include the date and a description of the event, except where the inclusion of either of these elements would be incompatible with rule 2.**

The file names of records relating to recurring events (e.g. meeting minutes and papers, weekly, monthly or annual reports, event management and budget planning documents) should include both the date and the event name or event description so that the record can be identified and retrieved.

When deciding the order of the elements consider rule 8. Date first will usually be appropriate for events that are time specific and recurring. Event first will usually be appropriate for events that are infrequent, but regularly recurring.

Rule 9 Example		
	This	Not This
File name:	<code>/.../Website/ 20120301WebStats.doc 20120401WebStats.doc  /.../Planning/ Budget2011-2012V10.xls Budget2011-2012V01Draft.xls</code>	<code>/.../Website/ WebStats20120301.doc WebStats20120401.doc  /.../Planning/ 2011-2012BudgetV10.xls 2011-2012BudgetV01Draft.xls</code>
Explanation:	<p>The first example shows the website statistic reports which are created on a monthly basis. Because the reports recur frequently and are retrieved by date it is most appropriate that the date is given first. Also remember rule 2; in some cases it may be appropriate for the folder to be called “WebStats”, in which case the file names only need to include the date. For another example see the first rule 8 example.</p> <p>The second example shows annual budget reports. Because the reports are annual and likely to be retrieved by the description rather than the date, it is likely that it will be most appropriate for the description element to come first. Also remember rule 2; in some cases it may be appropriate for the folder to be called “Planning2003-2004”, in which case the file names only need to include a description. For another example see the second rule 8 example.</p>	

**Rule 10: The file names of correspondence should include the name of the correspondent, an indication of the subject, the date of the correspondence and whether it is incoming or outgoing correspondence, except where the inclusion of any of these elements would be incompatible with rule 2.**

The file names of correspondence should include the following elements so that the record can be easily identified and retrieved:

- Name of correspondent, that is the either the name of the person who sent you the letter/email/memo or the name of the person to whom you sent the letter/email/memo
- Subject description, where it is not given in the folder title
- Date of letter/email/memo
- If incoming correspondence, include 'rcvd'

When deciding the order of the elements consider rule 8. It will usually be appropriate to order the elements in the same order in which they are listed above, as it is likely that correspondence will be retrieved on the basis of the correspondent. Also consider rule 2; a description of the subject may already be given in the folder name.

Rule 10 Example		
	This	Not This
File name:	<div>./.../Complaints/ BloggsJ20031205.doc BloggsJ20040105rcvd.doc BloggsJ20040220.doc ThomasH20030610rcvd.txt ThomasH20030710.doc  ./.../ EvansW/ Appeal20120715rcvd.doc EvansWAppeal20120820.doc EvansWAppeal20120905rcvd.doc</div>	<div>./.../Complaints/ EmailFromHelenThomas10Jun03.txt LetterFromJoeBloggs5Jan04.doc LetterToHelenThomas10Jul03.doc LetterToJoeBloggs20Feb04.doc LetterToJoeBloggs5Dec03.doc  ./.../Correspondence/ WilliamEvans15Jul04.doc WilliamEvans20Aug04.doc WilliamEvans5Sep04.doc</div>

**Explanation:**

The first example shows some incoming and outgoing correspondence concerning complaints. All the correspondence with Mr Joe Bloggs appears together in chronological order and it is easy to pick out the incoming correspondence because it is indicated by 'rcvd'. The same is true of the correspondence with Miss Helen Thomas. In this example it is not necessary to include an indication of the subject in the file name because it is given in the folder name.

The second example shows some incoming and outgoing correspondence with Mr William Evans regarding an appeal. All the correspondence is listed in chronological order; it is easy to see what the correspondence is about, who it is with and whether it is incoming or outgoing correspondence. In reality it is likely that it will not be necessary to include an indication of the subject matter in the file name because the folder title would be likely to be 'Appeals'. It is not recommended to give folders very general names such as 'correspondence'



**Rule 11: The file name of an email attachment should include the name of the correspondent, an indication of the subject, the date of the correspondence, whether it is incoming or outgoing correspondence, 'attch', and the attachment number, except where the inclusion of any of these elements would be incompatible with rule 2.**

When saving an email that has an attachment, the email and the attachment should be saved separately but the file names should provide a link.

The file names of attachments should include the following elements so that the context of the record is maintained and so that the record can be easily identified and retrieved:

- Name of correspondent
- Subject description
- Date of letter/email/memo
- If incoming correspondence, include 'rcvd'
- 'attach'
- [2 digit number] of [2 digit number].

When deciding the order of the elements consider rule 8. It will usually be appropriate to order the elements in the same order in which they are listed above, as it is likely that the attachment will be retrieved according to the correspondent. Also consider rule 2; a description of the subject may already be given in the folder name.

Rule 11 Example		
	This	Not This
File name:	../Complaints/ BloggsJ20121205.txt BloggsJ20121205attch01of02.pdf BloggsJ20121205attch02of02.pdf BloggsJ20120105rcvd.doc BloggsJ20040220.doc ThomasH20120610rcvd.txt ThomasH20120610rcvdattch01of01.doc ThomasH20120710.doc	../Complaints/ AttachmentFromHThomas10Jun12.doc Attachment1SentToJBloggs.pdf Attachment2SentToJBloggs.pdf EmailFromHelenThomas10Jun12.txt EmailToJoeBloggs5Dec12.txt LetterFromJoeBloggs5Jan12.doc LetterToHelenThomas10Jul12.doc LetterToJoeBloggs20Feb12.doc
Explanation:	This example shows the incoming and outgoing correspondence concerning complaints. The email sent to Mr. Joe Bloggs on 5 December 2012 included two attachments. The attachments are listed below the email and are numbered so that it is easy to see that there were two attachments and both of them are listed. This folder also includes an email from Miss Helen Thomas on 10 June 2012, which included one attachment.	

**Rule 12: The version number of a record should be indicated in its file name by the inclusion of ‘V’ followed by a two digit number and, where applicable, ‘Draft’ or ‘Final’.**

Some records go through a number of versions, for example they start out as working drafts, become consultation drafts and finish with a final draft, which may then be reviewed and updated at a later date. It is important to be able to differentiate between these various drafts by giving them each their own number. Where a version number is applicable, it should always appear in the file name of the record so that the most recent version can be easily identified and retrieved unless there is a system applied version number that attaches through workflow processes, etc.

Rule 12 Example		
	This	Not This
File name:	IEAM2011-2012V03Draft.htm IEAM2011-2012V04Final.htm  OrgChart2012V02.xlsx OrgChart2012V03.xlsx OrgChart2012V04.xlsx	lemodle0304_finalv4htm  Org_Chart_2012_v2.xlsx Org_Chart_2012_v3.xlsx Org_Chart_2012_v4.xlsx

**Explanation:** The first example shows two versions of the income and expenditure attribution model for 2011-2012, version 3 is a draft version and version 4 is the final version. The common abbreviation for the model is used. The covering years are given in four-digit format. The version number is given with two digits so that the versions will appear in numeric order.

The second example shows a number of versions of the organizational unit structure for 2012. In this case none of the versions are marked as draft or final because the nature of the record means that ‘draft’ and ‘final’ are not applicable.

## Schedule G

Records Management Manual <b>Legal Hold Procedure</b>		City Policy Number <b>MH 0156</b>
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## PURPOSE

**1.01** The purpose of this procedure is to clearly outline the process for initiating, monitoring and releasing legal holds on City Records.

## DEFINITIONS

**2.01 Electronic Documents.** Electronically stored information, including email, web pages, word processing files, audio and video files, images, computer databases etc. Metadata is electronic information that is recorded by the system about a document concerning its format; how, when and by whom it was created, saved, assessed or modified.

**2.02 Hard Copy Documents.** Includes, but is not be limited to, all paper files, forms, letters, memorandum, notes, printed material, pamphlets, calendars, training records, employment records, first aid records, medical records, accident and incident reports, WCB reports, facsimile communication, contracts, agreements, (including any addendums, extensions and additions thereto), project files, inspection and observation reports, note books, log books and daily dairies in written and/or printed form.

**2.03 Litigation.** Includes all proceedings, actual or anticipated, before any court of competent jurisdiction.

**2.04 Legal Hold.** A legal hold is a notice to cease destruction and preserve all records, regardless of form, due to litigation (current or anticipated), regulatory requirements, or other legal proceedings or requirements.

**2.05 Classification and Retention Schedule.** The City of Medicine Hat has adopted The Alberta Municipal Records Management Schedule (TAMRMS) developed by TAB Canada, as the official records classification and retention schedule for the City of Medicine Hat (See Appendix 1- CMH-CRS). This schedule describes the length of time municipal records are to be kept until their destruction or transfer to the City Archives. Having a records retention policy in place and properly followed **before** a legal hold is issued helps to satisfy the court that the company has kept all of the relevant documents.

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## RESPONSIBILITIES

**3.01 Introduction.** When legal holds are required, standard processes must be established to produce records requested during e-discovery and protect the said records from being destroyed. Any City employee who becomes aware of one of the following instances must immediately notify the City Solicitors department for:

- Litigation or anticipated litigation
- Other legal action
- An investigation by any administrative, regulatory, civil or criminal authority

**3.02 City Solicitors Department.** It is the responsibility of the City Solicitors department to execute the legal hold process for the City of Medicine Hat. The City Solicitors department will:

- Notify the Manager of ICS and the Records Manager of the requirement for a legal Hold.
- Give official notification to appropriate City departments of the legal hold and their obligations to retain and preserve records.
- Notify all concerned of a legal hold 'Termination notice', so that regular retention policies may be reinstated.

**3.03 Records Manager.** The Records Manager will:

- Track and audit compliance with the litigation hold notice and the maintenance of relevant information.
- Acknowledge without undue delay by e-mail to City Solicitors department receipt, understanding and compliance with the legal hold.
- Suspend normal destruction procedures of relevant Records contained in the Electronic Document Management System (EDMS) and preserve documents by changing the Retention Status and if required the Retention End Date.

**3.04 Manager of ICS.** The Manager of ICS will:

- Acknowledge without undue delay by e-mail to City Solicitors Department receipt, understanding and compliance with the legal hold.

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**3.05 City Departments/Employees.** The City of Medicine Hat Departments/Employees will:

- City Departments/Employees subject to a legal hold should consult the Manager of ICS and the Records Manager for assistance in securing and preserving their electronic records.
- Immediately suspend deletion, overriding, or any other destruction of electronic records relevant to the legal hold that are under their custody and control. This includes all electronic records wherever stored, including, but not limited to, work station desktops, laptops, or computers at their home, voice mail records, CD-ROMs, memory sticks, tapes, zip disks, diskettes, or smart phones. Electronic information must be preserved so that it can be retrieved at a later time and the information must be preserved in its original electronic form. It is not sufficient to make a hard copy of the data.
- Preserve any new electronic information that is generated after receipt of the legal hold notice that is relevant to the subject of the notice.
- Preserve hard copies of documents under their custody and control. Steps should be taken to identify all relevant paper files and to ensure the retention of such files.
- Ensure that once the legal hold has been released, an internal audit is carried out to ensure that information is not unnecessarily retained.

## SUMMARY

**4.01** The failure to follow a legal hold can give rise to monetary sanctions and possibly even liability if the court finds that documents or information were intentionally destroyed. The "spoliation of evidence" has become a very costly and time-consuming aspect of many lawsuits, distracting the court's attention from the true merits of a dispute. Compliance with the City's Classification and Retention Schedule before a legal hold is issued helps to satisfy the court that the City has kept all of the relevant documents and destroyed any documents required in line with corporate policy.

<b>Records Management Manual</b>  <b>Email Records Standards and Procedures</b>		City Policy Number  <b>MH 0156</b>
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## INTRODUCTION

**1.01** An electronic mail message or email is probably the most frequently used form of communication in the City of Medicine Hat, owing to ease and speed of sending and receiving information electronically. The growth of this form of communication underlines the fact that electronic mail message, like all forms of records, must be managed in accordance with the business needs of an institution and the City of Medicine Hat policies and procedures.

Records provide information about the evidence of City activities, decision-making, program and service delivery to residents, and accountability. It is crucial that the City adhere to good information/records management practices and be familiar with the applicable legislative and policy requirements for the management of such records.

## PURPOSE

**2.01** The purpose of this schedule is to facilitate the proper creation, management, preservation and disposal of Email records as Microsoft Outlook (the City's current email system) is not a Records archive system. **This schedule is designed to place minimal burden on staff while fulfilling the requirement of the City of Medicine Hat Records Management Policy.**

## MANAGING EMAIL RECORDS

**3.01 Email Process.** All emails go through a two step process:

- Step 1 - Identify the email steward. Who is responsible for making the determination as to whether or not an email needs to be processed as a record.
- Step 2 - Manage the resulting record as necessary.

**3.02 Email Ownership.** The City of Medicine Hat owns any communication sent or received via email or that is stored on City equipment. Management and other authorized staff have the right to access any material in your email or on your computer at any time. Please do not consider your electronic communication, storage or access to be private if it is created or stored at work.

**3.03 Applicability to Employees.** This Schedule applies to all staff of the City of Medicine Hat who generates records while executing their official duties.



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**3.04 Email FOIPP Requests.** Employees of the City of Medicine Hat should be aware that Emails are subject to FOIPP requests and discovery in legal proceedings. Should Emails that are a subject of a FOIPP request or discovery be deleted because Emails are not managed properly; the City of Medicine Hat may face severe court sanctions and/or a criminal charge.

## IDENTIFICATION OF EMAIL RECORDS

**4.01 Email Types.** There are three main types of emails:

Type of Email	Disposition	Definition
<b>Record – business value</b>	Print and store manually or store electronically in an EDMS system	Email messages that document decisions, policies, procedures, resource expenditures, operations, or delivery of services are evidence of official city business.
<b>Transitory Record – little or no business value.</b>	Delete when no longer needed within 180 days or less.	Supplementary information to the email record that does not document official decisions, etc.
<b>Non Record – personal email, mailing lists, news, etc.</b>	Delete as soon as no longer needed or when read.	Email messages may have an official context but not be part of a business transaction eg. General departmental correspondence regarding routine business, interoffice messages and listserv messages, convenience copies, duplicates, personal email, etc.

**4.02 Which Emails are Records?** Emails that are evidence of the business transactions of the City of Medicine Hat are public records and shall be managed and kept for as long as they are required for in accordance with the City of Medicine Hat’s Classification and Retention Schedule.

Emails that approve an action, authorize an action, contain guidance, advice or direction, relate to projects and activities being undertaken, and external stakeholders, represent formal business communication between staff, contain policy decisions, etc. should be managed as records and should be filed in accordance with the file plan. This includes the Email message and any attachments that meet these criteria.

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#### 4.03 Examples of Email Records. Examples of email records are as follows:

Email is a record if it:	Email is NOT a record if is:
<ul style="list-style-type: none"> <li>contains unique, valuable information developed in preparing position papers, reports, studies, etc.</li> <li>reflects significant actions taken in the course of conducting business.</li> <li>conveys unique, valuable information about the City of Medicine Hat's programs, policies, decisions, or essential actions.</li> <li>conveys statements of policy or the rationale for decisions or actions.</li> <li>documents oral exchanges (in person or by telephone), during which policy is formulated or other business activities are planned or transacted.</li> <li>adds to the proper understanding of the formulation or execution of the City of Medicine Hat actions or operations and responsibilities.</li> <li>documents important meetings.</li> <li>facilitates action by City of Medicine Hat's officials and their successors in office.</li> <li>makes possible a proper scrutiny by the Auditor-General or other duly authorized agents of the government.</li> <li>protects the financial, legal, and other rights of the City of Medicine Hat and of the persons directly affected by the actions.</li> <li>approves or authorizes actions or expenditure.</li> <li>constitutes a formal communication between staff e.g. correspondence or memoranda relating to official business.</li> <li>signifies a policy change or development.</li> <li>creates a precedent e.g. by issuing an instruction or advice.</li> <li>involves negotiations on behalf of the City.</li> <li>has value for other people or the City as a whole.</li> </ul>	<ul style="list-style-type: none"> <li>meeting announcements.</li> <li>announcements of employees' absences or schedules.</li> <li>changes in telephone numbers or office locations.</li> <li>meeting arrangements that normally would have been done by telephone.</li> <li>copies of memoranda or text sent for information rather than action.</li> <li>messages that have only temporary value such as a message that a meeting time has changed.</li> <li>messages that contain no evidence of the City's functions and activities.</li> <li>duplicate information already documented in existing records.</li> </ul>

## STORAGE OF EMAIL RECORDS

**5.01 Introduction.** Email Records shall under no circumstances be isolated from the City of Medicine Hat's EDMS system. Emails and their attachments shall be captured as separate but linked records. Emails shall be filed by the **SENDER** except if:

- there is a person in a unit or project group to whom the responsibility for this task has been designated.
- it is an Email received from outside the City in which case the recipient is responsible for filing it.

Where policy requires emails be retained in paper-based format, they should be filed to the paper based file plan developed by the department.

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**5.02 Email Chain.** Email messages on a particular subject can become a **string of replies** until a matter is finalized. In such cases users can place all emails into the system separately as they occur and relate them to each other **or** capture the final message in which case user needs to make sure that the final message contains whole thread of the discussion.

## DISPOSITION OF EMAILS

**6.01 Permanent Deletion of Emails.** The permanent deletion of an email is to follow the following guidelines:

- **Email Record.** The permanent deletion of emails considered to be public records shall follow the strict guidelines as laid down in the City of Medicine Hat Classification and Retention Schedule (CMH-CRS. Emails filed into the EDMS System will have the correct Retention applied automatically.
- **Email Transitory Record.** These emails can be deleted when no longer needed within 180 days or less. Authority for deletion lies with all employees.
- **Email Non-Record.** Can be deleted immediately once read or no longer required. Authority for deletion lies with all employees.

## SUMMARY

**7.01** Email is an extremely useful tool; it is quick to use, and provides us with an instant record of a transaction or decision made. You should avoid using your email system as a filing system as this with time can cause a variety of issues. Emails that are records should be stored in the City of Medicine Hat's EDMS system to ensure it is protected, classified, accessible and the correct retention has been applied.



## PROCEDURE I

<b>Records Management Procedure Manual</b> <b>Archival and Historical Records</b>		City Policy Number  <b>MH 0156</b>
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### Reference

**Appendix 1 - Records Transfer Form.**

<b>Archival and Historical Records</b>		<b>Procedure I</b>
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## INTRODUCTION

**1.01 Purpose.** To define the conditions under which records are transferred into the custody of the City's Archives from their creating departments, the condition of public access to said records, and the conditions under which said records will be maintained and administered.

**1.02 Scope.** Preservation of and facilitated access to its historical records is both beneficial to the community and the City as providing knowledge, transparency and accountability. Internal City access to its own organizational history is also vital in ensuring organization pride, understanding of trends, accountability, and informed decision-making. The scope of City's Archives is to:

- Acquire, preserve, and facilitate access to non-active City records both paper and electronic that are determined to be of historical significance.

The City Archives at the Esplanade does not

- Acquire records that are not historically significant. This may include some permanent records (these are kept by the city).

## DEFINITIONS

**2.01 Archival Record.** An Archival Record is any document regardless of form or medium created or received by the City of Medicine Hat which is no longer actively used in the administration of the City but which has been appraised for permanent retention because of its historical, fiscal, legal, (including evidential), operational or administrative value.

**2.02 City Archives.** The City's Archives in the Esplanade collects, preserves, and provides access to the documentary heritage of Medicine Hat and surrounding areas.

**2.03 City Archivist.** Staff person responsible for the archives of the City of Medicine Hat.

## RECORD TRANSFER

**3.01 Retention Schedule.** The retention and disposition of all records held by the City is approved by the City of Medicine Hat Classification and Retention Schedule (CMH-CRS) contained in Schedule A of the Records Management Manual (RMM). The CMH-CRS contains strict guidelines to be followed for the retention of records within the City of Medicine Hat.

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**3.02 Disposition.** The City’s Archivist has identified those categories for which they must be contacted in order to review the records for a possible transfer to the City’s Archive permanent collection. Those records marked as Archival Record (AR) in the CMH-RS have a disposition of “Archive Retention”

**3.03 Transfer Form.** When records from these categories have been assessed and approved for transfer, department coordinators should complete the ‘Archives Transfer Form’ at Appendix 1 to this schedule prior to the acceptance of any document transfer.

## **ROLES AND RESPONSIBILITIES**

### **4.01 City Archivist.**

- a) Provide centralized and organized archives facility for historical records to prevent duplication and maintenance of unnecessary records throughout the City.
- b) Monitor trends in Electronic Formats to ensure important records remain in formats accessible with contemporary software and hardware.
- c) Develop processes whereby the City of Medicine Hat records, where necessary, are transferred to City’s Archives to ensure long-term preservation.
- d) Act as a resource for inquiries of a historical nature, reducing this obligation for other City Departments.
- e) Apply additional metadata to Archive Records to meet archival standards and needs for inactive historical records.
- f) Provide training related to the identification of and safe-keeping of historically significant records through on-line and printed resources, workshops and one-on-one consultation.
- g) Assisting departments in their evaluation of records to determine historical significance.
- h) Maintain a process of cross-referencing between the Archives systems and the City’s EDMS System.

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i) Continually review the City of Medicine Hat Classification and Retention Schedule (CMH-CRS) identifying those record series which are historically significant. This prevents destruction of valuable records but also prevents the storing of unneeded records for decades.

j) Prioritize the preservation of records.

#### **4.02 Records Manager.**

a) Provide advice and assistance regarding Records Management practices to the City's Archivist.

b) Audit departments to ensure compliance with City Records Management Policy and procedures.

c) Maintain a process of cross-referencing between the Archives systems and the City's EDMS System.

#### **4.03 City Departments/Employees Records Coordinators.**

a) All employees of the City of Medicine Hat have the responsibility for ensuring that records with historical value are successfully transferred to the City's Archives in accordance with this procedure.



## **ARCHIVES TRANSFER FORM**

Complete this form to permanently transfer records for preservation in the City Archives at the Esplanade.

### **1. Contact Information**

Department	
Contact Person	
Phone	
Email	

### **2. Records to be transferred**

Record Series Title	
Record Series Number	

Subject or Category	Dates	Format	Amount

Comments	
----------	--

Date of Transfer	
------------------	--

City Archivist Authorization	
Date Received	
Archivist Name	

Action	Received Archives <input type="checkbox"/>	Reject Archives <input type="checkbox"/>
--------	---	---

Explanation of Non Acceptance:	
--------------------------------	--

NOTE: Copy of form to be uploaded into the City's EDMS System on completion



<b>Records Management Manual</b> <b>Storage and Retrieval of Non-Electronic Records</b>		City Policy Number <b>MH 0156</b>
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Storage and Retrieval if Non-Electronic Records		Schedule J
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## PURPOSE

**1.01 Schedule Purpose.** The purpose of this procedure is to provide records custodians with their procedures for the management of paper records.

## MANAGEMENT OF ACTIVE PAPER RECORDS

**2.01 Introduction.** Paper-based, active records are managed in office locations where they are used. Over time the electronic formats of records will become more prevalent. However, a portion of the City of Medicine Hat's records will continue to exist in paper format. Paper-based documents will be filed into the departments filing repository using manually created indexes.

**2.02 Responsibilities.** Records custodians have the responsibility to:

- Maintain the index and retrieval system of office files.
- Request standard file folders as required through supply ordering process.
- Produce file folder labels as required.
- File incoming documents into the records management system to support the business process.
- Eliminate paper duplicates where possible.
- Use appropriate file supplies and equipment designated by the City.
- Conduct an annual purge of active records to destroy those no longer needed, and transfer to semi-active storage or archives for those no longer needed in the department offices.
- Assist other office staff with proper security levels to identify and retrieve the active records.

**2.03 File Systems.** A file system is the way we manage records and information. The basic options of file arrangement are alphabetic, numeric, alphanumeric, chronological and Functional, depending on the department needs. The City of Medicine Hat has a Classification and Retention tool that organizes and applies lifecycle management to all corporate records in any Media. The Classification and Retention Schedule (CMH-CRS) is contained in Schedule A of the Records Management Manual (RMM). Where possible, departments should organize their own file systems to mirror the CMH-CRS. This will aid standardization across the organization, align new and existing records and follow records/information management best practice.

## MANAGEMENT OF SEMI-ACTIVE PAPER RECORDS

**3.01 Introduction.** The City of Medicine Hat aims to reduce its volume of active records in the work place in order to protect the documents, apply retention to the documents and importantly increase accessibility to these records through the provision of an Electronic Document Management System (EDMS).

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**3.02 Review of Paper Based Files.** Records custodians have the ongoing responsibility to purge files continually by reviewing folders and eliminating unnecessary paper, duplicates, and transitory documents. Records custodians are responsible for reviewing workplace paper files to remove the following categories of files.

- Files scheduled for immediate destruction – Transitory or duplications
- Semi-Active files that require further storage in an EDMS system
- Archive files that need to be transferred to City Archivist (If records are designated for permanent preservation their disposition will be “transfer”)

**3.03 EDMS Storage.** Departments utilizing the EDMS system can store all their semi-active records electronically. Storing records in the system will enable departments to reduce physical storage space in their buildings, classify and place retention on documents, provide a secure environment for document storage and finally make them easily searchable and retrievable.

**3.04 Off-site Storage.** The City of Medicine Hat does not have a Centralized Record Centre. Each department manages their own paper records. Off-site storage can deliver a convenient and secure storage system for department records. Department Record custodians should seek advice from the Records Manager prior to agreeing to any contracts with private off-site storage companies.

## RETENTION AND DISPOSITION

**4.01** The retention and disposition of all records held by the City of Medicine Hat is approved by the CMH-CRS contained in Schedule A of the RMM. The CMH-CRS contains strict guidelines to be followed for the retention of records within the City of Medicine Hat.

## DESTRUCTION OF PAPER RECORDS

**5.01** Those paper records marked for destruction must be destroyed promptly following the expiration of the approved retention period. A register of all paper records destroyed must be kept to ensure compliance with Federal legislation<sup>1</sup>. Details of the procedures to follow with an example destruction certificate are contained in Part 3 of the Records Disposition Program, Schedule B of the RMM.

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<sup>1</sup> CAN/CGSB-72.11-93 Canadian General Standards Board – Microfilm and Electronic Images as Documentary Evidence

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## ARCHIVED PAPER RECORDS

**6.01** In consultation with the City Archivist, the Department Coordinator will determine if a department record is to be transferred to the Archive department. The goal of record archiving is to retain and preserve records of enduring legal, fiscal, administrative or historical value. They will become permanent historical records of the City of Medicine Hat. The transfer of records is documented on the Certificate of Transfer. This certificate and the procedure for Archival and Historical Records can be found in Schedule I of the RMM.