

The Corporation of the City of Kawartha Lakes

Council Report

Report Number CLK2017-005

Date: April 18, 2017
Time: 2:00 p.m.
Place: Council Chambers

Ward Community Identifier:

Subject: Records Retention By-law and Records Management Program Policy

Author/Title: Ann Rooth, Deputy Clerk

Signature: 

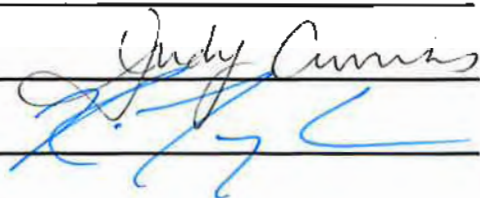
Recommendation(s):

RESOLVED THAT Report CLK2017-005, **Records Retention By-law and Records Management Program Policy**, be received;
THAT the Records Retention Schedule, attached as Appendix A to Report CLK2017-005, be approved;
THAT all records classified under former by-laws of the City or its predecessor municipalities assume the retentions established in the approved Records Retention Schedule attached to this Report;
THAT the policy entitled, Records Management Program Policy, attached as Appendix B to Report CLK2017-005, be approved;
THAT the necessary by-law be brought forward for adoption;
THAT Policy Number 039 CAO 008, Records Management Program and Responsibilities, and Policy Number 132 CAO 024, Electronic Corporate Records Management Program, Policies be rescinded and removed from the Policy Manual; and
THAT a by-law to repeal all previous records retention by-laws, be brought forward for adoption.

Department Head:

Corporate Services Director / Other:

Chief Administrative Officer:



Background:

The Municipal Act, Sections 254 and 255, sets out the parameters for the establishment and maintenance of a municipal records system.

The City currently has a by-law that establishes a records classification scheme and retention periods. The current records classification scheme is based on The Ontario Municipal Records Management System (TOMRMS). Records created in the past, are governed by various Records Retention By-laws that are still in place with various retention periods. This creates inconsistencies in retention periods for some classifications of records based on their date of creation.

The City currently has both a Records Management Program and Responsibilities Policy and an Electronic Corporate Records Management Program Policy. As the City moves toward Electronic Document Records Management, a consolidated approach to both paper and electronic records management is needed. Current records management policies also need to be updated to reflect our current corporate Policy Structure.

This report addresses the following needs:

- Alignment of record retention periods for all records under the care and control of the City to adhere to one records classification scheme with consistent, established retention periods;
- Consolidation of the Electronic Corporate Records Management Program Policy into the corporate Records Management Program Policy; and
- Alignment of the Records Management Program Policy to our current corporate Policy Structure.

Rationale:

The City currently manages records under multiple Records Retention By-laws for various "eras" of Record creation. Staff recommends that the Records Retention Schedule, attached as Appendix A to this Report, be approved and that all records classified under former by-laws of the City or its predecessor municipalities assume the retentions established within. The retention periods established in the new Records Retention Schedule continue to be based on TOMRMS. This will provide for the consistent application of retention periods to all Records under the care and control of the City. In addition, there have been some minor revisions proposed to retention periods based on updated TOMRMS recommendations, departmental needs and to ensure legislative compliance.

The proposed Records Management Program Policy provides a high level Council Policy that aligns with our current corporate Policy Structure and consolidates the governance of physical and electronic Records Management. The proposed Council Policy, if approved, will be supported by a corporate Standard Operating Procedure (SOP) that will describe related operational guidelines and procedures for implementation of the Records Management Program and further define the responsibilities of City staff regarding its administration. This corporate SOP is currently being developed and, once approved, will replace the operating procedures contained in current Records Management Program and Responsibilities and Electronic Corporate Records Management Program Policies.

Proper records management assures that important records are preserved and made available to the organization that creates or acquires them while records that are no longer needed are disposed of in a timely fashion. A current, consistent and relevant Records Retention By-law and Records Management Program Policy are vital to maintain an effective and efficient Records Management Program.

Other Alternatives Considered:

Council could leave the by-law and policies as they currently stand, however, this is not recommended. The proposed changes to the records classification scheme and records retention by-law will enhance corporate consistency and allow for a more timely destruction of certain records when their useful life has passed, therefore freeing up storage space for other records. The proposed Records Management Program Policy will provide a high level governance framework within which the Records Management Program SOP can be established.

Financial Considerations:

There are no financial considerations relating to the recommendation in this report.

Relationship of Recommendation(s) To The 2016-2019 Strategic Plan:

The recommendation within this Report aligns with the Council Adopted Strategic Plan as it supports the Strategic Enabler of Asset Management. The Records of the City of Kawartha Lakes are valuable corporate assets needed to support effective decision making, meet operational requirements, protect legal, fiscal, and other interests of the City and adhere to legislative requirements.

Retention of records is a provincially legislated requirement and the passage of a current, consistent and relevant records classification scheme, records retention periods, and Records Management Program Policy promotes good government by supporting good records management practices.

Review of Accessibility Implications of Any Development or Policy:

N/A

Servicing Comments:

N/A

Consultations:

City Clerk
Records Clerks

Attachments:

Appendix 'A' – Draft Records Retention Schedule



Draft Records
Classification Scheme

Appendix 'B' – Draft Records Management Program Policy



RecordsManagement
CouncilPolicy.docx

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Department Head: Ron Taylor, CAO

Department File:

Schedule 'A' to By-law 2017-
Records Classification Scheme

Primary Codes

| | |
|---|----------|
| Administration | A |
| Council | C |
| Development and Planning | D |
| Environment | E |
| Finance and Accounting | F |
| Human Resources | H |
| Information Management and Technology | I |
| Legal Affairs | L |
| Media, Public Relations and Communications | M |
| Operations | O |
| Protection and Enforcement Services | P |
| Recreation, Culture and Libraries | R |
| Social and Health Care Services | S |
| Transportation and Public Works | T |
| Vehicles and Equipment | V |
| Water, Wastewater and Solid Waste | W |

| Subject Classification Code | Subject Content | Years Active (In Dept) (a) | Inactive Retention Trigger | Years Inactive (Off Site) (b) | Total Retention (a)-(b)-(c) |
|---|--|----------------------------|---|-------------------------------|-----------------------------|
| a) Years Active = the length of time that a record is to be kept on-site in department. b) Years Inactive = the length of time that a record is to be kept off-site at the Records Centre. c) Total Retention = total length of time the record is retained after which the record shall be destroyed (unless total retention is P=Permanent as the record is then retained permanently and is never destroyed). Format (a)-(b)-(c): Years Active-Years Inactive-Total Retention Note: dash (-) is used as a separator | | | | | |
| A | ADMINISTRATION | | | | |
| A00 | Administration – General | 2 | | 0 | 2-0-2 |
| A01 | Activity Summary Reports | 2 | | 0 | 2-0-2 |
| A02 | Associations and Organizations | 2 | | 4 | 2-4-6 |
| A03 | Staff Meetings/Communiqués | 2 | | 4 | 2-4-6 |
| A04 | Retired Code | | | | |
| A05 | Conferences and Seminars | 2 | | 4 | 2-4-6 |
| A06 | Consultants | 2 | | 0 | 2-0-2 |
| A07 | Inventory Control | 2 | | 4 | 2-4-6 |
| A08 | Office Equipment and Furniture | T+2 | T=Disposal of Item/Termination of Lease | 0 | T+2 |
| A09 | Retired Code | | | | |
| A10 | Policies and Procedures | S | Superseded | P | S-P-P |
| A11 | Records Management | S | Superseded | 0 | S-0-S |
| A12 | Telecommunications Systems | S | S=System Replaced | 0 | S-0-S |
| A13 | Travel and Accommodation | 2 | | 0 | 2-0-2 |
| A14 | Retired Code | | | | |
| A15 | Vendors and Suppliers | S | Superseded | 0 | S-0-S |
| A16 | Signing Authorities | S | Superseded | 0 | S-0-S |
| A17 | Goals and Objectives | 2 | | 4 | 2-4-6 |
| A18 | Security | 2 | | 4 | 2-4-6 |
| A19 | Inspections | 2 | | 4 | 2-4-6 |
| A20 | Departmental Working Papers | 2 | | 0 | 2-0-2 |
| A21 | Retired Code | | | | |
| A22 | Office Supplies | 2 | | 0 | 2-0-2 |
| A23 | Retired Code | | | | |
| A24 | Committees of Council | 2 | | 4 | 2-4-6 |
| A25 | Municipal Freedom of Information and Protection of Privacy Act | 2 | | 0 | 2-0-2 |
| A26 | Retired Code | | | | |
| A27 | Retired Code | | | | |
| A28 | Records Disposition | P | | P | P |
| A29 | Uniforms and Clothing | S | Superseded | 0 | S-0-S |
| A30 | Intergovernmental Relations | 2 | | 4 | 2-4-6 |
| A31 | Facilities Bookings | 2 | | 0 | 2-0-2 |
| A32 | PHIPA | 2 | | 0 | 2-0-2 |
| A33 | Delegation of Responsibility | S | Superseded | 0 | S-0-S |
| A34 | Accessibility | 2 | | 4 | 2-4-6 |
| C | COUNCIL | | | | |
| C00 | Council - General | 2 | | 0 | 2-0-2 |
| C01 | By-Laws | 2 | | P | 2-P-P |
| C02 | By-Law Background | 2 | | 4 | 2-4-6 |
| C03 | By-Laws and Resolutions – Other Municipalities | 2 | | 4 | 2-4-6 |
| C04 | Retired Code | | | | |

P=Permanent T= Terminated S= Superseded (replaced by most recent version)

Note: All records are subject to archival selection

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| C05 | Council and Standing Committee Minutes and Agendas (includes all attachments to the minutes such as original reports) | 2 | | P | 2-P-P |
| C06 | Committees of Council – Minutes and Agendas (Excludes Health and Social Services Committees of Council – Minutes and Agendas - See C19) | 2 | | 4 | 2-4-6 |
| C07 | Retired Code | | | | |
| C08 | Elections | T+4 | T=120 Days after Voting or Resolution of Recount | 0 | T+4 |
| C09 | Federal Legislation | S | Superseded | 0 | S-0-S |
| C10 | Provincial Legislation | S | Superseded | 0 | S-0-S |
| C11 | Public Agencies and Boards | 2 | | 4 | 2-4-6 |
| C12 | Request for Name Use | T+2 | T=Name Use Discontinued | 0 | T+2 |
| C13 | Council Resolution Background | 2 | | 0 | 2-0-2 |
| C14 | Confidential Reports | 2 | | P | 2-P-P |
| C15 | Retired Code | | | | |
| C16 | Retired Code | | | | |
| C17 | Retired Code | | | | |
| C18 | Draft Reports | 2 | | 0 | 2-0-2 |
| C19 | Health and Social Services Committees of Council – Minutes and Agendas | 2 | | P | 2-P-P |
| C20 | Audio or Video Recordings of Council and Standing Committee Meetings | 1 | | 0 | 1-0-1 |
| C21 | Accountability, Transparency and Governance | T+2 | T=Matter Resolved | 4 | T+2-4-T+6 |
| D | DEVELOPMENT AND PLANNING | | | | |
| D00 | Development and Planning - General | 2 | | 0 | 2-0-2 |
| D01 | Official Plan | S+1 | Superseded | P | S+1-P-P |
| D02 | Official Plan Background | T+5 | T=Official Plan Amendment Adopted | 0 | T+5 |
| D03 | Consents | T+5 | T=File Closed | P | T+5-P-P |
| D04 | Condominium Plans | T+5 | T=Project Completed | P | T+5-P-P |
| D05 | Subdivision Plans | T+5 | T=Project Completed | P | T+5-P-P |
| D06 | Zoning | T+5 | T=Project Completed | P | T+5-P-P |
| D07 | Studies and Surveys | 5 | | 5 | 5-5-10 |

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| D08 | Road Closings | 5 | | 5 | 5-5-10 |
| D09 | Maps, Photos and Surveys | S | Superseded | 0 | S-0-S |
| D10 | Economic Development | 5 | | 5 | 5-5-10 |
| D11 | Pits and Quarries | T+5 | T=Pit/Quarry Closed | 0 | T+5 |
| | (Excludes Specifications – See D45) | | | | |
| D12 | Industrial Lands – Other Municipalities | 5 | | 5 | 5-5-10 |
| D13 | Retired Code | | | | |
| D14 | Demographic Studies | 5 | | 5 | 5-5-10 |
| D15 | Environment Planning | 5 | | 5 | 5-5-10 |
| D16 | Residential Development | 5 | | 5 | 5-5-10 |
| D17 | Natural Resources | 5 | | 5 | 5-5-10 |
| D18 | Retired Code | | | | |
| D19 | Site Plan Control | T+5 | T=File Closed | P | T+5-P-P |
| D20 | Minor Variances | T+5 | T=Final Decision | P | T+5-P-P |
| D21 | Easements | T | T=File Closed or Easement Registered | P | T-P-P |
| D22 | Retired Code | | | | |
| D23 | City of Kawartha Lakes Transition | T+5 | T=Restructuring Complete | P | T+5-P-P |
| | (Annexation/Amalgamation) | | | | |
| D24 | Community Improvement Projects/Programs | T+1 | T=Completion of the Project | 5 | T+1-5-T+6 |
| D25 | Municipal Addressing | T | Superseded | P | T-P-P |
| D26 | Reference Plans, Registered Plans and Registers | S | Superseded | P | S-P-P |
| D27 | Industrial Development | 5 | | 5 | 5-5-10 |
| D28 | Commercial Development | 5 | | 5 | 5-5-10 |
| D29 | Agriculture Development | 5 | | 5 | 5-5-10 |
| D30 | Deeming By-Laws for Subdivisions | 5 | | P | 5-P-P |
| D31 | Interim Control | 5 | | 5 | 5-5-10 |
| D32 | Retired Code | | | | |
| D33 | Private Roadways | T | T=Application approval | 50 | T+50 |
| D34 | Heritage Properties | 5 | | P | 5-P-P |
| D35 | Retired Code | | | | |
| D36 | Compliance Letters | 5 | | P | 5-P-P |
| D37 | Development Charges | 5 | | P | 5-P-P |
| D38 | Pre-consultation | T+5 | T=File Dormant | P | T+5-P-P |
| D39 | Heritage Conservancy | 5 | | P | 5-P-P |
| D40 | Planning GIS | S | Superseded | 0 | S-0-S |
| D41 | Small Business and Entrepreneurship Centre | 5 | | 5 | 5-5-10 |
| D42 | Tourism Development | 5 | | 5 | 5-5-10 |
| D43 | Renewable Energy Projects | T+5 | T=Project Completed | P | T+5-P-P |

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| D44 | Telecommunication Facilities | T+5 | T=Project Completed | P | T+5-P-P |
| D45 | Specifications | T | T=Project Completed | P | T-P-P |
| E | ENVIRONMENT | | | | |
| E00 | Environment – General | 2 | | 0 | 2-0-2 |
| E01 | Environmental Monitoring/Enforcement | 5 | | P | 5-P-P |
| E02 | Hazardous Materials | S | Superseded | 3 | S-3-S+3 |
| E03 | Retired Code | | | | |
| E05 | Forests | 2 | | 8 | 2-8-10 |
| E06 | Agriculture | 2 | | 8 | 2-8-10 |
| E07 | Retired Code | | | | |
| E08 | Meteorological Summaries/Rainfall | T | T=File Closed | P | T-P-P |
| E09 | Energy Management | T+2 | T=End of Reporting Period | 8 | T+2-8-T+10 |
| F | FINANCE AND ACCOUNTING | | | | |
| F00 | Finance and Accounting – General | 2 | | 0 | 2-0-2 |
| F01 | Accounts Payable | 2 | | 5 | 2-5-7 |
| F02 | Accounts Receivable | 2 | | 5 | 2-5-7 |
| F03 | Audits and Auditing | 2 | | 5 | 2-5-7 |
| F04 | Banking | 2 | | 5 | 2-5-7 |
| F05 | Budgets and Estimates | 2 | | 5 | 2-5-7 |
| F06 | Capital Assets and Holdbacks | 2 | | 5 | 2-5-7 |
| F07 | Cheques | 2 | | 5 | 2-5-7 |
| F08 | Debentures and Bonds | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| F09 | Employee and Council Expenses | 2 | | 5 | 2-5-7 |
| F10 | Audited Financial Statements and Financial Information Return (FIR) | 2 | | P | 2-P-P |
| F11 | Financial Working Papers | 2 | | 0 | 2-0-2 |
| F12 | Grants/Subsidies/Incentives | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| F13 | Journal Vouchers | 2 | | 5 | 2-5-7 |
| F14 | General Ledgers and Journals | 2 | | P | 2-P-P |
| F15 | Subsidiary Ledgers, Registers and Journals | 2 | | 5 | 2-5-7 |
| F16 | Social Services Payments | 2 | | 6 | 2-6-8 |
| F17 | Payroll | 2 | | 5 | 2-5-7 |
| F18 | Purchase Orders and Requisitions | 2 | | 5 | 2-5-7 |
| F19 | Quotations and Tenders | 2 | | 5 | 2-5-7 |
| F20 | Receipts | 2 | | 5 | 2-5-7 |
| F21 | Reserve Funds | 2 | | 5 | 2-5-7 |
| F22 | Revenues, Others | 2 | | 5 | 2-5-7 |
| F23 | Taxation | 2 | | 5 | 2-5-7 |
| F24 | Residents' Allowances | 2 | | 5 | 2-5-7 |
| F25 | Investments | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| F26 | Tax Rolls/Assessment Rolls and Records | S | Superseded | P | S-P-P |
| F27 | Write-offs | 2 | | 5 | 2-5-7 |

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| F28 | Trust Funds | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| F29 | Security Deposit | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| F30 | Timesheets/Overtime Sheets | 2 | | 5 | 2-5-7 |
| F31 | Retired Code | | | | |
| F32 | Retired Code | | | | |
| F33 | Retired Code | | | | |
| F34 | Tax Sale | T+2 | T=Sale Completed | P | T+2-P-P |
| F35 | Business Plans | 2 | | P | 2-P-P |
| F36 to F42 | Retired Codes | | | | |
| F43 | Water and Wastewater Billing | 2 | | 5 | 2-5-7 |
| F44 | Retired Code | | | | |
| F45 | Retired Code | | | | |
| F46 | Credit Applications | T+2 | T=File Closed | 0 | T+2 |
| F47 to F54 | Retired Codes | | | | |
| F55 | Budget Documents - Final | 5 | | P | 5-P-P |
| F56 | Social Housing Programs | T+2 | T=Program Ends | 5 | T+2-5-T+7 |
| F57 | Public Sector Accounting Board (PSAB) | 2 | | P | 2-P-P |
| H | HUMAN RESOURCES | | | | |
| H00 | Human Resources - General | 2 | | 0 | 2-0-2 |
| H01 | Attendance | 2 | | 4 | 2-4-6 |
| H02 | Employee Culture | 2 | | 4 | 2-4-6 |
| H03 | Employee Records | T+1 | T=Termination of Employee | 49 | T+1-49-T+50 |
| H04 | Health and Safety | 2 | | 5 | 2-5-7 |
| H05 | Human Resource Planning | S | Superseded | 2 | S+2 |
| H06 | Job Descriptions | S | Superseded | 2 | S+2 |
| H07 | Labour Relations | 2 | | 4 | 2-4-6 |
| H08 | Organization/Structure | S | Superseded | 2 | S+2 |
| H09 | Salary Planning | S | Superseded | 7 | S+7 |
| H10 | Pensions | T+1 | T=Termination of Employee | 49 | T+1-49-T+50 |
| | (Excluding Other than Continuous Time – See H28) | | | | |
| H11 | Recruitment | 2 | | 4 | 2-4-6 |
| H12 | Pay Equity and Job Evaluation | T | T=Plan Posted and Appeal Deadline Past | 100 | T+100 |
| H13 | Training and Development | 2 | | 4 | 2-4-6 |
| H14 | Performance Management Program | 2 | | 4 | 2-4-6 |
| H15 | Training Course Records | 2 | | 4 | 2-4-6 |
| H16 | Applications and Resumes | 2 | | 0 | 2-0-2 |
| H17 | Benefits Administration | 2 | | 5 | 2-5-7 |
| H18 | Retired Code | | | | |
| H19 | Awards and Recognition | 2 | | 4 | 2-4-6 |

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| H20 | Retired Code | | | | |
| H21 | Retired Code | | | | |
| H22 | Placement – Co-op and Volunteers | 2 | | 4 | 2-4-6 |
| H23 | Retired Code | | | | |
| H24 | Workers Safety and Insurance/Rehabilitation | T+1 | T=Resolution of Claim | 49 | T+1-49-T+50 |
| H25 | Employee Incident Reports | T+1 | T=Resolution of Claim | 49 | T+1-49-T+50 |
| H26 | Retired Code | | | | |
| H27 | Grievances and Arbitrations | T+2 | T=Resolution | P | T+2-P |
| H28 | Labour Negotiations | T | T=Expiry of Contract Period | 20 | T+20 |
| H29 | Licensing and Abstracts | T+3 | T=Expiry of License/Abstract | 12 | T+3-12-T+15 |
| H30 | Workplace Investigations | 10 | | 0 | 10-0-10 |
| H31 | Human Rights | 10 | | 0 | 10-0-10 |
| I | INFORMATION MANAGEMENT AND TECHNOLOGY | | | | |
| I00 | General | 2 | | 0 | 2-0-2 |
| I01 | Applications and Technology | S | Superseded | 6 | S+6 |
| L | LEGAL AFFAIRS | | | | |
| L00 | Legal Affairs - General | 2 | | 0 | 2-0-2 |
| L01 | Appeals and Hearings | T | T=Appeals exhausted | P | T-P-P |
| L02 | Litigation (Claims against the City) | T+3 | T=Resolution of claim and appeals exhausted or 18th Birthday of Minor | 0 | T+3 |
| L03 | Litigation (Claims by the City) | T+3 | T=Resolution of claim and appeals exhausted or 18th birthday of Minor | 0 | T+3 |
| L04 | Contracts and Agreements – Permanent | T+2 | T=Agreement Expiry | P | T+2-P-P |
| | (Excludes Contract and Agreements - Not Permanent - See L17 and Registered Documents – Land – See L25) | | | | |
| L05 | Insurance Policies | T+2 | T=Expiry of policy | P | T+2-P-P |
| L06 | Land Acquisition and Disposition | T | T=Acquisition or Sale Complete | P | T-P-P |
| L07 | Licences and Permits Held By City | T+2 | T=Expiry of Licence or Permit | 13 | T+2-13-T+15 |
| L08 | Property Appraisal | T | T=File Closed | 6 | T+6 |

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| L09 | Municipal Consents | T | T=File Closed | P | T-P-P |
| L10 | Licences and Permits Issued by the City | T | T=Expiry or Revocation of Licence or Permit | 2 | T+2 |
| | (Excludes Building Permits) | | | | |
| L11 | Residential Building Permits and Agricultural Permits Not in Excess of 600 m2 | T+6 | T=Permit Completed | 9 | T+6-9-T+15 |
| L12 | Legal Opinions and Briefs | T+2 | T=File Closed | 5 | T+2-5-T+7 |
| L13 | Precedents | S | Superseded | 0 | S-0-S |
| L14 | Vital Statistics | 2 | | P | 2-P-P |
| L15 | Prosecution Files | 2 | | 5 | 2-5-7 |
| L16 | Retired Code | | | | |
| L17 | Contracts and Agreements - Not Permanent | T+2 | T=Expiry of Agreement | 13 | T+2-13-T+15 |
| | (Excludes Contract and Agreements – Permanent See L04) | | | | |
| L18 | Regulatory Approvals | T | T=Project Completed | P | T-P-P |
| L19 | Provincial Offences | 4 | | 3 | 4-3-7 |
| L20 | Estates/Wills | T | T=File Closed | 10 | T-10 |
| L21 | Non-Residential Building Permits | T+6 | T=Permit Completed | P | T+6-P |
| L22 | Medium-rise and High-rise Residential Building Permits and Agricultural Permits in Excess of 600 m2 | T+6 | T=Permit Completed | P | T+6-P |
| L23 | Sewage System Permits | T+6 | T=Permit Completed | P | T+6-P |
| L24 | Two Unit Registrations | 2 | | P | 2-P-P |
| L25 | Registered Documents – Land | T | T=File Closed or Documents Registered | P | T-P-P |
| L26 | First Nations Notifications | T | T=Final Notice Sent | P | T-P-P |
| L27 | General Claims or Potential Litigation | T+3 | T=Year of Loss or Resolution of | 2 | T+3-2-T+5 |
| L28 | General Claims or Potential Litigation – Minors | T+3 | T=Year of Loss or Resolution of | 20 | T+3-20-T+23 |
| L29 | Certificates of Insurance | T+1 | T=Expiry of Certificate | 14 | T+1-14-T+15 |
| L30 | Underwriting Information - Correspondence with Insurer, Insurance and Claims Reports | 2 | | 4 | 2-4-6 |
| L31 | RICO 2218 and Write Offs | 10 | | 27 | 10-27-37 |
| L32 | Search Warrants and Records | 10 | | 30 | 10-30-40 |
| L33 | POA Tapes | 4 | | 3 | 4-3-7 |
| L34 | Provincial Offences Collections | 4 | | 3 | 4-3-7 |
| M | MEDIA, PUBLIC RELATIONS AND COMMUNICATIONS | | | | |

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| M00 | Media, Public Relations and Communications - General | 2 | | 0 | 2-0-2 |
| M01 | Advertising | 2 | | 0 | 2-0-2 |
| M02 | Ceremonies and Events | 2 | | 3 | 2-3-5 |
| M03 | Charitable Campaigns/Fundraising | 2 | | 0 | 2-0-2 |
| M04 | Complaints, Commendations and Inquiries | 2 | | 3 | 2-3-5 |
| M05 | News Clippings | 2 | | 0 | 2-0-2 |
| M06 | News Releases | 2 | | 0 | 2-0-2 |
| M07 | Promotion and Public Relations | 2 | | 0 | 2-0-2 |
| M08 | Publications | T | T=Publication Completed | 6 | T+6 |
| M09 | Speeches and Presentations | 2 | | 0 | 2-0-2 |
| M10 | Awards and Plaques – External | 2 | | P | 2-P-P |
| M11 | Public Participation | 2 | | 0 | 2-0-2 |
| M12 | Visual Identity, Branding, Logos and Insignia | 2 | | P | 2-P-P |
| M13 | Photographs, Videos and Slides | 2 | | P | 2-P-P |
| M14 | Web Sites and Social Media | S | Superseded | 0 | S-0-S |
| M15 | Marketing Plans | S | S=Plan Superseded | 6 | S+6 |
| O | OPERATIONS | | | | |
| O00 | Operations - General | 2 | | 0 | 2-0-2 |
| O01 | Drawings/Plans | S | Superseded | 0 | S-0-S |
| O02 | Property Files | 2 | | P | 2-P-P |
| O03 | Facilities Construction and Renovations | T | T=Disposition of Facility or Construction Project Replaced | 5 | T+5 |
| O04 | Building and Property Maintenance | 2 | | 3 | 2-3-5 |
| O05 | Municipal Drainage | 2 | | P | 2-P-P |
| O06 | Tile Drain Loans | T+2 | T=Loan | P | T+2-P-P |
| O07 | Field Books | T+2 | T=File Closed | 4 | T+6 |
| P | PROTECTION and ENFORCEMENT SERVICES | | | | |
| P00 | Protection and Enforcement Services - General | 2 | | 0 | 2-0-2 |
| P01 | By-Law Enforcement | T+2 | | 13 | T+2-13-T+15 |
| P02 | Daily Occurrence Logs | 2 | | 4 | 2-4-6 |
| P03 | Incident/Accident Reports | T+2 | T=Incident/Accident Resolved | 0 | T+2 |
| P04 | Investigations | 2 | | 8 | 2-8-10 |
| P05 | Pound Sheets | 2 | | 4 | 2-4-6 |
| P06 | Emergency Planning | S | Superseded | 0 | S-0-S |
| P07 | Fire Suppression Services | T | T=File Closed | 5 | T+5 |
| P08 | Paramedic/Ambulance Services | T | T=File Closed | 5 | T+5 |
| P09 | Policing Services | 2 | | 4 | 2-4-6 |

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| P10 | Fire Prevention | T | T=File Closed | 5 | T+5 |
| P11 | Fire Investigations/Incidents | 2 | | 8 | 2-8-10 |
| P12 | Fire Guidelines | S+2 | Superseded | 0 | S+2 |
| P13 | Base Hospital Program | T | T=Program Expired | 10 | T+10 |
| P14 | Retired Code | | | | |
| P15 | Order to Restrain Orders and Appeals | 2 | | 18 | 2-18-20 |
| P16 | Municipal Law Enforcement Officer Memo Books | T+5 | T=Last Date of Input | 10 | T+5-10-T+15 |
| P17 | Fire Inspections by Address | T | T=Building No Longer Exists | 5 | T+5 |
| R | RECREATION, CULTURE and LIBRARIES | | | | |
| R00 | Recreation, Culture and Libraries - General | 2 | | 0 | 2-0-2 |
| R01 | Library Programs/Services | 2 | | 4 | 2-4-6 |
| R02 | Parks Management | 2 | | 4 | 2-4-6 |
| R03 | Retired Code | | | | |
| R04 | Heritage and Art Collection and Preservation | T | T=Disposition of Collection | P | T-P-P |
| R05 | Museum and Archival Services | 2 | | 4 | 2-4-6 |
| R06 | Recreation Facilities | 2 | | 4 | 2-4-6 |
| R07 | Recreational Programming | 2 | | 4 | 2-4-6 |
| R08 | Recreation Volunteer Committees | 2 | | 4 | 2-4-6 |
| R09 | Playground Equipment | 2 | | P | 2-P-P |
| S | SOCIAL AND HEALTH CARE SERVICES | | | | |
| S00 | Social and Health Care Services - General | 2 | | 0 | 2-0-2 |
| S01 | Assistive Devices Programs | 2 | | 4 | 2-4-6 |
| S02 | Dietary Services | 2 | | 0 | 2-0-2 |
| S03 | Social Assistance Programs | T | T=Program Completed | 7 | T+7 |
| S04 | Retired Code | | | | |
| S05 | Retired Code | | | | |
| S06 | Residents' Files – Victoria Manor | T+1 | T=Death or Discharge of Client | 9 | T+10 |
| S07 | Residents' Charts – Victoria Manor | T+1 | T=Death or Discharge of Client | 9 | T+10 |
| S08 | Ontario Works Income Support Case Records (Excluding Income Support Case Records-Overpayment See S47) | T+1 | T=Case Closed | 4 | T+1-4-T+5 |
| S09 | Activities and Functions | 2 | | 4 | 2-4-6 |
| S10 | Activity Assessment | S | Superseded | 0 | S-0-S |
| S11 | Prospective Residents | 5 | | 0 | 5-0-5 |
| S12 | Retired Code | | | | |

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| S13 | Long Term Care | T+1 | T=Death or Discharge of Client | 9 | T+10 |
| S14 | Retired Code | | | | |
| S15 | Social Services Statistics | S | Superseded | 0 | S-0-S |
| S16 | Retired Code | | | | |
| S17 | Elderly Assistance | 2 | | 5 | 2-5-7 |
| S18 | Retired Code | | | | |
| S19 | Children's Services Programs | 2 | | 5 | 2-5-7 |
| S20 | Cemetery Records | 2 | | P | 2-P-P |
| S21 | Children's Services Applicant Files/ Case Records | T+2 | T=Discharge of Child | 5 | T+2-5-T+7 |
| S22 | Hospitals | 2 | | 5 | 2-5-7 |
| S23 to S32 | Retired Codes | | | | |
| S33 | Family Health Programs and Services | T | T=Program Completed | 10 | T+10 |
| S34 | Retired Code | | | | |
| S35 | Ministry Correspondence | 2 | | 5 | 2-5-7 |
| S36 to S46 | Retired Codes | | | | |
| S47 | Ontario Works Income Support Case-Overpayment | T | T=Case Closed/Written Off | P | T-P-P |
| S48 | Social Housing Programs | T+2 | T=Program completed | 5 | T+2-5-T+7 |
| S49 | Social Housing Administration | T+2 | T=Program completed | 5 | T+2-5-T+7 |
| S50 | Social Housing Centralized Wait List | T+2 | T=Program completed | 5 | T+2-5-T+7 |
| S51 | Catering-Dietary Production Sheets | 7 | | 0 | 7-0-7 |
| T TRANSPORTATION and PUBLIC WORKS | | | | | |
| T00 | Transportation and Public Works - General | 2 | | 0 | 2-0-2 |
| T01 | Road Construction | T | T=Project Completed | 10 | T+10 |
| T02 | Transportation Design and Planning (Excludes specifications – See T14) | T | T=Project Completed | 10 | T+10 |
| T03 | Maintenance and Surface Operations (Exclude sidewalk maintenance – See T30) | T+2 | T=Maintenance Completed | 4 | T+2-4-T+6 |
| T04 | Transportation Studies | 2 | | 8 | 2-8-10 |
| T05 | Traffic | 2 | | 4 | 2-4-6 |
| T06 | Pits and Quarries - City Owned (Excludes specifications – See T14) | T | T=Pit/Quarry Closed | P | T-P-P |
| T07 | Storm Sewers and Drains | T | T=Project Completed | P | T-P-P |

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| T08 | (Excludes specifications – See T14) | | | | |
| T09 | Trees (See also T32 Trees - Nuisance Respecting City Owned Trees) | 2 | | 4 | 2-4-6 |
| T10 | Utilities | 2 | | 4 | 2-4-6 |
| T11 | Structures/Bridges | T | T=Disposition or Replacement of Structure | 25 | T+25 |
| | (Excludes specifications – See T14) | | | | |
| T12 | | | | | |
| T13 | | | | | |
| T14 | Specifications | T | T=Project Completed | P | T-P-P |
| T15 | Street Lighting | 2 | | 4 | 2-4-6 |
| T16 | Parking | 2 | | 4 | 2-4-6 |
| T17 | Public Transit | 2 | | 4 | 2-4-6 |
| T18 | Signs and Signals | T | T=Signs/Signals Removed | 10 | T+10 |
| T19 | Roads and Lane Closures | T | T=Project Completed | 2 | T+2 |
| T20 | | | | | |
| T21 | Railway and Road Intersecting Crossings | 2 | | 8 | 2-8-10 |
| T22 | Directives - M.T.O | 2 | | 4 | 2-4-6 |
| T23 | Pavement Management/Test Laboratory | T | T=File Dormant | 25 | T+25 |
| T24 | Infrastructure Management | T | T=Project Completed | P | T-P-P |
| T25 | Airport | 2 | | 4 | 2-4-6 |
| T26 | Transportation Master Plans | S | Superseded | 20 | S+20 |
| T27 | Road Assumptions | T | T=Project Completed | 50 | T+50 |
| T28 | Winter Control | T+2 | T=Maintenance Completed | 4 | T+2 4-T+6 |
| T29 | Depots/Domes (Excludes Specifications – See T14) | 2 | | 23 | 2-23-25 |
| T30 | Sidewalk Maintenance (Excludes Specifications – See T14) | T+2 | T=Maintenance Completed | 4 | T+2-4-T+6 |
| T31 | Salt Management Plan | S+2 | Superseded | 5 | S+2-5-S+7 |
| T32 | Trees - Nuisance Respecting City Owned Trees (See also T09 Trees) | T | T=File Closed | P | T-P-P |

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| V | VEHICLES AND EQUIPMENT | | | | |
| V00 | Vehicles and Equipment - General | 2 | | 0 | 2-0-2 |
| V01 | Fleet Management Program | T | T=Disposal of vehicle | 2 | T+2 |
| V02 | Mobile Equipment | T+2 | T=Disposal of Equipment | 4 | T+2-4-T+6 |
| V03 | Transportable Equipment | T+2 | T=Disposal of Equipment | 4 | T+2-4-T+6 |
| V04 | Protective Apparel and Equipment | T+2 | T=Disposal of Equipment | 4 | T+2-4-T+6 |
| V05 | Communications Equipment | T+2 | T=Disposal of Equipment | 4 | T+2-4-T+6 |
| V06 | Fire Fighting, Rescue and Medical Equipment | T+2 | T=Disposal of Equipment | 4 | T+2-4-T+6 |
| V07 | Duty Status Sheets | 6 months | | 0 | 6 months |
| W | WATER, WASTEWATER AND SOLID WASTE | | | | |
| W00 | Water, Wastewater and Solid Waste - General | 2 | | 0 | 2-0-2 |
| W01 to W07 | Retired Codes | | | | |
| W08 | Wastewater Collection - Long Retention | 2 | | 13 | 2-13-15 |
| | (See also W31 Wastewater Collection – Short Retention) | | | | |
| | (Excludes specifications – See W24) | | | | |
| W09 | Storm Water Management | T | T=System | 10 | T+10 |
| | (Excludes specifications – See W24) | | | | |
| W10 | Water - DWQMS | 2 | | 13 | 2-13-15 |
| W11 | Water Treatment - Safe Drinking Water Act (SDWA) Long Retention | 2 | | 13 | 2-13-15 |
| | (See also W32 Water Treatment – Safe Drinking Water Act (SDWA) Short Retention) | | | | |
| | (Excludes specifications – See W24) | | | | |
| W12 | Retired Code | | | | |
| W13 | Retired Code | | | | |
| W14 | Water Distribution - Safe Drinking Water Act (SDWA) Long Retention | 2 | | 13 | 2-13-15 |
| | (See also W33 Water Distribution – Safe Drinking Water Act (SDWA) Short Retention) | | | | |
| | (Excludes specifications – See W24) | | | | |
| W15 | Rural Water and Wastewater Issues | T | T=Issue Resolved | 50 | T+50 |

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| W16 | Wastewater Treatment - Long Retention (See also W34 Wastewater Treatment - Short Retention) (Excludes specifications – See W24) | 2 | | 13 | 2-13-15 |
| W17 | Water and Wastewater Laboratory Services | 2 | | 13 | 2-13-15 |
| W18 | Retired Code | | | | |
| W19 | Industrial Waste | 2 | | 8 | 2-8-10 |
| W20 | Solid Waste | 2 | | 8 | 2-8-10 |
| W21 | Solid Waste Landfill Operations and Maintenance | 5 | | 5 | 5-5-10 |
| W22 | Landfill Monitoring Programs | 5 | | P | 5-P-P |
| W23 | Master Plans and Master Servicing Studies | S | Superseded | 20 | S+20 |
| W24 | Specifications | T | T=Project Completed | P | T-P-P |
| W25 | Investigations | T | T=Investigation Complete | P | T-P-P |
| W26 | Waste Diversion Programs | 7 | | 3 | 7-3-10 |
| W27 | Locates | T | T=File Closed | 3 | T+3 |
| W28 | Bulk Water | 2 | | 5 | 2-5-7 |
| W29 | Source Water Protection | 2 | | 13 | 2-13-15 |
| W30 | Operator Certifications | T+1 | T=Termination or Transfer of Employee from | 5 | T+1-5-T+6 |
| W31 | Wastewater Collection - Short Retention (See also W08 Wastewater Collection – Long Retention) (Excludes specifications – See W24) | 2 | | 5 | 2-5-7 |
| W32 | Water Treatment - Safe Drinking Water Act (SDWA) Short Retention (See also W11 Water Treatment - Safe Drinking Water Act (SDWA) Long Retention) (Excludes specifications – See W24) | 2 | | 5 | 2-5-7 |
| W33 | Water Distribution - Safe Drinking Water Act (SDWA) Short Retention (See also W14 Water Distribution – Safe Drinking Water Act (SDWA) Long Retention) (Excludes specifications – See W24) | 2 | | 5 | 2-5-7 |
| W34 | Wastewater Treatment - Short Retention (See also W16 Wastewater Treatment – Long Retention) (Excludes specifications – See W24) | 2 | | 5 | 2-5-7 |

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Council Policy

| | |
|---|----------------------------|
| Council Policy No.: | |
| Council Policy Name: | Records Management Program |
| Date Approved by Council: | |
| Date revision approved by Council: | |
| Related SOP, Management Directive, Council Policy, Form | |

Policy Statement and Rationale:

The records of the City of Kawartha Lakes are valuable corporate assets needed to support effective decision making, meet operational requirements, protect legal, fiscal, and other interests of the City and adhere to legislative requirements. Records must be created, captured and classified in accordance with the City's Records Retention By-law. The City's Records Classification Scheme is based on The Ontario Municipal Records Management System (TOMRMS).

Scope:

This policy applies to all City operations.

Policy:

1. The City shall maintain a Records Management Program to ensure corporate control is exercised over the creation, distribution, utilization, retention, storage, retrieval, protection, preservation and final disposition of City Records, in accordance with legislation and by-laws.
2. The City Clerk shall be responsible for the corporate administration of the Records Management Program.
3. **ALL** City staff and all Members of Council shall be responsible for adhering to the Records Management Program.
4. All Records, regardless of medium or format, are the property of the City and subject to its control.
5. The key principles of the City's corporate Records Management Program are:
 - Accessibility
 - Accountability and stewardship



Council Policy

- Risk management
- Usability and quality control
- Information security

6. The key benefits of a corporate Records Management Program include:

- Preserve corporate and historical memory
- Ensure regulatory compliance
- Reduce operating costs for effective and efficient service
- Minimization of litigation risk
- Safeguard vital information
- Foster professionalism in an organization
- Informed decision making

7. Standard Operating Procedures shall describe the related operational guidelines and procedures for implementation of the Records Management Program and further define the responsibilities of City staff regarding its administration.

Revision History:

Proposed Date of Review:

| Revision | Date | Description of changes | Requested By |
|----------|--------|------------------------|--------------|
| 0.0 | [Date] | Initial Release | |
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