



## **Records Management Policy**

**Policy 2008 -FA-01**

**Town of Stratford  
April 2008**

<b>TOWN OF STRATFORD - COUNCIL POLICY</b>			
<b>Name:</b>	<b>Records Management Policy</b>	<b>Policy Number:</b>	<b>2008-FA-01</b>
<b>Committee:</b>	<b>Finance and Administration</b>	<b>Approval Date:</b>	<b>April 9, 2008</b>

## **1. Introduction**

The Town of Stratford recognises that it has an obligation to ensure that proper arrangements are made for the preservation and management of all municipal records. An effective records management system ensures that information:

- is received or created, stored and retrieved efficiently;
- is destroyed or preserved in accordance with Council’s retention schedules;
- meets current and future needs, and is capable of supporting change; and
- is easily accessible to those who make use of the records.

This policy is intended to establish an effective records management system for the Town of Stratford that meets the objectives stated above.

## **2. Definitions**

For the purpose of this policy:

- a. “Active Record (A)” means a record that is used regularly and is stored in the office for easy access;
- b. “Destroyed (D)” means a record that is destroyed in a manner that preserves the confidentiality of any of the information contained therein when it’s retention period expires and the record is scheduled for destruction;
- c. “Final Disposition (FD)” indicates what to do with a record after its’ retention period has expired;
- d. “Historic (H)” means a record that has historical value which is to be kept permanently and protected for future reference or display in a secure location or transferred to the Provincial Archives.;
- e. “Permanent (P)” means a record that has administrative value that is to be kept permanently in a secure location;

- f. “Record” means any recorded information regardless of medium (including paper, and electronic) which is created, received, processed, used and stored or destroyed by the Town;
- g. “Semi-Active Record (SA)” means a record that is used infrequently and is stored in designated archive storage locations outside of the office;
- h. “Transitory Record” means a record, including email, voice mail or text message, having only temporary value which has no administrative, legal or historical value and does not need to be classified in accordance with this policy and which includes:
  - i. a duplicate copy of a record;
  - ii. a publication, catalogue, pamphlet etc. that does not form part of a record;
  - iii. unsolicited advertising;
  - iv. preliminary drafts of correspondence and reports;
  - v. records not related to the business of the Town or Town entity;
  - vi. any other record which has no administrative, legal or historical value.

### **3. Scope and Responsibility**

This policy applies to all of the records of the Town and Town entities. All records shall be created, received, classified, maintained, accessed, retrieved, stored, preserved or destroyed in accordance with this policy. The Chief Administrative Officer and Department Heads shall be responsible for ensuring that all records in their respective areas of responsibility are managed in accordance with this policy. The Chief Administrative Officer and each Department Head shall designate a staff person in their Department who shall have the day to day responsibility for administering this policy in each Department.

### **4. Records Management System**

All Records, except for transitory records, shall be classified, stored, retained or destroyed in accordance with the following:

#### **a. Records Classification**

Records shall be classified by function and arranged in block numeric format. The format has three levels - Main Group, Primaries and Secondaries.

i. Main Groups

Main Groups represent the basic functions of the organization. The following shall be the Main Groups and the blocks of numbers assigned to each:

Main Group	Numerical Range
Administration	0100 - 0999
Finance	1000 - 1999
Human Resources	2000 - 2499
Information Technology	2500 - 2999
Public Works	3000 - 3999
Utility	4000 - 4999
Planning, Development and Heritage	5000 - 5999
Recreation, Parks and Culture	6000 - 6999
Economic Development and Promotion	7000 - 7999
Public Protection	8000 - 8999

ii. Primaries

Each main group is subdivided into primary groups. Each primary relates to a function, activity or subject of the main group. Primaries are arranged in alphabetical order with the exception of the first primary which is always the general file of the main group. Numerical gaps are left between primaries for expansion.

iii. Secondaries

Each primary is subdivided into secondaries which provide a more specific classification title and number for information, data, or records which relate to the primary. The secondary number is a two-digit number added to the primary number but separated by a hyphen to form a complete classification number (ie 15100-20). There are three types of secondaries - common menu secondaries, subject file secondaries and case file secondaries.

(1) Common Menu Secondaries

The common menu secondaries are standard secondaries which are included in all primaries throughout the classification system. They number -00 to -19. The following common menu secondaries:

-00	Bylaws, Policies and Procedures
-01	General
-02	Legal
-03	Contracts and Agreements
-04	Complaints
-05	Fees and Revenue

To assist in classification, the following are guidelines for the type of files that are to be included in common menu secondaries:

- (a) Bylaws, Policies and Procedures - records related to bylaws, policies and procedures for the secondary file classification;
- (b) General - records that are general in nature for the secondary file classification and would not be part of any other common menu secondary files, a subject file or a case file;
- (c) Legal - records relating to a lawsuit or legal advice that relates to the secondary file classification including records relating to a specific subject or case file (ie legal records should not be put into the subject or case file but into the Legal file).
- (d) Contracts and Agreements - contracts and agreements that relates to the secondary file classification including records relating to a specific subject or case file (ie contracts and agreements should not be put into the subject or case file but into the Contracts and Agreements file).
- (e) Complaints - records relating to a complaint that relates generally to the secondary file classification, note that records relating to a complaint pertaining to a specific subject or case file should be filed in the subject or case file.
- (f) Fees and Revenue - records relating to the imposition and/or collection of fees and revenue for the secondary file classification note that records relating to fees and revenue pertaining to a specific subject or case file should be filed in the subject or case file..

(2) Subject File Secondaries

The secondary numbers -20 to -29 are reserved for subject files which contain records relating to a specific subject or function and are arranged according to general information content.

(3) Case File Secondaries

The secondary numbers -30 to -79 are reserved for case files which contain records pertaining to a specific time limited entry such as an event, project, transaction, product, organization or individual. More specific case file secondaries can be created and assigned number ranges for ease of reference.

**b. Transitory Records**

Transitory Records may be destroyed immediately after their receipt, creation or use in a manner that preserves the confidentiality of any of the information contained therein.

**c. Records Retention and Disposition Schedule**

Assigned to each record classification is a retention and disposition schedule which governs the life cycle of the records. Retention periods determine the amount of time a file is kept Active (A) and stored in the office for easy access, Semi-Active (SA) and stored outside of the office for occasional access off site and then either destroyed or kept permanently as a Permanent Record (P) which has administrative value or an Historical Record (H) which has historical value.

i. Retention Triggers

Retention triggers are used to indicate the timing of file closures and transfers. Three types of triggers are used in the system. CY = Calendar Year, FY = Fiscal Year, SO - Superseded or Obsolete

ii. Transfer and Disposition of Records

Records shall be kept Active (A) for the length of time indicated in the Active column based on the Calendar Year (CY) plus the number of years indicated, the Fiscal Year plus the number of years indicated or until it is superseded or obsolete (SO) plus the number of years indicated.

Records shall be kept Semi-Active (SA) for the number of years indicated in the Semi-Active column.

Records shall kept permanently if designated in the Final Disposition (FD) column as either Permanent (P) or Historical (H) or destroyed (D) if so designated. Before a record is destroyed, the Department Manager shall verify that the record is scheduled for destruction in accordance with this policy and authorize the destruction. Records shall be destroyed in a manner that preserves the confidentiality of any of the information contained therein.

**d. Record Creation, Labelling and Management**

The creation of files shall be controlled by the person designated to manage records in each Department. Each new file shall have a label which includes the full classification number (main, primary and secondary), the file title and the year the file was created.

When a new file is created, the file classification number, the file title, the date the file was created, the years covered, the file location and the file status (Active, Semi-Active, Permanent, Historical) shall be added to the master file list on the Town server accessible to all employees and on a form that shall be attached to the inside cover of each file, attached as Schedule "A". When a file is relocated, changes status (Active, Semi-Active, Permanent, Historical) or is destroyed, the master file listing shall be updated to reflect the change.

**e. Electronic Records**

Electronic Files shall be organized and managed in the same way that paper files are organized and managed in accordance with this policy. Semi-Active files shall be removed from the server and stored in a secure location in an electronic media form such as a cd, dvd or tape.

**f. File Classification and Retention Schedule**

The File Classification and Retention Schedule is attached as Schedule "B".

**5. Effective Date**

This policy is effective on April 10, 2008.



**Records Management Policy**

**Policy FA-01-2008**

**Schedule A**

**File Information Form**

**Town of Stratford**

**April 2008**

**Town of Stratford**

**Records Management Policy**

**File Information Form**



*Required Information*

File Classification Number: \_\_\_\_\_

File Title: \_\_\_\_\_

File Created By: \_\_\_\_\_ File Creation Date: \_\_\_\_\_

File Location: \_\_\_\_\_ Years Covered: \_\_\_\_\_

File Status (Active, Semi-Active, Permanent, Historical): \_\_\_\_\_

*Optional Information*

File Contact Information: \_\_\_\_\_  
Name Position

Company

Address Postal Code

Telephone Fax Email address

Other information: \_\_\_\_\_

\_\_\_\_\_

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**Records Management Policy**

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**Schedule B**

**File Classification and Retention Schedule**

**Town of Stratford**

**April 2008**