



**COMMITTEE OF THE WHOLE AGENDA**  
**Tuesday, June 21<sup>st</sup>, 2016 @ 6:30 pm**  
**Municipal Administration Centre**

- 1) Call to Order – Chairman, Warden Russell Boucher
- 2) Approval of Agenda
- 3) Approval of June 7<sup>th</sup>, 2016 Committee of the Whole Minutes
- 4) Business Arising from the Minutes
- 5) Personnel Matters (In-Camera)
- 6) Contract Negotiations (In-Camera)
- 7) Legion/CACL Funding Request
- 8) Public Works Vehicle Tender
- 9) Insufficient Funds (NSF) Charges Update
- 10) Records Management Plan and Policy
- 11) Ground Search and Rescue Request
- 12) Adjournment



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## MUNICIPALITY OF THE COUNTY OF ANTIGONISH

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**TO:** MUNICIPAL COUNCIL  
**FROM:** GLENN HORNE, MUNICIPAL CLERK TREASURER  
**SUBJECT:** ***COMMITTEE OF THE WHOLE MEMO***  
**DATE:** JUNE 21<sup>ST</sup>, 2016

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### **PERSONNEL MATTERS (IN-CAMERA)**

This subject matter falls within Section 22(2) of the Municipal Government Act as a matter that a committee may discuss in a closed session. It is recommended a motion be made to initiate an in-camera session. Materials will follow.

### **CONTRACT NEGOTIATIONS (IN-CAMERA)**

This subject matter falls within Section 22(2) of the Municipal Government Act as a matter that a committee may discuss in a closed session. It is recommended a motion be made to initiate an in-camera session. Materials will follow.

### **LEGION/CACL FUNDING REQUEST (For Discussion)**

Further to the presentation made to Council on May 24<sup>th</sup>, 2016, representatives involved in the Legion/CACL joint project to purchase and renovate the former Philatelic property have submitted a request for confirmation of funding in the form of a letter of support.

### **PUBLIC WORKS VEHICLE TENDER (For Decision)**

Typically, the purchase of a new vehicle is included and discussed with in the capital and operating budgets. The operating budget was predicted to be tight for the 2016/17 fiscal year, so the purchase of a new truck was deferred from consideration at that time. Upon revision of estimates following the approval of the budget, a reduction of \$112,000 in the approved expenditures was achieved, stemming from an earlier double-count of the Special District Grants.

Staff is recommending that a new truck be purchased to support Road Maintenance from this savings. The current vehicle is a 2008 Ford F-150 with approximately 200,000km+. This vehicle will require additional maintenance including a new seat and rust repair in order to be maintained in the municipal fleet.

A tender by invitation was issued to three local dealerships for a 2016 4x4 truck. Two responses were received, and staff is recommending that MacDonald Chrysler Limited be awarded the tender for the quoted amount of \$30,874.00 (plus licensing and HST).



#### **INSUFFICIENT FUNDS (NSF) CHARGES UPDATE (For Decision)**

In 2013, the Finance Committee agreed by consensus that a \$10 fee would be levied against any NSF cheques received by the municipality. As part of the most recent water rates study undertaken on behalf of the municipality, which came into effect in July 2015, a NSF fee for water utility bills was set at the recommended amount of \$20. As a means of being consistent across the organization, staff is recommending that a blanket \$20 fee be charged for all NSF cheques received by the municipality.

#### **RECORDS MANAGEMENT PLAN AND POLICY (For Decision)**

Staff has prepared a records management plan and policy for consideration by the Committee. The purpose of the plan is to outline the reasons and procedure for implementing a system of organizing and managing all records held by the municipality, in accordance with the Records Management Manual for Nova Scotia Municipal Units (Second Edition, 2013), which was prepared and published by the Association of Municipal Administrators Nova Scotia. The policy enables staff to begin a process of classifying all records held by the municipality in accordance with this manual.

#### **GROUND SEARCH AND RESCUE REQUEST (For Decision)**

Following up to a presentation made by representatives of Ground Search and Rescue at the special Council meeting on June 23, 2015, a discussion regarding the funding request.

## **COMMITTEE OF THE WHOLE MEETING**

A Committee of the Whole Meeting was held Tuesday, June 7th, 2016 at 5:30pm in the Council Chambers of the Municipal Administrative Centre, 285 Beech Hill Road, Antigonish NS.

Present were:               Warden Russell Boucher, Chair  
                                  Deputy Warden Owen McCarron  
                                  Councillor Mary MacLellan  
                                  Councillor Vaughan Chisholm  
                                  Councillor Rémi Deveau (left meeting at 6:40pm)  
                                  Councillor Bill MacFarlane  
                                  Councillor Hughie Stewart  
                                  Councillor Pierre Boucher  
                                  Councillor Donnie MacDonald  
                                  Glenn Horne, Municipal Clerk/Treasurer  
                                  Beth Schumacher, Deputy Clerk

Regrets:                    Councillor Angus Bowie

The meeting of the Committee of the Whole was called to order by the Chair, Warden Boucher, at 5:41pm.

### **APPROVAL OF AGENDA**

The following items were added to the agenda:

- East Antigonish Bursary Request
- Discussion Regarding Expenses

*Moved by Councillor MacDonald and seconded by Councillor MacLellan that the agenda be approved as amended. Motion carried.*

### **APPROVAL OF MINUTES**

*Moved by Councillor Boucher and seconded by Councillor Chisholm that the Committee of the Whole minutes May 24<sup>th</sup>, 2016 be approved as presented. Motion carried.*

### **BUSINESS ARISING FROM THE MINUTES**

There was no business arising from the minutes.

### **PERSONNEL MATTERS, LEGAL ADVICE ELIGIBLE FOR SOLICITOR-CLIENT PRIVILEGE, CONTRACT NEGOTIATIONS (IN-CAMERA)**

These subject matters fall within Section 22(2) of the Municipal Government Act as matters that a committee may discuss in a closed session. It is recommended a motion be made to initiate an in-camera session.

*Moved by Councillor MacLellan and seconded by Deputy Warden McCarron that the Committee of the Whole Meeting be adjourned to an In-Camera Session at 5:43pm to discuss personnel matters, legal advice eligible for solicitor-client privilege, and contract negotiations. Motion carried.*

*Moved by Councillor MacDonald and seconded by Deputy Warden McCarron that the In-Camera session be adjourned 6:16pm. Motion carried.*

### **TOURISM**

Mr. Horne provided a brief overview of tourism-related efforts that had been taken since the Municipality identified economic development – specifically tourism – as a strategic priority in 2014. To-date, three meetings have been held in co-operation with DEANs to engage local tourism stakeholders to facilitate an Antigonish community conversation about the role of the municipality's role in local tourism planning. Attendance has varied by numbers and attendees at these meetings, although municipal officials have been present at each meeting.

A discussion followed regarding the experience and involvement of Councillors with respect to events and conversation regarding the municipality's role with local tourism. Overall, Council felt that the efforts by DEANs were not to be ignored, but wondered what the municipality could do to assist their efforts. Part of the challenge could be the Province's change in approach from promoting "destinations" to a focus on "world class" amenities/features/events.

Staff was left with direction to explore approaches to developing strategies undertaken by communities outside of the area (outside of province and country). Council requested a summary of the provincial tourism budget. Staff suggested exploring options for collecting local analytics, such as Trip Advisor and Google search summaries, to create a baseline to measure future efforts against, and to identify any potential needs or opportunities.

### **SUMMARY OF DISCUSSION ABOUT ASSET MANAGEMENT**

Mr. Horne introduced the staff memo and provincial summary regarding asset management, noting that this was something that staff was looking into. Any opportunities for inter-municipal cost sharing for systems would be explored. Discussion followed.

### **FATHER KEHOE GOLF TOURNAMENT**

The Municipality has received a request to enter a team into the Father Kehoe Golf Tournament on Friday, July 15, 2016 at a cost of \$500/team. A general discussion followed regarding the number of tournaments the municipality is invited to participate in each year, and Council felt that they should limit their participation to three per year. Municipal Council decided to forgo participating in the Father Kehoe tournament for 2016. Staff was requested to compile a list of the local tournaments held each year for Council's information.

### **STREET LIGHT REQUEST**

Councillor Boucher brought forward a request to use funds from his special district grant to pay for a street light at the fire pond on Monastery Road in Monastery for the Tracadie & District Fire Department. Municipal Council was in consensus for this request.

### **ÉCOLE ACADIENNE DE POMQUET BURSARY**

A request was made to Municipal Council to provide a bursary to École Acadienne de Pomquet, as has been done in previous years. A letter had also been received from the East Antigonish Educational Centre with a similar request.

*Moved by Councillor Chisholm and seconded by Councillor Stewart that the Committee recommend that Municipal Council approve bursaries in the amount of \$200 each to École Acadienne de Pomquet and the East Antigonish Education Centre. Motion carried.*

#### **DISCUSSION REGARDING EXPENSES POLICY**

Mr. Horne provided a timeline of the FOIPOP requests that had been received by the County over the last several months that resulted in a series of radio and print articles at the end of May about Councillor expense claims while at conferences. Mr. Horne noted that the municipality's expense policy had been slated for review in advance of the FOIPOP requests, and that the timing of the update (March 2016) was a coincidence with the timing of the information requests. A general discussion regarding the new policy followed.

#### **ADJOURNMENT**

*Moved by Deputy Warden McCarron and seconded by Councillor MacLellan that the Committee of the Whole meeting be adjourned at 7:17pm. Motion carried.*

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Warden Russel Boucher

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Glenn Horne, Municipal Clerk/Treasurer

ROYAL CANADIAN LEGION  
ARRAS BRANCH 59  
PO BOX 1354  
ANTIGONISH N.S.  
B2G 2L7



PHONE:(902) 863-4436  
FAX : (902) 863-0243  
June 1, 2016

Good morning Glen, as discussed earlier the RCL & CACL would appreciate a letter of support for our upcoming project, involving the purchase and renovation of the former Philatelic property. We would also like to officially ask for help with this project. I realize we asked for a certain amount during our presentation to Council on May 24<sup>th</sup>/16. It was hoped that funding would be made available this fiscal year. Since the budget has been set for this year we are hoping to increase our ask to forty five thousand and receive funding early 2017. If we are granted this amount, would it be possible to have a letter stating the amount of support the County is willing to give to this project? I look forward to hearing from you. Thank you and council for your consideration.

RCL Br.59 GM  
Alex Cameron

# Memo

**To:** Glenn Horne, Municipal Clerk/Treasurer  
**From:** Daryl Myers, Director of Public Works  
**Date:** June 9, 2016  
**Re:** New Vehicle for Public Works

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Glenn:

A Tender by invitation was issued (see attached) to the following local car dealerships:

MacDonald Chrysler Limited  
Ron MacGillivray Chevrolet Buick GMC  
Keltic Ford

The Tender closed at noon on June 3, 2016. We received two responses as follows:

MacDonald Chrysler Limited – Quoted on a 2016 Ram 2500 ST Regular Cab 4 x 4 (DJ7L62)  
Their quote came in at \$30,874.00 + Licensing + HST

Ron MacGillivray Chevrolet Buick GMC – Quoted on a 2017 Silverado 250. Their quote came in at \$32,220.00 before applicable tax.

Keltic Ford did not respond to the invitation.

After reviewing both quotes, I would recommend that MacDonald Chrysler Limited be awarded the Tender.

DM





## **MUNICIPALITY OF THE COUNTY OF ANTIGONISH**

### **TENDER**

The Municipality of the County of Antigonish will receive Tenders for a  
2016 4 x 4 Truck

Equipment specifications are:

Gas  
6 L or Equivalent  
2 door Regular Cab  
Air Conditioning  
Tow Package  
Mud Flaps  
Vinyl Seats  
Spray in Box Liner  
Gray or Silver in color

Tenders must be received at the Municipal Public Works Building  
**261 Beech Hill Road**  
on or before 12:00 noon, Friday, June 3, 2016.

**The lowest or any Tender not necessarily accepted.**

**If you have any questions, please contact:**

**Daryl Myers**  
**Director of Public Works**  
**902-863-9653**



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# RECORDS MANAGEMENT PLAN

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## PURPOSE

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Records management plays a significant role in the efficient function of an organization. Ultimately, the purpose of this plan is to establish effective management control and administration over the receipt, creation, use, maintenance, storage, and ultimate disposition of all information, regardless of format. The system developed to implement this plan needs to be flexible, user-friendly, and tailored to meet the needs of the organization and its public.

Further, using a records management system will assist the organization with its compliance with the *Municipal Government Act, Part XX, Freedom of Information and Protection of Privacy*, as well as any other relevant legislation. The MGA defines a “record” to include books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by graphic, electronic, mechanical or other means, but does not include a computer program or any other mechanism that produces records.

A records management program is more than just a filing project; it is a process that ensures the care and preservation of important records and the destruction of unnecessary records. The program will include various phases of development and implementation, a number of sub-projects, and is ongoing as long as the municipality actively fulfills its mandate. Taking a systematic approach to the control of all phases of a record’s life is essential for a municipality to:

- Reduce the proliferation of paperwork in the office, thereby reducing storage burden
- Provide timely access to requested information
- Correctly dispose of obsolete records
- Provide documentation of compliance with municipal, provincial and federal regulations, and
- Maintain archival records.

The ultimate goal of this exercise is to not only organize existing municipal records, but also to assist in transitioning the organization to an effective electronic record filing system.

## LEGISLATIVE AND POLICY DIRECTION

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### MUNICIPAL GOVERNMENT ACT AND FREEDOM OF INFORMATION

Part XX of the Municipal Government Act (MGA) provides direction to municipal units regarding the collection, storage, distribution and destruction of information. The purpose of Part XX is to ensure that municipalities are fully accountable to the public by giving the public a right of access to records; giving individuals a right of access to, and a right to correction of, personal information about themselves; specifying limited exceptions to the rights of access; preventing the unauthorized collection, use or disclosure of personal information by municipalities; and providing for an independent review of decisions made pursuant to this part of the MGA.

Further, this part of the MGA is intended to provide for the disclosure of all municipal information with necessary exemptions, which are limited and specific, in order to:

- Facilitate informed public participation in policy formulation;
- Ensure fairness in government decision-making; and,
- Permit the airing and reconciliation of divergent views.

Finally, the protection of the privacy of individuals with respect to personal information about themselves that is held by municipalities, and giving them the right of access to that information, is a major purpose of this part of the MGA. Overall, effectively fulfilling the obligations given to municipalities through this part of the MGA makes having a records management system critical.

## **COUNTY OF ANTIGONISH RECORDS MANAGEMENT POLICY**

In order to provide further direction on implementing a records management program, a policy has been drafted and is attached as Appendix “A”. This policy defines key terminology, outlines responsibilities for employing the program, and enables the use of the AMA Records Management Manual for classification and disposition direction.

## **ASSOCIATION OF MUNICIPAL ADMINISTRATORS (AMA) RECORDS MANAGEMENT MANUAL**

The Association of Municipal Administrators (AMA) has produced a Records Management Manual, the second edition of which was released in 2013. This manual provides a classification system for records, as well as detailed instructions of how a municipality might apply that classification system to their records system. Generally, the manual is written in such a manner as to stand in as the default guide for structuring a records management system, including disposition methods and schedules. As such the draft Records Management Policy references this manual as being the adopted classification system and retention schedule for records.

## **DESIGNATED OFFICER**

The Designated Officer is the staff member that will serve as project lead for the design and implementation of the records management system. This individual will be responsible for managing the inventory of the existing holdings of the municipality, applying the classification system, and overseeing the records disposition and destruction processes. Further, this individual will help to plan a training program and trouble-shoot any staff compliance and uptake concerns.

## **RECORDS INVENTORY**

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### **CLASSIFICATION SYSTEM**

The classification proposed to be utilized is based on the system outlined in the AMA Records Management Manual. This system categorizes records into three primary divisions; administrative records, executive and legislative records, and operational records. Within each of these divisions, a number of sub-categories are provided that are then further divided into “primaries” and again into further detailed categories, or “secondaries”. Each level of labelling provides further scoping of the topic under which the record may be filed.

A corresponding numerical hierarchy is also provided using the AMA Manual classification system. Ranging from 1000 to 81999, this system provides a standardized numerical system that can be employed as part of a management system. Appendix “B” provides the highest level numbering in this system for reference.

### **CONDUCTING A RECORDS INVENTORY**

After the development of a Records Management Plan and Policy, the next step is to undertake an inventory to catalogue what records the Municipality has in its possession. A standardized system of identifying record types, contents, and location is necessary in order to properly file the records. Generally, the inventory should collect the following basic information about each record:

- Department or organization name
- Name of record series
- Purpose or description of record series
- Time span covered (dates of records)
- Quantity of records (measured in linear metres)
- Physical description (i.e. paper, diskette)
- Method of current storage

- Date of survey/inventory
- Name of person conducting the survey/inventory

A template form that can be used to facilitate the record inventory process is included as Appendix “C” in this plan.

## IMPLEMENTATION

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### TRAINING

Training will be required throughout several stages in the process of establishing a records management system, from planning to implementation and on. Ultimately, employee buy-in and compliance with the records management controls that this plan puts into place will be a critical component in the success of the program.

#### *INVENTORY*

Depending on the methodology employed in conducting the records inventory, staff may need to be provided with some basic training regarding the use of the inventory form (Appendix “C”) and a standardized way of evaluating and systematically documenting records and their location. This is particularly important if the task of inventorying is delegated from the Designated Officer to a project team or to the individual employees themselves.

Such training may include a review of:

- What constitutes a “record”;
- Series titles and record categorizations (administrative, operational)
- How to fill out the inventory form; and,
- Standardized terminology to assist with content descriptions.

#### *IMPLEMENTATION*

As the classification system is applied, staff at all levels will need to have a good grasp of the methodology of organization being applied, including category qualifiers and application of the numeric system. Not only will the program be looking to apply the system to existing files; staff will need to be applying the best practices from the records management system from launch date moving forward to every new record created. Following the model used by Wolfville, NS, the development of an Electronic Document Management System (EDMS), which effectively serves as a set of “business rules” for the creation/filing of electronic and paper files, should be considered as part of the next step in this project.

These business rules may include:

- The process of creating a record or file
- Categorization criteria
- Documenting file numbers in the organization’s indexing system
- Physical filing location plans/instructions
- File security protocols

Further, as part of the goal of transitioning to an organization primarily employing electronic records, additional training and rules outlining proper methods for file hierarchies, file naming, and document integrity will be necessary in order to ensure that best practises are applied to this area of records management as well.

#### *FUTURE PLANNING*

As technologies progress and record mediums change, it can be expected that modifications and updates will need to be made to the Records Management Plan, Policy, and Manual. With any of these changes, staff involved in records management, whether directly or indirectly, will need to be kept up to speed to ensure smooth transitions.

## FILE CONTROLS

Once the records management system is in place, some level of controls will be necessary in order to ensure that files can be accounted for, remain organized, and follow any established protocol. Given the size of the organization and the volume of records created, this would be best addressed by establishing designated individuals in each department that would be responsible for maintaining a database of files for that department. Ultimately, the Designated Officer would still oversee all of the department file databases as part of the overall records management system.

For centrally-stored files and archives, a sign-in/sign-out system may need to be established in order to keep track of records leaving their designated locations. For the most part, this system would rely on employee commitment to compliance with the sign-in/sign-out requirement. An annual review of the centrally-stored files and archives, combined with an office-wide “file cleanup” activity, should help to ensure that these files can be accounted for.

Electronic file management will need to be considered as well, as staff transition from workstation hard-drive file storage to a shared-server system. Some monitoring may be necessary to ensure that information is being properly categorized and named using the established classification system. This will likely expand when an electronic file management system, such as the Laserfiche system offered by Ricoh and currently used by the Municipality of Guysborough, is implemented. As is proposed for the physical filing system, an annual review and “file cleanup” schedule that is coordinated with the records management disposition schedule should be employed in order to maintain an orderly system.

In the early stages of this project, a “go forward” approach should be employed, with staff establishing a date from which point forward the records management system is employed to all new records being created. Designated staff members can then work, as time allows, applying the system retroactively to older files that have been inventoried, either scanning them into an electronic medium or ensuring they are considered as per the disposition schedule outlined in the Records Management Manual.

## DISPOSITION

An important part of a records management system is the disposition of records after prescribed periods of time. This disposition may involve files being transferred into storage, going to archives, or being destroyed. As files are transferred or destroyed, additional records documenting their movement is required.

Given the size of the Municipality and the volume of records generated, it is unlikely that off-site storage of records will be required in the next ten years. Further, any records identified for destruction as the records management system is implemented could be handled using the on-site shredder, although the initial cleanup may produce volumes that warrant the use of an outside contractor specializing in document destruction. If this option is explored, staff should ensure that best practices for privacy and security are employed, and proper documentation of destruction is provided by that contractor.

Part 9 in the proposed Records Management Policy (Appendix “A”) provides the criteria that must be considered prior to any document being destroyed. The Designated Officer is ultimately the individual responsible for overseeing this process, and must ensure that appropriate documentation of the records being destroyed (or moved into long-term storage or archives) is maintained. At minimum, the record of disposition must include information about the Record’s series title, date range, and method of disposition.

Appendices “C” in the AMA Records Management Manual outline the process of preparing disposition plans for files that require any sort of consideration before they are destroyed, as identified in the classification system. A sample records disposal authorization form, modelled from that provided in the Manual, can be found in Appendix “D” of this plan.

## **PROJECT COSTS**

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### **STAFF TIME**

This program would be heavy on staffing requirements early in the process, particularly for the inventory, set-up and training stages. A designated staff person, noted in this Plan as a Designated Officer, should be selected to serve as a project lead. This individual should be able to dedicate several hours each work week to the records management project in order to keep it moving in a timely manner. Support from other team members, including administrators and IT personnel, may also be required as filing systems are coordinated and shared-drive structures are re-organized.

Alternatively, the Municipality may choose to bring in short-term staff for the project, either to fill the role of project lead, to provide specialized training, or to provide support during a particular stage of the project (e.g. summer students assisting with inventory). The initial timeline provided in this plan anticipates the utilization of at least two existing staff positions, each dedicating part of their work week to the project, for the first portion (inventory and numerical filing implementation) of the project.

### **SOFTWARE**

For the first phase of this project, being the inventory of the records that the Municipality has on hand and the development of any “business rules” for the management of the system, existing software programs, specifically Microsoft Excel and Word are expected to be sufficient to meet software requirements. For the second phase of the project, being the transition to an electronic management format, products such as the Laserfiche program offered by Ricoh (utilized by Guysborough) should be explored. Implementation of this software could be coordinated with hardware upgrades (printers/scanners), further facilitating the file management transition.

### **STORAGE**

As files are identified for long-term or permanent storage, the adequacy of existing storage facilities should be considered. Security and protection from environmental factors (water damage, fire, humidity and temperature control) must be considered. Archival best practices must also be evaluated, and staff will need to determine whether on-site facilities should be upgraded, or if off-site storage is more appropriate. A more accurate evaluation of the needs and expenses associated with storage facilities will be possible once the file inventory has been completed and staff has a better idea of the volume and nature of the records on hand.

### **SAVINGS AND BENEFITS**

While there are costs anticipated with the development and implementation of a records management system, there are a number of cost savings that are expected to be realized by the Municipality, particularly in the long-term. A reduction in storage requirements is expected to be the largest source of savings to the Municipality, although the ease of access in finding existing documentation, particularly if a FOIPOP request is made, should also be considered a “savings” in terms of staff time. The implementation of a standardized disposition system should also be of benefit, removing outdated files that no longer require retention that could otherwise pose a legal liability to the Municipality. Further, as files are more readily available in electronic format, they are expected to be easier to share with the public, increasing accessibility and transparency of Municipal business.



## **FUTURE PROGRAM GOALS**

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### **DISASTER RECOVERY PLANNING**

One of the benefits of creating a records management system is the documentation it provides the organization, should anything happen to compromise records, such as a natural disaster (flood), unexpected event (fire), or sabotage (electronic records hacking). An efficient and well-maintained records management system will provide the organization with the pertinent information required in an emergency; what files are located where, and inventory from which to determine what has been lost, and whether there are any back-up versions and where they may be located.

Disaster recovery should also be planned for as part of the records management system. This planning can include flagging records of high importance for secure or specialized storage, identifying the different kinds of hazards that could pose risks to current and future records storage, and outlining best-practices for ensuring risk management measures are followed and/or implemented. This could include:

1. Identifying particular records, or classes or records, for secure storage, off-site storage, and/or duplication for secure/off-site storage;
2. Evaluating current or anticipated records storage facilities for potential hazards, including environmental (flood, mould, heat damage, or fire hazard) and human-caused (malicious or accidental destruction, security hazards via electronic networks), and designing facilities to address these; and,
3. Maintaining an up-to-date inventory of records in multiple formats to facilitate quick identification of missing/damaged/destroyed records in the event of a disaster, or records to be retrieved in an emergency.

### **PLAN REVISIONS**

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Ideally, this plan should be reviewed every two (2) years, allowing sufficient time for implementation before evaluating uptake success, but not waiting too long before reviewing components that may be technology dependent and change relatively quickly. Being a fluid document, each review should help to transition the focus of the document from initiation and implementation towards maintenance and upkeep.



<b>TOPIC:</b>	<b>Records Management Policy</b>
<b>POLICY NUMBER:</b>	
<b>DATE APPROVED:</b>	
<b>DATE REVISED:</b>	

1. This Policy may be cited as the "Records Management Policy"

## **2. SCOPE**

- 2.1. This policy is applicable throughout the municipal unit, including all departments in the municipal unit falling under the authority of the Municipal Clerk/Treasurer, and throughout all of the municipal unit's agencies, boards and commissions.

## **3. PURPOSE**

- 3.1. To establish effective management control and administration over the receipt, creation, use, maintenance, storage, and ultimate disposition of all information, regardless of format, and to do so in a flexible manner that is user-friendly and tailored to meet user needs.
- 3.2. To support compliance with the Municipal Government Act, Part XX Freedom of Information and Protection of Privacy, and any other relevant legislation.
- 3.3. To designate responsibilities and accountability for the management of municipal information, regardless of format.

## **4. INTERPRETATION**

- 4.1. In this Policy:
  - 4.1.1. "Council" means the Council of the Municipality of the County of Antigonish;
  - 4.1.2. "Municipality" means the Municipality of the County of Antigonish;
  - 4.1.3. "Designated Officer" means the person designated by Council to act on behalf of the Municipality to manage and maintain the Records Management System;
  - 4.1.4. "Manual" means the Association of Municipal Administrators (AMA) Records Management Manual, second edition, as amended from time to time;
  - 4.1.5. "Record" includes books, documents, maps, drawings, photographs, letters, vouchers, paper and any other thing on which information is recorded or stored by graphic, electronic, mechanical or other means, but does not include a computer program or any other mechanism that produces records; and,

4.1.6. "Records Management System" means an electronic or paper-based system used by the Municipality to manage the records of the Municipality from record creation through to records disposal.

## **5. POLICY STATEMENT**

- 5.1. It is the policy of the Municipality to create, classify, maintain, access, retrieve, store, destroy, and preserve information resources throughout their life cycle according to the standards and procedures prescribed under the Association of Municipal Administrators (AMA) Records Management Manual.
- 5.2. It is the policy of the Municipality to manage information resources as a valuable asset for the following purposes:
  - 5.2.1. Supporting effective decision making;
  - 5.2.2. Meeting operational requirements;
  - 5.2.3. Ensuring the widest possible use of information resources within the municipal unit;
  - 5.2.4. Protecting the legal, financial, and other interests of the Municipality, and the public; and,
  - 5.2.5. Restricting access according to the Nova Scotia Municipal Government Act, Part XX Freedom of Information and Protection of Privacy, and other relevant policies and legislation.
- 5.3. It is the policy of the Municipality to identify and preserve information resources that serve to reconstruct the evolution of policy and program decisions or that have archival value. It is also the policy of the Municipality to ensure that such information is organized in a manner to be readily available for the study of decision making in the municipal unit and for other research purposes that help explain the historical role of the municipal unit.
- 5.4. It is the policy of the Municipality to ensure that records management functions are incorporated into existing and future information technology applications.
- 5.5. To facilitate an efficient records management and retrieval system, it is the policy of the Municipality to eliminate the unnecessary collection of information by maintaining only records that are pertinent to the operational requirements of the municipality, coordinating information collection to avoid duplication, and to ensure that the collection of personal information is in accordance with the Nova Scotia Municipal Government Act, Part XX, Freedom of Information and Protection of Privacy.
- 5.6. It is the policy of the Municipality to ensure that all information resources, regardless of format, are subject to timely public access according to the provisions and limitations of the Nova Scotia Municipal Government Act, Part XX, Freedom of Information and Protection of Privacy.

## **6. ADOPTION OF CLASSIFICATION AND RETENTION SCHEDULE**

- 6.1. The Municipality, in accordance with the Nova Scotia Municipal Government Act, adopts the Association of Municipal Administrators (AMA) Records Management Manual, second edition and amended from time to time, as its approved classification system and records retention schedule.

## **7. COMPLIANCE WITH THE RECORDS MANAGEMENT SYSTEM**

- 7.1. All records in the custody and control of the employees of the Municipality are the property of the Municipality. All records of the Municipality must comply with the Records Management System and this Policy. All employees and management of the Municipality must comply with this Policy.

## **8. DESIGNATED OFFICER**

- 8.1. The Designated Officer is responsible for the management and maintenance of the Records Management System.

- 8.2. The Designated Officer is authorized to amend the classification and retention schedules outlined in the Manual in order to best address the specific needs of the Municipality.

## **9. DESTRUCTION OF RECORDS**

- 9.1. When the Designated Officer determines that the retention period for a given Record, as described in the Manual, has ended, the Designated Officer will initiate the steps for the proper disposition of the Record in accordance with the requirements of the Manual.
- 9.2. Records pertaining to any actual or pending government investigation, audit, freedom of information access request, litigation, or legal claim should not be destroyed until that actual or pending action is complete. In these circumstances, a "legal hold" process will supersede the disposition schedule in the Manual.
- 9.3. Records disposition must be undertaken in a manner that preserves the confidentiality of Records, including the privacy of individuals noted in any information they may contain.
- 9.4. All copies of Records, including security, preservation and backup copies, must be included when that Record is scheduled for disposition.
- 9.5. The Designated Officer must maintain a Record documenting the disposition actions taken as per the Manual. Certification of destruction is generally provided by document destruction agencies and these must be retained permanently. At minimum, the record of disposition must include information about the Record's series title, date range, and method of disposition.
- 9.6. The Municipality will not destroy minutes, by-laws, policies, and resolutions of Council in accordance with Section 34 of the Nova Scotia Municipal Government Act.

## **AMA Records Management Manual – Records Classification, Main Divisions**

### **Administrative Records:**

Administration	1000 - 1999
Facilities Management	2000 - 2999
Financial Management	3000 - 3999
Human Resources Management	4000 - 4999
Information Management	5000 - 5999
Supplies and Equipment Management	6000 - 6999

### **Executive and Legislative Records:**

Executive Operations	10000 – 10999
Intergovernmental Relations	12000 – 12999
Management Functions	16000 – 17999

### **Operational Records:**

Engineering and Public Works Services	31000 – 31999
Parks Management	64000 – 64999
Planning and Development	66000 – 66999
Public Protection and Safety Services	68000 – 68999
Recreation and Cultural Services	72000 – 72999
Social Services	75000 – 75999
Transportation Services	81000 – 81999

Inventoried By: _____	<b>Records Survey Form</b>	Date: _____																																	
<b>LOCATION:</b> Municipality: _____ Department: _____																																			
<b>IDENTIFICATION:</b> Record Series Title: _____ Purpose: <input type="checkbox"/> Administrative <input type="checkbox"/> Operational <input type="checkbox"/> Both Content: _____  Date Range:    From: _____    To: _____ Original/Copy: <input type="checkbox"/> Original <input type="checkbox"/> Copy <b>If copy</b> , where is original: _____ Reference: <input type="checkbox"/> Active (several times / week) <input type="checkbox"/> Inactive (several times / year) <input type="checkbox"/> Semi-Active (several times / month) <input type="checkbox"/> Discontinued – Date: _____ Archival: <input type="checkbox"/> Yes <input type="checkbox"/> No Vital: <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
<b>PHYSICAL DESCRIPTION:</b> <table style="width: 100%; border: none;"> <thead> <tr> <th style="text-align: left; width: 33%;"><u>Type</u></th> <th style="text-align: left; width: 33%;"><u>Format</u></th> <th style="text-align: left; width: 33%;"><u>Size</u></th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Correspondence</td> <td><input type="checkbox"/> Files</td> <td><input type="checkbox"/> Photos</td> </tr> <tr> <td><input type="checkbox"/> Forms</td> <td><input type="checkbox"/> Cards</td> <td><input type="checkbox"/> Sounds recordings</td> </tr> <tr> <td><input type="checkbox"/> Minutes</td> <td><input type="checkbox"/> Printouts</td> <td><input type="checkbox"/> Video recordings</td> </tr> <tr> <td><input type="checkbox"/> Reports</td> <td><input type="checkbox"/> Maps/Drawings</td> <td><input type="checkbox"/> Other (specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Financial statements</td> <td><input type="checkbox"/> EDP files</td> <td><input type="checkbox"/> 8.5 x 11</td> </tr> <tr> <td><input type="checkbox"/> Other (specify) _____</td> <td><input type="checkbox"/> Microfilm</td> <td><input type="checkbox"/> 8.5 x 14</td> </tr> <tr> <td></td> <td></td> <td><input type="checkbox"/> 3 x 5</td> </tr> <tr> <td></td> <td></td> <td><input type="checkbox"/> 8 mm</td> </tr> <tr> <td></td> <td></td> <td><input type="checkbox"/> 16 mm</td> </tr> <tr> <td></td> <td></td> <td><input type="checkbox"/> Other (specify) _____</td> </tr> </tbody> </table> Quantity in Linear Metres: _____ m    Estimated annual growth: _____ m/year			<u>Type</u>	<u>Format</u>	<u>Size</u>	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Files	<input type="checkbox"/> Photos	<input type="checkbox"/> Forms	<input type="checkbox"/> Cards	<input type="checkbox"/> Sounds recordings	<input type="checkbox"/> Minutes	<input type="checkbox"/> Printouts	<input type="checkbox"/> Video recordings	<input type="checkbox"/> Reports	<input type="checkbox"/> Maps/Drawings	<input type="checkbox"/> Other (specify) _____	<input type="checkbox"/> Financial statements	<input type="checkbox"/> EDP files	<input type="checkbox"/> 8.5 x 11	<input type="checkbox"/> Other (specify) _____	<input type="checkbox"/> Microfilm	<input type="checkbox"/> 8.5 x 14			<input type="checkbox"/> 3 x 5			<input type="checkbox"/> 8 mm			<input type="checkbox"/> 16 mm			<input type="checkbox"/> Other (specify) _____
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<b>FILING AND STORAGE:</b> Filing <input type="checkbox"/> Alpha <input type="checkbox"/> Numeric <input type="checkbox"/> Alpha-numeric <input type="checkbox"/> Chronological <input type="checkbox"/> Other By _____ Index: <input type="checkbox"/> Card catalogue <input type="checkbox"/> Book/Ledger <input type="checkbox"/> Automated <input type="checkbox"/> None Breaks <input type="checkbox"/> Fiscal <input type="checkbox"/> Calendar <input type="checkbox"/> Other: _____ Storage <input type="checkbox"/> Vertical file cabinet <input type="checkbox"/> Rolled <input type="checkbox"/> Lateral "closed shelf" <input type="checkbox"/> Boxed <input type="checkbox"/> Lateral "open shelf" <input type="checkbox"/> Other _____ <input type="checkbox"/> Desk drawer																																			
<b>RETENTION:</b> Current retention:    In office _____ (years) <input type="checkbox"/> None specified In storage _____ (years) <input type="checkbox"/> None specified Legislation (name of statute): _____																																			

**Records Disposal Authorization**

**Section "A": Identification**

Municipality: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Contact Name: \_\_\_\_\_

Contact Phone: \_\_\_\_\_

**Section "B": Records Description**

Classification Number	Description of Record

**Section "C": Authorization**

The records described above are eligible for disposal, in accordance with the Records Management Policy, by:

- ☐ Destruction
- ☐ Transfer to long-term storage / an archival facility
- ☐ Other (please specify): \_\_\_\_\_

I, \_\_\_\_\_, authorize the disposal of the records listed above as scheduled.

Designated Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Designated Officer