	POLICY	NO.	1003.1
	POLICY TITLE: RECORD RETENTION POLICY	EFFECTIVE DATE:	12/17/2020
		REVISION LETTER:	A
		FINAL APPROVAL	Resolution 297-20

1.0 PURPOSE

1.1 The purpose of this policy is to outline the record retention policy and Disposal, procedures for the municipality. In accordance with **Bylaw XX-20: Destruction of Documents**

2.0 DEPARTMENT(S) AFFECTED (SCOPE)

2.1 Department(s) Affected: **ALL DEPARTMENTS OF THE RM**

3.0 POLICY

- 3.1 This policy states that:
1. The municipality shall encourage both physical and electronic copies of all documentation is available for record retention.
 2. Organized record retention schematics cross-referenced for increased accessibility of document storage.
 3. The municipality shall attempt to digitize existing paper records in a timely fashion to allow for increased accessibility, and recovery options should file destruction occur.
 4. Establish a confidential electronic document backup system that occurs on a repetitive basis to ensure protection of municipal records.

4.0 DEFINITIONS

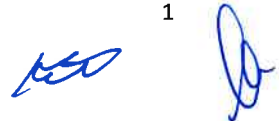
4.1 Definition of a **Record**:

A record is defined by The Local Authority Freedom of Information and Protection of Privacy Act as **(LAFOIP)** "a record of information in any form and it includes information that is written, photographed, recorded or stored in any manner, but does not include computer programs or other mechanisms that produce records".

This retention schedule is applicable to records that fall under the above definition regardless of format including paper, electronic, microfilm, etc. Certain material has no evidential, fiscal, administrative, or historical value and therefore, is not subject to this schedule. It can be destroyed when it is no longer needed without historical review by the Archives.

This includes:

- a. Extra copies created for convenience of reference - publications i.e., books, magazines, catalogues, etc.
- b. Blank forms
- c. Transitory records, i.e., drafts that do not document significant steps in the development of a document or are summarized or produced in other form



5.0 RESPONSIBILITIES

- 5.1 The Administrator is responsible for ensuring compliance to this policy.
- 5.2 Council shall review all policies every three years for compliance and effectiveness of the policies.

6.0 IMPLEMENTATION

- 6.1 Records should be stored in an environment adequate for the storage medium they are recorded on. They should be properly maintained so they are retrievable for the period of time required by the schedule and until they are disposed of or transferred to the Archives.
 1. Any records of a confidential nature should be properly safeguarded and stored in a secure place with controlled access. Any personal information should be protected and handled in accordance with The Local Authority Freedom of Information and Protection of Privacy Act (LAFOIP).
- 6.2 Filling of **Official Records**:
 1. **Paper** remains the most widely used medium for storing municipal records, other formats (i.e., microfilm or electronic files) are acceptable and are becoming more common. Such technologies can dramatically reduce the amount of physical space needed to warehouse records. Therefore, there are technical as well as legal considerations when deciding on a medium for storing official records, or if transferring records to a new storage medium (i.e., from paper to microfilm or electronic file).
 2. **Microfilm or Electronic image** is chosen as an official record, it is necessary to comply with The Saskatchewan Evidence Act in order to make microfilm records or electronic images acceptable in a court of law the microfilming/imaging process must be performed according to prescribed standards (i.e., "Microfilm and Electronic Images as Documentary Evidence" CAN/CGSB-72.11-93).
 3. **Electronic records** are to be used as official records, it is necessary to comply with The Evidence Act and The Electronic Information and Documents Act, 2000 as well as any standards that govern the management of electronic records. Procedures should be developed and approved regarding disposal of the original hard copies as additional records. Electronic records must remain accessible and retrievable until they are approved for disposal or transferred to the Archives.
- 6.3 **Permanent Record**:

Records listed for permanent retention are essential for both administrative and historical purposes. They should be kept in a secure and suitable environment, protected against accidental destruction or loss. For some permanent records, a provision is included in the schedule for transfer to the Saskatchewan Archives Board upon their consent.

 1. Permanent records need to be maintained properly in order to be accessible and retrievable at any time in a format that is cost effective and legally acceptable. Storage medium for long-term preservation has to be very carefully considered.
- 6.4 **Unscheduled Records**:

This section includes a provision for disposal of records that have been not included in the retention guide. Unscheduled records that pertain to discontinued programs/functions and are no longer created in any form by the municipality and are 25 years or older can be disposed of upon approval of council and a historical review and approval by the Provincial Archivist.

Ensure that the disposal process described further in this document is followed or contact the

Archives for guidance. Any current (continuing) records which are not included can be added to the schedule with appropriate retention periods. Please consult the Archives in this regard. The amended schedule has to be approved by the council and the records are subject to the disposal procedures described below.

7.0 Land Records

- 7.1 The municipality shall create physical land files for each individual property within the municipality.
- 7.2 Appropriate information can be uploaded to the municipality's website for increased accessibility for ratepayers and interested developers.
- 7.3 **Physical Land Files**
1. The organization of the physical land files shall occur based on the MuniSoft Roll number system established by the **Saskatchewan Assessment Management Agency (SAMA)**.
 2. All existing information shall be organized based on the corresponding Roll numbers, including but not limited to:
 - a. Change of Ownership documentation.
 - b. Development permit applications.
 - c. Building permit applications and corresponding building inspections.
 - d. Written correspondence with the municipality, staff, or Council.
 3. The physical organization of the land files shall be ordered and organized in numerical order.
- 7.4 The municipality should establish a computer server system with flexible electronic data storage to accommodate electronic record retention.
1. Server options shall be confidential with limited external access to ensure protection of municipal records.
 2. The server operations shall have regular file backup capability to ensure retrieval of document files upon destruction.
- 7.5 **Electronic Land Files**
1. The replication of the physical land file system shall be organized upon the server by the corresponding Roll numbers.
 2. The digitalization of existing data is encouraged and organized based on Roll numbers, and internal file folders for increased efficiency of file location.
- 7.6 The Municipality shall maintain a separate Bylaw Register for the adoption of all existing municipal bylaws in effect.
1. Existing municipal bylaws adopted by Council should be digitized and organized by Bylaw number within a folder titled "Bylaws".
 2. A subfolder for "Repealed Bylaws" shall be created for the storage of any digitized repealed municipal bylaws.
- 7.7 The Municipality shall maintain a separate Minute Register for the adoption of all adopted municipal minutes.
1. Municipal minutes approved by Council should be digitized and organized by year and date within the folder titled "Minutes".
- 7.8 The municipality shall maintain a separate Policy Register of all approved municipal policies in effect

in the municipality.

1. Existing municipal policies adopted by Council should be digitized and organized by Policy number within a folder titled "Policies".
2. A subfolder for "Repealed Policies" shall be created for the storage of any digitized repealed municipal policies.

7.9 The municipality shall create electronic folders titled as per the major sections of the Policy and Procedural Manual, with corresponding information placed in internal files.

8.0 Disposal of Records

8.1 All records as defined by The Local Authorities Freedom and Information and Protection of Privacy Act (LAFOIP) are subject to the following disposal procedures:

1. **Preparing a records inventory listing** including box identification (if files are in boxes), titles of records, dates, brief contents description, volume of records, location of records and any other information that may be helpful in identifying records.
2. **Relating records to the schedule** to determine if they meet retention periods. In order to be eligible for disposal, records must meet the retention requirements stated in the Schedule. A reference to the Schedule designation for the record being disposed of should be included on the inventory.
3. **Approval by Council** by means of a resolution authorizing the disposal of the specific records slated for destruction.
4. **Historical appraisal by the Saskatchewan Archives Board**

The Saskatchewan Archives Board has conducted an appraisal of the records included in the schedule and has identified the categories for which they wish to be contacted in order to review the records for a possible transfer to the Archive's permanent collection.

When records from these categories are eligible, a records inventory that has been approved by council should be forwarded to the Saskatchewan Archives Board. An Appraisal Archivist will analyze the inventory and advise in writing which records should be retained for physical appraisal or transferred to the Archives. This list should be sent to:

**Provincial Archivist Saskatchewan
Archives Board 3303 Hillside
Street University of Regina
Regina, SK
S4S 0A2**

8.2 The **retention schedule** contained in the appendix of The Records Retention and Disposal Guide, includes provisions for destruction of certain records without referral to the Saskatchewan Archives Board. These records contain "disposal" in the Disposal Recommendation Column and do not possess long-term historical significance. They can be destroyed once they meet retention periods in the schedule and are approved by the council (steps 1, 2 and 3). The remainder of the records are subject to an historical appraisal as described above in step 4.

8.3 Secure Destruction of Records

Given the personal and private nature of information that may be contained in many of the records in question, a municipality must ensure that the methods chosen to physically destroy the records are sufficient to protect privacy. Destruction methods must also be appropriate for the medium on which the record is stored.

1. **Paper records**, best practice dictates that cross-cut shredding – not merely single-strip shredding – is the preferred means of destruction.

Since it is technically possible to reconstruct even cross-cut shredded documents, incineration or pulverization after records have been shredded may also be prudent if the information in those records is considered to be especially sensitive.

2. **Electronic records** must somehow be rendered permanently irretrievable and unreadable. This is typically accomplished by physically damaging the storage medium. CDs, DVDs, USB drives, floppy discs, PDAs, flash memory cards, hard drives and other media can be appropriately destroyed by breaking them into pieces, hammering, pulverization or drilling holes through them.

It must be noted that **simply erasing or reformatting a drive does not irreversibly wipe out any data** that was recorded on it and more elaborate measures are necessary to ensure privacy is maintained. If a municipality wishes to reuse a given piece of media (i.e., a hard drive), consider using a “wiping utility” which has been designed to ensure that all data on a drive is irreversibly erased before the drive is put back into service. Computer software vendors should be able to provide more information on suitable software solutions.

9.0 DOCUMENT APPROVAL

ROLE	POSITION	NAME OF THE APPROVER	DATE APPROVED
AUTHOR	Northbound Planning	RM Council	12/11/2020
OWNER	Administrator	Nicole Neufeld	12/11/2020
FINAL APPROVER	RM Council	RESOLUTION #	MM/DD/YYYY

10.0 REVISION HISTORY

EFFECTIVE DATE	REVISION LETTER	DOCUMENT AUTHOR	DISCRIPTION OF CHANGE
12/11/2020	A	Northbound Planning	INITIAL RELEASE