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***Regional Service Commissions***

***Records Authority***

**Provincial Archives of New Brunswick**

**Corporate Information Management Unit**

**Department of Finance and Treasury Board**

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##### Introduction

File classification plans and retention schedules are valuable and necessary tools in the management of records and information as a strategic business resource. The application of these tools to records and information management in a systematic manner results in the control of recorded information from its creation or receipt throughout its life. As a business activity, the aim of records and information management is to ensure that there are no barriers to access, and that information is available in a timely fashion to those who need it. An effective records and information management system is essential for improving access to records that support decision-making, programs and service delivery. Such a system supports accountability, protects personal and confidential information, greatly improves organizational efficiency, ensures appropriate retention and disposition of records, reduces costs, and preserves the corporate memory and history of New Brunswick.

The *Archives Act* designates the Provincial Archives responsible for the preservation of government records. This document, the Regional Services Commission Records Authority (RSCRA), provides a comprehensive file plan and retention schedules. It enables consistent handling and efficient use of Commissions records, and ensures that records of long-term value are identified and protected.

The RSCRA serves two purposes. It provides a suggested framework for the organization of all records, file classification plan, and supplies approved retention schedules for those records. Commissions with a classification plan already in place may choose to use only the retention schedules component.

Any questions regarding this publication should be directed to the Corporate Information Management Unit, Government Records Section, Provincial Archives of New Brunswick at records.centre@gnb.ca or at 506-453-2897.


##### What is a record?

The [*Archives Act*](http://laws.gnb.ca/en/ShowPdf/cs/A-11.1.pdf) defines a record as “correspondence, memoranda, forms, and other papers and books; maps, plans, and charts; photographs, prints and drawings; motion picture films, microfilms and video tapes; sound recordings, magnetic tapes, computer cards, and other machine readable records; and all other documentary materials regardless of physical form or characteristics”.

In other words a record is recorded information, **regardless of medium**, created or received in the course of business activities and maintained as evidence of such activity.


##### How does the RSCRA File Classification Plan work?

This publication can be used to classify, file and retrieve and apply retention schedules to the records.

The RSCRA File Classification Plan is a hybrid function-based, block-numeric file classification plan that provides a framework for the organization and description of records. The classification plan is accompanied by authorized retention and disposition schedules for those records. A retention schedule determines the length of time the record must be kept, and states what will be done with it when it is no longer required as an active record in office.

The hybrid classification approach consists of a file plan made up of high level common functions and activities - identified by an analysis of an organization’s business functions, activities, and transactions - which tend to be stable over time. The hybrid file plan also provides more flexibility relating to the identification and naming conventions of lower level transactions to promote user acceptance. Although flexible, it is important to note that the use of standardized naming conventions and taxonomies is considered very important and is encouraged. The result of a hybrid file plan is a much flatter hierarchy of classification, ideal for electronic records management applications, where retention is applied at the primary/activity level.

**General**

The publication consist of

* an introduction to the manual;
* the subject classification plan and retention periods;
* an alphabetical index consisting of subject headings and synonyms to assist users in locating file headings;
* and appendices.

**Organizational Structure**

RSCRA classifies records at three levels:

 Main Groups/**F**unctions

 Primaries/**A**ctivities

 Secondaries/**T**ransactions

As you move down through the classification levels, they become more specific.

**Main Groups or Functions:**

This classification plan uses a system in which blocks of numbers are assigned to each main group of headings, which represent the broadest level in the file structure and describe common basic functions of the Commissions.

The subject classification plan is divided into the following main groups/functions:

|  |  |  |
| --- | --- | --- |
| SECTION | MAIN GROUP TITLE / FUNCTIONS  | BLOCK NUMERIC NUMBERS |
| 1 | Administration and Leadership Planning | 0100-0499 |
| 2 | Real and Physical Property Management | 0500-0699 |
| 3 | Financial Management | 0700-0999 |
| 4 | Human Resources Management | 1000-1299 |
| 5 | Information and Technology Management | 1300-1599 |
| 6 | Legal and Regulatory Matters | 1600-1799 |
| 7 | Planning and Development  | 2400-2599 |
| 8 | Solid Waste Management | 2600-2699 |

**Primaries or Activities:**

Each main group/function is subdivided into primaries or activities. Primaries are activities related to a specific main group/function. Primaries are arranged alphabetically where possible, for more efficient filing and retrieval of informaiotn. An exception to this rule is that the first assigned primary number in each section is called “General” (e.g. Finance – General). The “General” primary/activity is used to classify records whose function applies to the main group as a whole, or for records that do not fit into a more specific primary/activity.

A list of primary numbers and primary subjects is found at the beginning of each main group.

Gaps have been left between primary numbers for expansion purposes.

As a Commission implements and uses the plan, it may be necessary to create primaries to accommodate new subjects. When this happens, complete a *Request for Change* form (see [Appendix B](#AppendixB)).

Each primary/activity has a unique four-digit classification number and title.

Each primary also has a **scope note** that describes the business activities and types of records which should be included/filed under that primary. Cross references, examples and explanatory notes are also listed under the scope note. **It is very important to examine scope notes and examples provided when classifying.**

**Secondaries or Transactions:**

Secondaries or transactions are the most specific level of the file structure. Frequently used or common transactional or secondary subjects have been suggested for used in the scope note and examples.

Commissions may assign seconday /transaction numbers. When assigning a secondary number, both primary and secondary numbers will constitute the complete file number. It has been left to the Commission whether or not to assign a unique identifier number to the secondaries/transactions. Possible options are listed below:

• A two-digit number following the primary number, (e.g. 0330-01).

-01 for News Clipings material followed by the next consecutive numbers for other subjects (e.g. -02, -03, etc)

-20, 30, 40, 50 for **case file** records. **Case files** contain documents relating to a specific time limited entity, such as an event, project, transaction, product or organization, or to an individual. **Case files** are generally standardized; that is, they may contain the same type of information or forms. They are frequently filed by name or number. Examples of case files are project files, committee files, contract files, by-laws, etc.

• File codes may be used in conjunction with primary and secondary numbers or with the primary only. Codes are letters and/or numbers that abbreviate the proper names of locations, organizations, etc. Commonly used acronyms can serve as a code. For example:

a) 0125 Associations, Clubs, Societies

 0125 - 20/**A1** Association of Records Managers and Administrators

 - 20/**A2** Association of Municipal Administrators of New Brunswick

 - 20/**B1** Better Business Bureau

 - 20/**C1** Canadian Cancer Society

 **↑**

 ***CODES***

b) 0125 Associations, Clubs, Societies

 0125 - 20/**AMANB** Association of Municipal Administrators of NB

- 20/**ARMA** Association of Records Managers and Administrators

 - 20/**BBB** Better Business Bureau

 - 20/**CCS** Canadian Cancer Society

 **↑**

 ***CODES***

c) 0125 Associations, Clubs, Societies

 0125 - **AMANB** Association of Municipal Administrators of NB

- **ARMA** Association of Records Managers and Administrators

 - **BBB** Better Business Bureau

 **↑**

 ***CODES***

When using codes, a master list should be created for reference and for assigning new codes.

**Tertiary** **Numbers:**

These can be used when it is necessay to sub-divide a secondary/transaction subject. For example, a project file may require a research material file, a general file, a report file, briefing file, etc. The forward slash (/) separates the tertiary number from the secondary number (e.g.0310-PRS/Ref).

A **complete file number** consists of the primary and secondary number including the code and tertiary number, if applicable (e.g. 0125-20/A2/Ref).


##### Retention and Disposition Schedules

The [*Archives Act*](http://laws.gnb.ca/en/ShowPdf/cs/A-11.1.pdf) assigns various duties to the Provincial Archivist, including

*"to prepare records schedules governing the retention, destruction and transfer of public records to the Archives;”*

and *“ to encourage the use by departments, rural communities and municipalities of modern records storage and classification systems in order to ensure that important policies and programs are documented and that public records are protected against deterioration, loss and destruction”.*

The [*Archives Act*](http://laws.gnb.ca/en/ShowPdf/cs/A-11.1.pdf) section 8 also states *“Public records shall not be destroyed or removed from the ownership or control of the Provinces unless such destruction or removal is authorized under this Act.”* A records schedule, also known as records retention and disposition schedule, provides the authorization.

A retention schedule establishes the life cycle of records. It specifies the length of time the records must be kept in the office (active), how long they are stored off-site (semi-active), if applicable, and how the records will be handled at the end of their life (final disposition). The final disposition is based on the administrative, legal, fiscal, historical, or other value of the records. Retention schedule information has been assigned to the primary/activity level. The retention periods are to be applied by the division/department/office that has custody of the record. Copies of records held by other areas or offices only for reference or convenience can and should be destroyed as soon as no longer needed, and should not be kept longer than the specified retention period of the official record.

Here is a sample retention schedule :

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0125 ASSOCIATIONS, CLUBS, SOCIETIES MANAGEMENT** | Cy+1y | 4y | D |

**Active Period (A)**

The column labeled “A” refers to the period of time the records are active in the office. These are the records that are regularly referred to during the course of daily activity, and which are maintained in the office space. Generally, the active period is determined by the frequency of need or retrieval: if retrieval/reference is more frequent than one reference per linear foot (30 cm) per month, the records are considered to be active.

The retention periods for active records are found under the column labeled **A.** A trigger indicates am evemt that closes the file. The triggers are found in the footer of the file classification plan and are described as follows:

**Cy** = Calendar year and Fiscal year – Refers to January 1 to December 31

**SO** = Superseded or Obsolete - when records are replaced with newer, up to date information which renders the older record out of date or as defined in the retention schedule.

The retention period may be followed by a plus (+) sign and a number followed by a “y”. The number refers to the length of time in years that the records are kept in the active period after the file has been closed such as Cy+1y (Calendar year + 1 additional year).

**Semi-Active Period (SA)**

The column labeled “SA” refers to records which are not frequently required and which need not be maintained in office space. These records still have administrative, operational or legal value to the Commission and may be stored off-site according to the number of years in the specified retention period. Retrieval and reference access for records in semi-active period is generally less than one reference per one linear foot (30 cm) per month.

A storage facility is used to stored records that are no longer active. These records are stored in boxes and by year of final disposition. The storage facility may be an off-site warehouse, or in rooms designated for such use and with controlled access to the storage facility. Depending on the volume of the semi-active records, a Commission may choose to keep all or a selected group of records intact in file cabinets until final disposition.

The column labeled “**SA”** refers to the period of time (in years) the records are to be stored there. Records with a “0y” for their semi-active period are NOT sent to storage; the final disposition is applied directly to those records.

**Final Disposition (FD)**

The column labeled **“FD”** refers to the disposition of the records, the last phase of the records’ life cycle. This phase indicates that the records have reached their inactive state. Inactive records are those which are no longer of value to a Commission and are not required for the functions for which they were created.

Final dispositon of records is undertaken in one of three ways:

1. **D = Destroy,** requires records to be shredded, recycled, deleted, etc. Prior to destruction, a summary list of the content is done and maintained in the RSCRA primary 1475. A template form has been provided, see [*Appendix D*](#AppendixD)*, Records Destruction Form*. Commissions are responsible for making the appropriate arrangements for the secure destruction or deletion of records; for asistance, please review the publication *Guidelines for the Secure Destruction of Records* available at [The Secure Destruction of Records - Directives](https://archives.gnb.ca/CIM/Directives/en-CA).
2. **SR = Selective Retention,** requires records to be transferred to the Provincial Archives for appraisal. The Provincial Archives will assess the records and permanently preserve some, none, or all of them. See [*Appendix C*](#AppendixC)*, Transfer of boxes to Provincial Archives* for how to transfer the records.
3. **AR = Archives,** requires records to be transferred to the Provincial Archive for permanent retention. Records at the Provincial Archives may be reformatted to micrographic or digital format, and the hard copy destroyed or kept. See [*Appendix C*](#AppendixC)*, Transfer of boxes to Provincial Archives*.

For ease of reference, a definition for each abbreviation used in the retention schedule section is also provided in the footer of each page in the file classification plan section.

Please contact Provincial Archives, if any items slated for destruction appear to have historical value.

##### How do I read a retention schedule?

Below is an example from the Financial Management section:

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0715 ACCOUNTS PAYABLE** | Cy+1y | 5y | D |

This schedule indicates that the files for all “accounts payables” classifed under 0715 will be kept for the calendar/fiscal year (December 31) plus ONE additional fiscal year, followed by a FIVE year period in a storage facility. At the end of the FIVE years, (December 31 or January 1 of the following year ) the entire box will be destroyed. Prior to destruction, a summary list of the content is done using the *Records Destruction Form* (see [*Appendix D*](#AppendixD)). The completed form is kept in DPCRA primary 1475.

Here is an example of the calculation for 0715 for the fiscal year 2005.

Active period: Cy+1y (fiscal year 2005 + 1 year 2006)

Semi-active period: 5y (07,08,09,10,11)

Final Disposition: D= January 2012

To apply the retention schedule, the disposition date is calculated using a trigger, either Cy (calendar/fiscal year), or SO (superseded/obsolete or as defined). For example:

* For retention periods with Cy, the disposition will always be the month of January following the complete retention. If you have a document/file dated 2000, and a retention schedule of Cy+1y/4y/D, that file can be processed for Destruction in January 2006 (Cy=2000 +5 years =2001, 02, 03, 04, 05).
* For retention periods with SO, the disposition will be the month following the superseded/obsolete or after the defined action time. If you have a policy that was superseded in February 2005, and the retention schedule is SO/4y/SR, the file will be going for archive selection in March 2009 (SO=Feb 2005+ 4years= 2006, 07, 08, 09). When the trigger closing month is unknown, you will calculate using the month of December of the current year.


##### How to use this File Classification Plan

This suggested standard file classification plan will assist in the maintenance of an effective records management program. It allows for the proper arrangement of records by listing the file number, the file title, and cross references and explanatory notes. It also links file titles with the appropriate retention and disposition periods.

Each Commission should create a file list, based on the RSCRA File Classfication Plan, which reflects actual files held by the Commission. This list which can consist of an extraction of the RSCRA will indicate which files the Commission has actually created, and which subjects are being used. Never create an unnecessary or “empty” file. The file list should be kept as current as possible.

**If certain retention periods and dispositions are not feasible for your Commission**, please consult with the Corporate Information Management Unit of the Provincial Archives. Changes and adaptations are possible but remember that the document has to meet the needs of all Commissions.


##### Other Components of the RSCRA:

**Index**:

The index is provided to assist users when classifying and filing records. The index includes a list of terms arranged in alphabetical order which point to an activity(primary) number. First the user must determine the type, content and/or context of the record they need to classify or file, and then look up the keyword in the index. Prior to classifying and filing the record, the scope note of the primary should be read to ensure that this is the correct place to file the records. Please remember that the Commission’s index of records will consist of the complete file number, that is the primary and secondary number including the code and tertiary number, if applicable.

**Glossary**:

A glossary, ([*Appendix A*](#AppendixA)), has been created for terms used in this manual, and other commonly used records and information management terms. They are listed in alphabetical order.

**Request for Change:**

Commission should complete the form, ([*Appendix B*](#AppendixB)*)*, and send it to the e-mail address indicated when a change is required in the RSCRA File Classification Plan. A change can include additions or deletions of subjects, or a request for modification to a retention period.

**Transfer of Boxes to Provincial Archives:**

The Provincial Archives of New Brunswick (PANB) is responsible for establishing retention and disposition schedules and for preserving records of enduring value.

Some records in this manual have been deemed of enduring value and are to be sent to Provincial Archives for either full preservation (AR) or for selective retention (SR). When preparing records for PANB, please refer to *Appendix C* for complete information on how to send records.

**Records Destruction Form:**

A template form, see [*Appendix D*](#AppendixD), has been added to the manual. Commissions may customize the form. Whenever records are destroyed as per the retention schedule, a form is to be completed, signed by a person of authority as designated by the Commission and maintained in the RSCRA primary 1475.

**Retention of Computer System Backups:**

*Appendix E* provides information regarding the purpose of system backups, their use, and the retention schedule to be applied to the backups as well as the options available for destruction.

Section 1

**0100** - **0499**

**ADMINISTRATION AND LEADERSHIP PLANNING**

**Administration and leadership planning is the function which documents administrative activities within the organization. It includes records and supporting documentation of the Board of Directors; governmental relations and liaison activities; reviews of planning processes; the development of policies, procedures and guidelines; the management of complaints and general enquiries; auditing activities; public relations activities; and conference, workshop and symposia attendance and participation.**

**SECTION 1**

**0100** - **ADMINISTRATION AND LEADERSHIP PLANNING** - **0499**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Acts and Legislation Administration | 0105 | SO | 2y | SR |
| Administration and Leadership Planning - General | 0100 | Cy+1y | 0y | D |
| Associations, Clubs, Societies Management | 0125 | Cy+1y | 4y | D |
| Auditing | 0130 | Cy+1y | 5y | SR |
| Board of Directors | 0150 | Cy+4y | 10y | SR\* |
| Committees Management | 0160 | Cy+2y | 4y | SR |
| Complaints Management | 0120 | Cy+1y | 4y | SR |
| Conferences, Symposia and Workshops Administration | 0170 | Cy+1y | 2y | D |
| Emergency Planning and Disaster Recovery | 0185 | SO | 5y | D |
| Governmental Relations and Liaison Activities | 0230 | Cy+1y | 4y | D |
| Occupational Health and Safety Inspection and Investigation | 0290 | SO | 6y | SR |
| Organizational Planning | 0300 | Cy+4y | 5y | SR |
| Policy and Procedures Development | 0320 | SO | 5y | SR |
| Programs and Projects Management  | 0310 | Cy+4y | 10y | SR |
| Public Relations | 0330 | Cy+4y | 5y | SR |
| Reporting and Statistics | 0365 | Cy+1y | 4y | SR\* |
| Workplace Safety Management | 0465 | Cy+4y | 15y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 0100 | Administration and Leadership Planning- General | Cy+1y | 0y | D |
| 0105 | Acts and Legislation Administration | SO | 2y | SR |
| 0120 | Complaints Management | Cy+1y | 4y | SR |
| 0125 | Associations, Clubs, Societies Management | Cy+1y | 4y | D |
| 0130 | Auditing | Cy+1y | 5y | SR |
| 0150 | Board of Directors  | Cy+4y | 10y | SR\* |
| 0160 | Committees Management | Cy+2y | 4y | SR |
| 0170 | Conferences, Symposia and Workshops Administration | Cy+1y | 2y | D |
| 0185 | Emergency Planning and Disaster Recovery | SO | 5y | D |
| 0230 | Governmental Relations and Liaison Activities | Cy+1y | 4y | D |
| 0290 | Occupational Health and Safety Inspection and Investigation | SO | 6y | SR |
| 0300 | Organizational Planning | Cy+4y | 5y | SR |
| 0310 | Programs and Projects Management | Cy+4y | 10y | SR |
| 0320 | Policy and Procedures Development | SO | 5y | SR |
| 0330 | Public Relations | Cy+4y | 5y | SR |
| 0365 | Reporting and Statistics | Cy+1y | 4y | SR\* |
| 0465 | Workplace Safety Management | Cy+4y | 15y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0100 ADMINISTRATION AND LEADERSHIP PLANNING - GENERAL** | Cy+1y | 0y | D |

Documents the general administration and leadership planning transactions for which there is no specific activity in this section.

**Examples:** Appointment books, appreciation letters, calendars, campaigning and canvassing supported by the Commission such as United Way and blood donor clinic, condolence letters, congratulations, fundraising, general enquiries, invitations, requests to attend meetings, season’s greetings notes and cards, simultaneous translation and interpretation services, social events organized by Commission, thank you letters, translation services, welcome messages.

- by date

- by event

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0105 ACTS AND LEGISLATION ADMINISTRATION** | SO | 2y | SR |

Documents information about federal, provincial and municipal acts, legislation, bills, and regulations.

**Examples:** Correspondence, working papers and other records leading to amendments.

*For the Commission by-laws, see primary 1640.*

*For policies, procedures and guidelines, see primary 0320.*

- by act, bill or regulation

- by jurisdiction

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0120 COMPLAINTS MANAGEMENT** | Cy+1y | 4y | SR |

Documents the general complaints and related correspondence received from the public, private organizations and government organizations regarding services performed by the Commission.

**Examples:** Comments and concerns, letters of complaints and responses, and criticisms received.

*For language related complaints, see primary 1025.*

**NOTE:** Complaints which progress to a higher level of authority should be placed in the appropriate function file. Petitions should also be filed in the appropriate function.

- by date

- by event

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0125 ASSOCIATIONS, CLUBS, SOCIETIES MANAGEMENT** | Cy+1y | 4y | D |

Documents the participation in outside organizations, corporate or board membership in associations, federations, foundations, institutes, leagues and other groups for reasons of mutual professional interest and individual interests.

**Examples:** Agendas of meetings, membership fee notices, minutes of meetings, notices of meetings, and reports.

*For payment of association, club or society fees, see primary 0715.*

- by association

- by federation and foundation

- by league and institute

- by organization

- by society

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0130** **AUDITING** | Cy+1y | 5y | SR |

Documents the audits, evaluations, investigations, and reviews conducted by an assigned external or internal auditor. Also documents the adequacy and effectiveness of the systems of internal control, as well as the quality of performance of the organization for which it may have a regulatory responsibility.

**Examples:** Audited financial statements, audit investigation reports, background information, draft documentation, financial audits, follow-up documents, internal audit reports, performance measurement documents, program assessments, program audits, program review documents, and records management audits.

*For security audits, see primary 1490.*

- by audit type

- by name

- by subject

- by date

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0150 BOARD OF DIRECTORS** | Cy+4y | 10y | SR\* |
| *\*The Board of Directors meeting files will be kept for complete permanent preservation while other records will go through the selection process.* |

Documents the activities of the Commission’s Board of Directors.

**Examples**: Appointments, background information relevant to the Board’s agenda items, meetings agendas, conflict of interest of board members, minutes and material tabled, and roles and responsibilities of board members.

*For conflict of interest of employees, see primary 1050-1a.*

*For committees, see primary 0160.*

**NOTE:** Recordings of meetings, secretaries’ notes and verbatim excerpts can be destroyed after the Official Meetings Minutes have been approved.

- by meeting date

- by topic

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0160 COMMITTEES MANAGEMENT** | Cy+2y | 4y | SR |

Documents the planning, development and management of boards (other than Commissions’ Board of Directors), commissions, committees, councils, groups, panels, steering/standing committees, sub-committees, task forces, and working groups whether internal or external, in relation to specific strategies, initiatives and collaboration.

**Examples:** Committee’s agendas and minutes, notices of meetings, task force meeting minutes and documentation, standing committee meeting minutes and documentation, ad-hoc committee meeting minutes and documentation, advisory committee meeting minutes and documentation, term of reference, panel discussion notes, appointments, and other boards and commissions minutes and constitutions.

*For records of the Commission’s Board of Directors, see primary 0150.*

*For governmental relations, see primary 0230.*

- by committee

- by other commission

- by task force

- by panel

- by council

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0170 CONFERENCE, SYMPOSIA, AND WORKSHOP ADMINISTRATION** | Cy+1y | 2y | D |

Documents the participation in, or the establishment, organization and function of conferences, symposia, workshops and seminars.

**Examples:** Conference agendas, notices of conference, minutes, arrangements and preparation documentation relating to the hosting of a conference, symposium, workshop or seminar; and reports and correspondence.

*For associations, clubs and societies, see primary 0125.*

*For committees, see primary 0160.*

*For payment of expenditures, see primary 0715.*

- by conference

- by symposium

- by workshop

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0185** **EMERGENCY PLANNING AND DISASTER RECOVERY** | SO | 5y | D |
| *SO= until updated/replaced or matter resolved* |

Documents planning for emergencies such as earthquakes, fires, floods, hurricanes, tornadoes, vandalism, terrorism, and epidemics to ensure the continuation of operations; the evaluation of potential emergencies; and the response, recovery, and resumption of business in cases of emergency.

**Examples:** Disaster plans, copy of emergency evacuation procedures, essential records protection plan, internal emergency-response plans, emergency/fire drills, mock disasters/exercises, emergency preparedness plan, planning, reports, studies and statistics.

*For computer system back-ups, see Appendix E.*

*For policy and procedures, see primary 0320.*

**Note: The disaster recovery plan is a vital record and a copy must be stored offsite.**

- by plan

- by type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0230 GOVERNMENTAL RELATIONS AND LIASON ACTIVITIES** | Cy+1y | 4y | D |

Documents the exchange of information between the Commission and other government or non-government organizations such as municipalities, provincial/territorial governments, federal governments, first nations, international agencies, universities, colleges, schools, health authorites, etc.

**Examples:** Notifications of appointment, background information, correspondence relating to the sharing of publications, program information, policies, curriculum, routine notifications, and offer of services.

**NOTE:** Material of a specific nature should be placed in the appropriate subject file.

- by organization

- by agency

- by department

- by group

- by institution

**-** other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0290 OCCUPATIONAL HEALTH AND SAFETY INSPECTION AND INVESTIGATION** | SO | 6y | SR |
| *SO= until matter resolved* |

Documents the assessment, investigation, processes, and reporting of workplace health and safety incidents and activities as required by the *Occupational Health and Safety Act.*

**Examples:** Incident and complaint investigations and reports, hazard assessment and control program activities, workplace compliance, periodic inspections, compliance notices, hazard assessment reports, hazardous materials inventory, WHMIS (Workplace Hazardous Material Information Sheets), orders, inspection reports, interview notes, workplace inspection forms, appeals, and investigation correspondence

*For employee worker’s compensation claims, see primary 1050-1c.*

*For OHS committees and minutes, see primary 0160.*

*For emergency planning and disaster recovery, see primary 0185.*

*For records relating to physical security, see primary 1490.*

*For workplace safety programs, see primary 0465.*

- by incident

- by activity

- by surname

- by date

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0300 ORGANIZATIONAL PLANNING** | Cy+4y | 5y | SR |

Documents the activities of Commission-wide planning including the analysis of business functions, missions, and strategic planning.

**Examples:** Organizational charts, branch work plans, strategic planning documentation, business plans, organizational restructuring and reorganization, mission statements, mandates, performance measurement systems, quality management systems, improvement studies, office surveys, International Standards Organization (ISO) manual, background material, and framework meeting notes.

*For Policy and Procedures Development, see primary 0320.*

*For Program Administration, see primary 0310.*

- by study or survey

- by type

- by unit

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0310 PROGRAM AND PROJECT MANAGEMENT** | Cy+4y | 10y | SR |

Documents the planning, coordination, direction, and/or administration of the Commission’s programs and/or projects; and documents the development and execution of plans in relation to program and project goals and objectives.

**Examples:** Project research documentation, program proposals, program and project implementation, project business cases, project material, project and program reports, applications for funding, program project plans, lists of goals and objectives, mission statements, and program review reports.

*For audits, see primary 0130.*

*For organizational effectiveness studies, see primary 0300.*

*For land use planning (Regional Planning and Local Planning), see Section 7.*

- by project

- by program

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0320 POLICY AND PROCEDURES DEVELOPMENT** | SO | 5y | SR |

Documents the development and revisions of administrative and operational manuals, bulletins, circulars, directives, policies, procedures, guidelines, best practices documentation and standards.

**Examples:** Research material, drafts, working papers, reports, procedures and guidelines, review documentation, consultation document and final approved document.

- by policy

- by procedure

- by guideline

- by standard

- by circular, directive, bulletin

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0330 PUBLIC RELATIONS** | Cy+4y | 5y | SR |

Documents the promotion of the Commission’s public image through development of media communications, implementation of communications plans and events, and responses to media requests. Also documents the organization of public events such as exhibits, fairs, shows and trade events; speeches, presentations and lectures by officials or designates; and visits and tours arranged either partially or wholly by the Commission.

**Examples:** Briefings, news releases, press releases, press conferences, radio commercials, draft magazine ads, newspaper ads, working papers, exhibit display boards, lists of events for trade shows, schedules of dates and times of events, proclamations, itineraries, lists of contacts, newspaper clippings, draft speeches, copies of final speeches, outlines of lectures.

*For records relating to publishing activities, see 1380.*

**Note:** Original speeches and presentations should be placed in the appropriate function file.

- by type

- by subject

- by date

- by event

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0365 REPORTING AND STATISTICS** | Cy+1y | 4y | SR\* |
| *\*Only the Annual Reports must be sent for selection at Provincial Archives.* |

Documents the development and approval of administrative and operational reports and statistics.

**Examples:** Annual reports, monthly reports, quarterly reports, statistical reports, supporting documentation, and background material.

*For financial reports, see primary 0705.*

**NOTE:** Reports and statistics on specific subject are to be placed in the appropriate subject file.

- by type

- by date

- by department, division, branch, or unit

- by topic

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0465 WORKPLACE SAFETY MANAGEMENT** | Cy+4y | 15y | D |

Documents the development, implementation, and administration of occupational health and safety related programs in the workplace, in accordance with the *Occupational Health and Safety Act,* such as fire protection programs, first aid programs, smoking in the workplace programs, and identification of hazardous materials programs.

**Examples:** Committee recommendations, annual summary reports, safety audits, work safe program such as 5\*22 program, evacuation plans and procedures, first aid program documents, occupational health and safety program plans, OHS training tracking spreadsheets, reports, training presentations, course confirmations, records relating to communicable diseases, air quality, hazmat records, smoking in the workplace records, scent-free environment documents, records relating to ergonomic work areas, and allergy reduction related documents.

*For Occupational Health and Safety Committee minutes, see primary 0160.*

*For employee Worker’ Compensation claims, see 1050-1c.*

*For records relating to emergency planning and disaster recovery, see primary 0185.*

*For records relating to physical security, see primary 1490.*

*For occupational health and safety inspection and investigation, see primary 0290.*

*For other programs, see primary 0310.*

- by program

- by activity

- by subject

- other

Section 2

**0500 – 0699**

**REAL AND PHYSICAL PROPERTY MANAGEMENT**

**Real and physical property management is the function that supports the acquisition, maintenance, and disposal of physical and real property used by the Commission. Physical property consists of movable property such as equipment, furniture, office supplies, and vehicles which are owned or leased. Real property consists of immoveable property which the Commission owns, leases, or has rights to, such as land, buildings, and structures. It also includes moveable physical property that has been incorporated into the structure of buildings**

 **(e.g., utility systems).**

*For agreement and contract management, see primary 1625.*

*For policy and procedures development, see primary 0320.*

**SECTION 2**

**0500** – **REAL AND PHYSICAL PROPERTY MANAGEMENT** - **0699**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Accommodation/Space Planning | 0505 | Cy+1y | 5y | D |
| Buildings, Structures and Land - Maintenance | 0530 | SO | 3y | SR |
| Buildings, Structures and Land – Management  | 0520 | SO | 10y | D |
| Equipment, Furniture and Supplies Management | 0570 | SO | 2y | D |
| Fleet Management | 0590 | SO | 2y | D |
| Real and Physical Property Management - General | 0500 | Cy+1y | 0y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 0500 | Real and Physical Property Management - General | Cy+1y | 0y | D |
| 0505 | Accommodation/Space Planning | Cy+1y | 5y | D |
| 0520 | Buildings, Structures and Land - Management  | SO | 10y | SR |
| 0530 | Buildings, Structures and Land - Maintenance | SO | 3y | D |
| 0570 | Equipment, Furniture and Supplies Management | SO | 2y | D |
| 0590 | Fleet Management | SO | 2y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0500 REAL AND PHYSICAL PROPERTY MANAGEMENT - GENERAL** | Cy+1y | 0y | D |

Documents the general management of real and physical property transactions for which there is no specific primary.

**Examples:** Building addresses, building directories, cafeteria and eating facilities, clothing inventories, conference/meeting room bookings, correspondence for laundry service, uniform distribution lists and use of branding and logos.

*For physical security, see primary 1490.*

*For security of information, see primary 1490.*

*For dress code, see primary 0320.*

*For procurement, see primary 0960.*

- by department, division, branch or unit

- by service

- by subject

- by type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0505 ACCOMMODATION/SPACE PLANNING** | Cy+1y | 5y | D |

Documents the planning and arrangement for the allocation, use and outfitting of office and warehouse space and other accommodations. Also includes the administration of parking spaces for employees.

**Examples:** Space inventories, space specifications, plans for expansion, arrangements for services, allocation of space, floor plans, draft drawings, moving schedules, meeting notes, parking permits, parking space holder lists, visitors’ parking passes.

*For accounts payable, see primary 0715.*

*For personnel security, see primary 1490.*

*For security of information, see primary 1490.*

- by subject

- by space

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0520 BUILDINGS, STRUCTURES, AND LAND - MANAGEMENT** | SO | 10y | SR |
| *SO= until transferred or disposed of* |

Documents the procurement, management, construction, major renovation, easements, right-of ways, concessions, disposal, and transfer of land, structures, and buildings through purchase, lease, donation, demolition, removal, transfer, and/or sale by the Commission.

**Examples:** Applications for work orders, warranty documents, requests for roofing quotes, appraisals, procurement approvals, drawings, photographs of structures, building plans, certificates of title, land deeds, building leases, notices of transfers, building models, specifications, inventories, building material lists, change orders for the scope of work and scheduling, progress reports, inspection reports, acceptance records, deficiency lists, construction holdbacks, topographic maps, building codes, authorization documentation, upgrade memos, site plans, space plans.

*For contracts, see primary 1625.*

*For minor alterations, repairs, maintenance and utilities, see primary 0530.*

*For lease agreement negotiation documents, see primary 1625.*

- by building code or name

- by structure

- by property

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0530 BUILDINGS, STRUCTURES, AND LAND - MAINTENANCE** | SO | 3y | D |

Documents the activities relating to alterations, maintenance, and repairs undertaken on buildings, land, and structures of the Commission. Documents as well the activities relating to the installation, operation, maintenance, and repair of utility systems within facilities including air conditioning, ventilation, heating systems, garbage and waste disposal, lighting and electrical systems, fire protection systems, as well as water and plumbing systems.

**Examples:** Inspection reports, requests for service, signage, cost estimates for damaged assets, reports and specifications for minor repairs of facilities and properties, work orders, correspondence on concerns relating to utilities, utility instruction manuals, documentation on repairs and schedule of garbage and waste disposal for building.

*For major alterations or construction, see primary 0520.*

*For contracts, see primary 1625.*

*For procuring buildings, structures, or land, see primary 0520.*

- by building name or code

- by facility or structure

- by property

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0570 EQUIPMENT, FURNITURE AND SUPPLIES MANAGEMENT** | SO | 2y | D |
| *SO = until disposal or transferred*  |

Documents the administration, maintenance and repair, use, storage, disposal or transfer of equipment, furniture and supplies including industrial equipment for waste management facilities, office equipment, industrial supplies and office supplies.

**Examples:** Repairs, repair logs, paper recycling program documentation, equipment specifications, justification documents, inspection reports, equipment operation manuals, equipment testing, computer warranties, copy of purchase order/contract, equipment guarantees and warranties, computer inspection reports, audio-visual equipment maintenance schedules, inventories, equipment history, work orders, cell phone specifications, surplus lists, disposal reports, and equipment transfer documentation.

*For vehicles (fleet) information, see primary 0590.*

*For procurement, see primary 0960.*

- by type

- by asset name or number

- by department

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0590 FLEET MANAGEMENT** | SO | 2y | D |
|  *SO = until disposal or transfer*  |

Documents the administration, use, storage, maintenance, repairs, disposal, and transfer of fleet vehicles including road, all-terrain, construction, off-road, specialized trucks and water vehicles.

**Examples:** Registrations, licenses, insurance card, logbooks, mileage reports, maintenance schedule, repairs, justification documents, specifications, guarantees and warranties, employee use of vehicle, rental/leasing of vehicles, inventories, copy of purchase order/contract, vandalism reports, and quotes for repairs.

*For insurance, see primary 1775.*

*For procurement, see primary 0960.*

- by asset number

- by asset name

- by type

- other

Section 3

**0700** - **0999**

**FINANCIAL MANAGEMENT**

**Finance is the function that supports the financial and managerial accounting of the organization. It reflects the receipt, control and expenditure of public funds. It includes accounts reporting and reconciliation, accounting, budgets, payroll processing, borrowing and debt management, banking, fees, funds and grants, investments and other fiscal details.**

*For policy and procedures development, see primary 0320.*

*For committees, see primary 0160.*

**SECTION 3**

**0700 – FINANCIAL MANAGEMENT – 0999**

**ACTIVITY TITLES, ACTIVITY NUMBERS AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Accounts Payable | 0715 | Cy+1y | 5y | D |
| Accounts Receivable | 0720 | Cy+1y | 5y | D |
| Accounts Reporting and Reconciliation | 0705 | Cy+1y | 5y | D |
| Banking | 0750 | Cy+1y | 5y | D |
| Borrowing and Debt Management | 0760 | SO | 7y | D |
| Budgeting  | 0770 | Cy+1y | 5y | SR\* |
| Financial Management - General | 0700 | Cy+1y | 0y | D |
| Funds and Grants Administration | 0805 | SO | 7y | SR |
| Payroll Processing | 0955 | Cy+1y | 5y | D\* |
| Procurement | 0960 | Cy+1y | 5y | D |
| Signing and Spending Authority Administration | 0965 | SO | 2y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES AND RETENTION SCHEDULES**

 **(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 0700 | Financial Management - General | Cy+1y | 0y | D |
| 0705 | Accounts Reporting and Reconciliation | Cy+1y | 5y | D |
| 0715 | Accounts Payable | Cy+1y | 5y | D |
| 0720 | Accounts Receivable | Cy+1y | 5y | D |
| 0750 | Banking | Cy+1y | 5y | D |
| 0760 | Borrowing and Debt Management | SO | 7y | D |
| 0770 | Budgeting  | Cy+1y | 5y | SR\* |
| 0805 | Funds and Grants Administration | SO | 7y | SR |
| 0955 | Payroll Processing | Cy+1y | 5y | D\* |
| 0960 | Procurement | Cy+1y | 5y | D |
| 0965 | Signing and Spending Authority Administration | SO | 2y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0700 FINANCIAL MANAGEMENT – GENERAL** | Cy+1y | 0y | D |

Documents the general management of financial transactions for which there is no specific primary.

**Examples:** Currency exchange, rate bulletins, taxation bulletins, travel arrangements.

*For petty cash, see primary 0715.*

*For allowances, see primary 0715.*

- by event

- by subject

- by service

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0705 ACCOUNTS REPORTING AND RECONCILIATION** | Cy+1y | 5y | D |

Documents the verification process, the tracking and reporting of income and expenses of the Commission, as well as the reporting and reconciliation of transactions in accounts.

**Examples:** Accounting for tangible capital assets, accounting system, balance sheets, bank account reconciliation, financial statements, general ledger, interim financial statements, revenue accounting reports, statements of cash flow, statistical financial reports, summary reports by account, write-offs of outstanding accounts and debts and year-end reconciliations reports.

*For annual reports and statistics, see primary 0365.*

*For Audited Financial Statements, see primary 0130.*

*For procedures, see primary 0320.*

- by account number

- by subject

- by type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0715 ACCOUNTS PAYABLE** | Cy+1y | 5y | D |

Documents the tracking and reporting of the payment of accounts and expenditures of funds.

**Examples:** Allowances/advances, approved expenses, meal receipts, billings, cash advances, claim payments, copies of financial transactions, correspondence, credit card/purchase card payments, travel and expense claims, financial commitment tracking, hospitality/business claims expenditures, invoices, packing slips, payments to consultants, professionals and lecturers, payroll deduction remittance to Canada Revenue Agency (CRA), petty cash, progress reports, overdue accounts reports, receipts, recurring payment, rental and lease invoices, salary advances, special allowances, subscriptions and memberships payment, supporting documentation,travel advances, remittance of tax payment, tuition fees reimbursement, and vehicle allowances.

*For agreements, see primary 1625.*

*For taxable benefits, see primary 0955.*

- by account number

- by employee

- by vendor

- by claimant

- by type

 - other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0720 ACCOUNTS RECEIVABLE** | Cy+1y | 5y | D |

Documents the revenue received/collected by a Commission for all services and revenue sources.

**Examples:** Account balances, cash receipts, cash transactions, claims owed, cost-sharing claims, daily cash summaries, notices, receipts of grants, revenue account statements, revenue from services either by fees, fines, charges, permits and licenses, tax collected, and write-off approvals/reports.

- by account number

- by type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0750 BANKING** | Cy+1y | 5y | D |

Documents the administration of bank accounts including the monitoring and verification of bank accounts, deposits, transfers, as well as cheque activity, notifications on accounts, interest accumulation, bank service charges, and other account transactions.

**Examples:** Application form for corporate debit card and credit card, bank statements, batch control of cheques, cancelled cheques, cheque pick-up log sheets, cheque registers, cheque stubs and deposit slips, duplicate cheques, returned cheques and transfers of funds.

*For general statistics or reports, see primary 0365.*

*For annual reports, see primary 0365.*

*For bank account reconciliation, see primary 0705.*

- by account number

- by type

- by other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0760 BORROWING AND DEBT MANAGEMENT** | SO | 7y | D |

Documents the borrowing and debt management practices of the Commission including the issuance of debentures and bonds.

**Examples:** Applications for borrowing, approvals to proceed with borrowing, bond registers, cancelled bonds, cancelled coupons, debentures, debt servicing plans, financial estimates, offerings

-by application

-by year

-other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0770 BUDGETING** | Cy+1y | 5y | SR\* |
| *\* Only the final budget documentation must be sent to Provincial Archives for selection.* |

Documents the preparation and forecasting of costs for the general and capital budgets, and the process of monitoring and tracking budgetary control of expenditures and revenues within a budget.

**Examples:** Approved budgets, approved documentation, adjustment documentation, adjustment forms, briefing material, budget background material, budget estimates, budget monitoring reports, budget planning, budgetary controls and programs, budgetary practices and procedures, correspondence, forecasting revenue projections and expenditures, transfer and reallocation of funds, and unconditional grant from the Government of New Brunswick.

*For general statistical reports, see primary 0365.*

*For annual reports, see primary 0365.*

- by budget year

- by subject

- by transfer

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0805 FUNDS AND GRANTS ADMINISTRATION**  | SO | 7y | SR |
| *SO= until grant/fund no longer exists.*  |

Documents the administration of grants and funds that are managed by the Commission.

**Examples:** Grant requests, grant applications, grant approval correspondence, approvals, investment records, trust fund reports, trust fund statements, special funds administration, special purpose accounts,

*For payment of grants, see primary 0715.*

*For receipt of monies from grants, see primary 0720.*

*For final statistical reports, see primary 0365.*

*For land grants, see primary 0520.*

- by trust fund name

## - by grant name

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0955 PAYROLL PROCESSING** | Cy+1y | 5y | D\* |
| *\*Payroll registers with pension deductions must be kept long term (55 years).*  |

Documents the payment of salaries and wages to employees, as well as the verification of service time, taxable benefits, and pensionable benefits.

**Examples:** Accounting distribution reports, acting pay, bonuses, contingent pay, contract increases, deductions, deduction reports, deferred salary leave deductions, hours of work and overtime, lists of deductions, merit increases, net pay, payroll registers, purchase of prior service deductions, rates of pay, re-earnable increments, salary adjustments, shift differentials, statistical deductions, taxable benefits such as the personal use of fleet vehicles, taxable income, T4s and T4As, time sheets, union dues deductions, year-to-date earnings.

*For leave requests, see primary 1065.*

*For employee records, see primary 1050.*

For lump sum in lieu of pension, see 1050-2.

- by year

- by pay period

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0960 PROCUREMENT** | Cy+1y | 5y | D |

Documents the process of acquiring goods (materials, supplies and equipment) and services by purchase, rental or lease through the entire procurement process whether by requisitions, tenders and quotations, standing offers, purchase orders, request for proposal (RFP), and/or information (RFI), etc.

**Examples:** Awards of tender, tendering process, evaluations of offers, invitations to bid, offer selections, proposal requests, public advertisements, purchase orders, purchase requisitions, standing offers, supplier information, supporting documentation, tenders and bids, unsuccessful bidders and working papers.

*For the acquisition of buildings or structures, see primary 0520.*

*For the acquisition of land, see primary 0520.*

*For account payable, see primary 0715.*

- by tender number

- by asset type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **0965 SIGNING AND SPENDING AUTHORITY ADMINISTRATION** | SO | 2y | D |
| *SO= until authority changes or ceases* |

Documents the process of tracking and verifying the establishment and renewal of signing and spending authorities required for most financial transactions.

**Examples:** Approvals, cancelled authorities, completed signing authority forms, copy of completed signature card, temporary/acting authorities, and verification procedures for maintaining current authority records and written notifications of acting authorities.

- by authorization type

- other

Section 4

**1000** - **1299**

**HUMAN RESOURCES MANAGEMENT**

**Human Resources Management is the function that supports the administration of employees and employee services. It includes records and supporting documentation about the review and establishment of positions, hiring processes, employee employment file, leave and absenteeism, collective agreement negotiation, grievance and adjudication, employee performance and relations, volunteerism, and human resources planning.**

*For paryroll processing, see primary 0955.*

*For policy and procedures development, see primary 0320.*

*For committees minutes and agendas, see primary 0160.*

**SECTION 4**

**1000 – HUMAN RESOURCES MANAGEMENT – 1299**

**ACTIVITY TITLES, ACTIVITY NUMBERS AND RETENTION SCHEDULES**

**(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Attendance Management | 1065 | Cy+1y | 2y | D |
| Bilingualism/Official Languages Management | 1025 | Cy+1y | 6y | D |
| Collective Agreement Management | 1030 | SO | 10y | SR |
| Employee Records Management | 1050 |  |  |  |
| 1.Employee History |  |  |  |  |
| a) Permanent Employee History Main File |  | SO+1y | age 70 | D |
| b) Non-permanent Employee History Main File |  | Cy+1y | 6y | D |
| b) Accidents and Personal Injury |  | SO | 10y | D |
| 2.Employee Benefits and Deductions |  | SO+1y | age 70 | D |
| 3.Employee Performance |  |  |  |  |
| a) Performance Appraisals and Reviews |  | Cy+4y\* | 3y | D |
| b) Work Plans |  | Cy+4y | 3y | D |
| c) Disciplinary Action |  | Cy+4y\* | 3y | D |
| Employee Relations Management | 1210 | SO | 6y | D |
| Employment and Recruitment | 1170 | Cy+1y | 6y | D |
| Grievance and Adjudication  | 1080 | SO | 6y | D |
| Human Resources Management - General | 1000 | Cy+1y | 1y | D |
| Position Classification, Reclassification and Promotion  | 1140 | SO | 6y | D |
| Training and Development | 1200 | Cy+1y | 6y | D |
| Workforce Planning | 1160 | Cy+1y | 6y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 1000 | Human Resources Management - General | Cy+1y | 1y | D |
| 1025 | Bilingualism/Official Languages Management | Cy+1y | 6y | D |
| 1030 | Collective Agreement Management | SO | 10y | SR |
| 1050 | Employee Records Management |  |  |  |
|  | 1.Employee History |  |  |  |
|  | a) Permanent Employee History Main File | SO+1y | age 70 | D |
|  | b) Non-permanent Employee History Main Files | Cy+1y | 6y | D |
|  | c) Accidents and Personal Injury | SO | 10y | D |
|  | 2.Employee Benefits and Deductions | SO+1y | age 70 | D |
|  | 3.Employee Performance |  |  |  |
|  | a) Performance Appraisals and Reviews | Cy+4y\* | 3y | D |
|  | b) Work Plans | Cy+4y | 3y | D |
|  | c) Disciplinary Action | Cy+4y\* | 3y | D |
| 1065 | Attendance Management | Cy+1y | 2y | D |
| 1080 | Grievance and Adjudication  | SO | 6y | D |
| 1140 | Position Classification, Reclassification and Promotion  | SO | 6y | D |
| 1160 | Workforce Planning | Cy+1y | 6y | D |
| 1170  | Employment and Recruitment | Cy+1y | 6y | D |
| 1200 | Training and Development | Cy+1y | 6y | D |
| 1210 | Employee Relations Management | SO | 6y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1000 HUMAN RESOURCES MANAGEMENT – GENERAL** | Cy+1y | 1y | D |

Documents the general administration of human resource transactions for which there is no specific primary.

**Examples:** awarding and honouring employee contributions to the improvement of services and operations, copy of correspondence on appointments and acting appointments, correspondence on administering benefits, general correspondence, long service award presentation documentation, photographs, resumés and cover letters, unsolicited applications/resumés, and volunteer services provided to the Commission.

For Board of Directors conflict of interest, see primary 0150.

*For records relating to payroll deductions, see primary 0955.*

For employee conflict of interest, see primary 1050-1.

For reports and statistics, see primary 0365.

- by subject

- by activity

- by event

- by surname

- other

##

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|  | **A** | **SA** | **FD** |
| **1025 BILINGUALISM /OFFICIAL LANGUAGES MANAGEMENT** | Cy+1y | 6y | D |

Documents the planning, coordination, promotion, and documentation relating to bilingualism and providing services in both official languages. Includes linguistic profiles which are the identification of units and number of bilingual employees for each unit.

**Examples:** Letters of complaint and supporting correspondence, complaint reports, responses, and linguistic profile reports.

*For general letters of complaint, see primary 0120.*

*For language training courses, see primary 1200.*

- by subject

- by position

- by service

- by profile

- other

|  |  |  |  |
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|  | **A** | **SA** | **FD** |
| **1030 COLLECTIVE AGREEMENT MANAGEMENT** | SO | 10y | SR |
| *SO= until contract/agreement expires* |

Documents the interpretation, collection of issues, and proposed changes to be considered in future bargaining; and the negotiation of collective agreements between the Commission, unions and employee associations. Also documents the relationships between the management and employees’ unions, groups or associations, as well as the certification of bargaining agents by the Labour Relations and Employment Board.

**Examples:** Collective agreements, bargaining calendar correspondence, decisions on certifications, lists of contracts, pay increases, interpretation manuals, negotiation correspondence, memoranda of understanding (MOUs), proposals, recommendations, meeting notes, working papers, essential employee listings, seniority lists, records relating to strikes and work stoppages, and lists of designated employees.

*For grievance and adjudication, see primary 1080.*

*For records relating to employee discipline, see primary 1050-3c.*

*For records relating to the management of employee relations, see primary 1210.*

*For union dues deductions, see primary 0955.*

- by contract

- by agreement

- by date

- other

## 1050 EMPLOYEE RECORDS MANAGEMENT

The official employee record is divided into three parts to assist with compliance to provincial legislation concerning the protection, use, disclosure, and deletion of personal information. The three parts are:

1. employee history
2. employee benefits and deductions
3. employee performance

Employee records are created for permanent full-time staff, and for those employees having a term, casual (including students), program, seasonal, secondment, special appointment, and/or personal services contract status.

*For employee leave and holiday requests, see primary 1065.*

*For records relating to competitions, see primary 1170.*

*For records relating to employee harassment investigations, see primary 1210.*

*For records relating to the administration of grievances, see primary 1080.*

*For records relating to adjudication decisions, see primary 1080.*

*For records relating to position classification/reclassification, see primary 1140.*

*For payroll processing, see primary 0955.*

*For employee training and development, see primary 1200.*

*For personal injury lawsuits, see primary 1725.*

##### Employee History

Documents the management of a Commission employee’s history and consists of three parts.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Permanent Employee History Main File**
 | SO+1y | age 70 | D |
| *SO= until employee terminates employment* |

Documents the employment history of a permanent employee from the employee’s hire date until the employee’s departure date. Permanent employees are considered as being full time staff or may be a term/casual/part-time employee staff depending on the Commission’s practices/policies/by-laws.

**Examples:** Acceptance and appointment documentation, address and name change documents, applications for employment, birth certificates/proof of age, Conflict of Interest forms, copies of disciplinary action affecting pay, copies of grievance decisions affecting pay, criminal security checks, educational degrees, employee linguistic preference and language capability forms, employee summary sheets, employment extension forms, Equal Employment Opportunity forms, leave without pay forms, layoff notices, letters of acting appointment and duration, letters of appreciation, letters of commendation, letters of offer, letters of resignation, position information, licenses and certifications required for the position, long service awards, long-term education leave forms, long-term sick leave forms, merit increase, Oath of Office / Confidentiality Agreement forms, pay increases from promotion and reclassification, records of employment, resumés, salary and wage information, TD1 forms, and termination information.

- by employee surname

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Non-Permanent Employee History Main File**
 | Cy+1y | 6y | D |

Documents the employment history of a non-permanent employee from the employee’s hire date until the employee’s departure date. Commission practices/policy/by-laws will determine the status of employee, which is either permanent or non-permanent.

Non-permanent employees may not necessarily have access to all the benefits to which permanent employees are entitled (such as medical benefits, lump sum in lieu of pension). May include files of term and casual employees, students, seasonal employees, Corps of Commissionaires, secondment, contract and/or personal service contract employees.

**Examples:** Birth certificates/proof of age, applications for employment, resumés, Oath of Office/ Confidentiality forms, letters of offer, acceptance and appointment documentation, letters of acting appointment and duration, position information, salary and wage information,TD1 forms, employment extension forms, Conflict of Interest forms, Equal Employment Opportunity forms, educational degrees, licenses and certifications required for the position, address and name change documents, employee linguistic preference and language capability forms, leave without pay forms, pay increases, copies of grievance decisions affecting pay, copies of disciplinary action affecting pay, letters of commendation, letters of appreciation, layoff notices, letters of resignation, record of employment, employee summary sheets, criminal security checks, termination information.

- by employee surname

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Accidents and Personal Injury**
 | SO | 10y | D |
| *SO = until claim is resolved* |

Documents a Commission employee’s accident(s) and its effects on the employee’s ability to work.

**Examples:** Employee incident reports, employee accident reports, completed Worksafe NB accident forms, claims, letters of acceptance/decline from Worksafe NB, letter relating to the employee’s ability to work, cost of claim report, and copies of claim decisions, appeals, and challenges.

- by employee surname

- by Worksafe NB claim number

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Employee Benefits and Deductions**
 | SO+1y | age 70 | D |
| *SO= until employee terminates employment* |

Documents the management of information relating to deductions, benefits and pension of an employee or lump sum in lieu of pension from employee commencement date until departure date.

**Examples:** Income tax deductions, long-term disability and life insurance employer/employee statements, third party requests for deductions, continuation of benefits forms, beneficiary records, dependents’ information, retirement allowance documentation, voided cheques for direct deposit of pay, Payroll Savings Program deductions, Canada Savings Bonds program records, Group RSP (Retirement Savings Plan) program records, correspondence relative to deductions, application and change forms for benefits, long-term disability correspondence, annual lump sum in lieu of pension correspondence and waiver information

*For payroll deductions and registers, see primary 0955.*

*For records related to administering benefits, see primary 1000.*

**NOTE:** **Regular or annual file review maintenance must be performed on employee benefits and deduction files to ensure that only current employee information is maintained.**

- by employee surname

1. **Employee Performance**

Documents the management of a Commission employee’s performance and consists of three parts.

**Examples:** Training certificates, training records, employee development plans, self-development and training initiatives, and/or enhancements undertaken and reported by an employee, performance appraisals, performance reviews, individual work plans, perfect attendance letters, probation period notices, probation correspondence, disciplinary actions and disciplinary letters.

For records relating to grievances and adjudications, see primary 1080.

For collective agreements, see primary 1030.

**NOTE: Copies of decisions/actions affecting an individual employee’s pay must be placed in the employee history record file.**

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|  | **A** | **SA** | **FD** |
| 1. **Performance Appraisals and Reviews**
 | Cy+4y\* | 3y | D |

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| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Work Plans**
 | Cy+4y | 3y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| 1. **Disciplinary Action**
 | Cy+4y\* | 3y | D |

\* Collective agreements or legislation may regulate the length of time performance appraisals and disciplinary actions are retained.

- by employee surname

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| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1065 ATTENDANCE MANAGEMENT** | Cy+1y | 2y | D |

Documents the tracking of employee absences due to illness, the usage of vacation leave, and other leave entitlements (e.g. bereavement, court, educational, family, and parental).

**Examples:** Attendance reports, compensation-in-lieu, compressed work week schedule, flexible hours not affecting compensation, designated paid holidays, employee leave records including requests and approvals, carry-over vacation credits, flex time documentation, notices of time off for special occasions, work schedules, and correspondence.

*For time sheets, see primary 0955.*

**NOTE: A copy of leave records affecting pay must be placed in the employee history record, see primary 1050-1.**

- by surname

- other

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| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1080 GRIEVANCE AND ADJUDICATION** | SO | 6y | D |
| *SO= until decision rendered* |

Documents the investigation of grievances and the resolution of negotiations.

**Examples:** Grievance records, records of investigation, legal advice, records of negotiation and adjudication, arbitration orders, adjudication awards, evidence, meeting notes, notices, working papers, and related correspondence.

*For collective agreements, see primary 1030.*

*For records relating to employee discipline, see primary 1050-3c.*

*For records relating to the management of employee relations, see primary 1210.*

**NOTE: Information concerning individual employees’ pay is placed in the employee records, see primary 1050.**

- by surname

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| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1140 POSITION CLASSIFICATION, RECLASSIFICATION, AND PROMOTION** | SO | 6y | D |
| *SO= until updated* |

Documents the review and classification of current positions, as well as the process of establishing new positions, reclassifications, and promotions by category, or position number within the Commission.

##### Examples: Changes to position descriptions, consultants’ analyses, correspondence, meeting notes, job descriptions, copu of organizational charts, position description questionnaires, position profile reports, position requests, professional core competencies and benchmarks, profiles, rating system documentation, reclassifications, red-circled positions, rejections, reviews for reclassifications and working papers.

*For employee performance appraisal and work plans, see primary 1050-3a.*

- by position number\*

- by position name\*

- by date\*

- other\*

\*Information concerning individual employees is placed in the employee’s record, see primary 1050.

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|  | **A** | **SA** | **FD** |
| **1160 WORKFORCE PLANNING** | Cy+1y | 6y | D |

Documents the planning and analyses of human resource requirements for the Commission including planning the number, level, and category of positions as well as succession planning. Also, documents the activities of early retirement programs, severance programs, and workforce adjustment programs.

**Examples:** Employee retirements and separations, employment relations with non-bargaining employees, estimates, event planning, job sharing, job shadowing and job rotating programs, lists of eligible employees, meeting minutes, plans of establishment, position realignments, records relating to separation or amalgamation, reports, requirements, staffing forecasts, succession planning correspondence, termination lists, workforce adjustment program records, and years of service lists.

*For organizational planning, see primary 0300.*

*For the establishment of new positions, see primary 1140.*

- by event

- by subject

- other

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| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1170 EMPLOYMENT AND RECRUITMENT**  | Cy+1y | 6y | D |

Documents the general administration of staff, promotion, recruitment, and hiring of staff following a competition process for filling new or vacant positions; positions available through specific employment programs such as part-time employment, volunteer programs, university programs, student cooperative programs, summer employment programs, provincial employment programs, mentoring programs or federal employment programs; and the processing of requests for the approval of hiring additional staff.

**Examples:** Application evaluations, candidates’ eligibility lists, competition files, correspondence, direct recruitment records, draft competition samples, employment applications, identification and notifications of vacancy, interview evaluations, interview panel notes, interview questions/tests and scores, meeting notes, offers of employment, position advertisements, position descriptions, position rejections, position requests, recommendations, reference checks, reports, research, seasonal employment recruitment, secondment/transfer documents, selection standards, staffing enquiries and investigations, staffing requisitions, volunteer listings, and working papers.

*For staffing delegation agreements, see primary 1625.*

*For payroll processing, see primary 0955.*

*For records relating to individual employees, see primary 1050.*

**NOTE: Criminal record checks of individuals hired must be placed in the employee history record.**

- by position

- by competition number

- by classification

- by position number

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1200 TRAINING AND DEVELOPMENT** | Cy+1y | 6y | D |

Documents and monitors employees’ participation in and approval to attend training courses, counselling and events provided by internal or external organizations such as language training, employee career management counselling, coaching and leadership training, and employee orientation programs.

**Examples:** Application form, approvals and registration, attendance records, course confirmations, course content and brochures, education leave information, employee career management information, evaluation reports, language training information and courses, orientation workshop records, professional development workshop, training directives, training requests, and lists of courses.

*For employee training certificate, see primary 1050-3a.*

- by date

- by subject

- by course/workshop

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1210 EMPLOYEE RELATIONS MANAGEMENT**  | SO | 6y | D |
| *SO= until matter resolved or superseded/obsolete* |

Documents the tracking, monitoring, investigation, and resolution of employee relation issues as well as complaints in the workplace relating to fair treatment, addiction, anger, and stress in the workplace. Also documents the process, investigation and resolution of human rights, discrimination, and harassment complaints against the Commission and/or employee of the Commission.

**Examples:** Counseling programs for employees, spouses and dependent children, lists of counselors, usage reports, and consultation notes with external organizations such as the Public Service Commission of Canada, complaint correspondence, investigation reports, and copies of legal opinions, decisions, recommendations, settlement records, and working papers.

*For leave requests, see primary 1065.*

*For the administration of benefits, see primary 1050-2.*

*For union related records or labour disputes, see primary 1030.*

**NOTE: Decisions and/or recommendations concerning an individual employee are placed in the employee record, see primary 1050.**

- by position number and/or name

- by activity, or subject

- by date

Section 5

**1300 – 1599**

**INFORMATION AND TECHNOLOGY MANAGEMENT**

**Documents the planning, creation, access, control, distribution, retention, protection and disposition of information resources (including security) in all formats and media. Includes records concerning the design, architecture, implementation and maintenance of information infrastracture and applications, and other services such as providing end-user support, publishing activities, networking tools, etc.**

*For computer back-ups, see* [*Appendix E*](#AppendixE)*.*

*For administering agreements or contracts, see primary 1625.*

*For committee minutes and agendas, see primary 0160.*

*For procurement of computer hardware and software, see primary 0960.*

*For training courses, see primary 1200.*

**SECTION 5**

**1300** - **INFORMATION AND TECHNOLOGY MANAGEMENT**- **1599**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

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|  |  | **A** | **SA** | **FD** |
| Access and Privacy | 1310 | Cy+4y | 5y | SR |
| Forms Management | 1355 | SO | 2y | D |
| Information and Technology Management - General | 1300 | Cy+1y | 0y | D |
| Information Technology Applications and Infrastructure Management | 1420 | SO | 2y | D |
| Information Technology End-User Support | 1430 | Cy+1y | 4y | D |
| Mail, Postal and Courier Services | 1450 | Cy+1y | 0y | D |
| Publishing | 1380 | Cy+4y | 5y | D |
| Records and Information Management | 1475 | SO | 2y | D |
| Security Management | 1490 | SO | 2y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 1300 | Information and Technology Management - General | Cy+1y | 0y | D |
| 1310 | Access and Privacy | Cy+4y | 5y | SR |
| 1355 | Forms Management | SO | 2y | D |
| 1380 | Publishing | Cy+4y | 5y | D |
| 1420 | Information Technology Applications and Infrastructure Management | SO | 2y | D |
| 1430 | Information Technology End-User Support | Cy+1y | 4y | D |
| 1450 | Mail, Postal and Courier Services | Cy+1y | 0y | D |
| 1475 | Records and Information Management | SO | 2y | D |
| 1490 | Security Management | SO | 2y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1300 INFORMATION AND TECHNOLOGY MANAGEMENT - GENERAL** | Cy+1y | 0y | D |

Documents the general management of information and technology transactions for which there is no specific activity.

**Examples:** Correspondence management, library collection development, subscriptions, and interlibrary loans.

*For procurement of equipment, see primary 0960*.

*For security of information, see primary 1490.*

- by subject

- by year

- other

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|  | **A** | **SA** | **FD** |
| **1310 ACCESS AND PRIVACY** | Cy+4y | 5y | SR |

Documents public access to information through the administration of the *Right to Information and Protection of Privacy Act (RTIPPA).*

**Examples:** Advisory and consultation material, meeting notes, privacy impact assessments, reports, routine access requests, copies of decisions, *Access to Information* request documentation, submissions, transaction logs, and working papers.

*For records relating to the security of information, see primary 1490.*

*For committee minutes, see primary 0160.*

- by applicant

- by subject

- by date

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1355** **FORMS MANAGEMENT**  | SO | 2y | D |
| *SO= until updated or no longer required* |

Documents the analysis, design, use, control, identification, authorization, and preparation of forms for internal and external uses.

**Examples:** Master lists, form requests, approvals, branding and production, form history files, watermarks, and crests.

*For records relating to the procurement of forms, see primary 0960.*

- by form name

- by branch/division or unit

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1380 PUBLISHING** | Cy+4y | 5y | D |

Documents the planning, design, development, implementation, maintenance, and administration processes relating to publishing of information through books, brochures pamphlets, and intranet, internet or extranet sites. Also includes the audio visual production of films, slide shows, videos and other audio visual aids.

**Examples:** Website design, branding information and protocols, standards, website posting requests, release schedules, date release and control, proposals, specifications, background material, mark-up language files, mailing lists, distribution lists, inventories, pamphlet design, and brochure layouts.

*For procurement, see primary 0960.*

*For press releases, see primary 0330.*

*For library management, see primary 1300.*

*For appreciations and general enquiries, see primary 0100.*

*For complaints, see primary 0120.*

- by publication

- by distribution channel

- by date

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1420** **INFORMATION TECHNOLOGY APPLICATIONS AND INFRASTRUCTURE MANAGEMENT**  | SO | 2y | D |
| *SO= until application/system/project replaced, retired, or end*ed |

Documents the process of acquiring, planning, designing, developing, testing, implementing, maintaining, converting, and administering the business applications and the IT infrastructure by providing access, control, integration, protection and use of information technology systems such as database management, operating systems, e-mail management, instant messaging, networks, servers, storage, systems development tools, and proposed, active, and inactive systems.

**Examples:** Active and inactive applications management, back-up logs, back-up procedures, baseline testing results, billing information, business cases, change requests, coding and systems procedures, computer identification cards, copies of service level agreements, date issues, desktop technology upgrades, diagrams, encryption records, evaluation reports, floor plans, functional flow plans, hardware inventories, hardware transfer agreements, inventories, leap years, list of staff with large email accounts, memoranda of understanding (MOUs), migration, operating manuals, opportunity evaluations, patches, project charters/plan deliverables, refreshing and conversion processes, remote device records, copies of successful requests for information (RFIs) and request for proposals (RFPs), risk analysis reports, risk assessments, router configurations, schedules and amendments, schemas, server certificates, server upgrades and redesign, service requests, sign-off documents, site requests, software, summary reports, status reports, system documentation, system requirements, test scripts, tracking reports, training handouts, training presentations, usage reports, virtual private network requests (VPNs), warranties and documentation, and wiring diagrams.

*For computer back-ups, see Appendix E.*

*For data kept in system, see appropriate primary.*

*For service level agreements or software licensing agreements, see primary 1625.*

*For records relating to the disposal of software or equipment, see primary 0570.*

*For records relating to the procurement of software or equipment, see primary 0960.*

*For records relating to emergency planning and disaster recovery, see primary 0185.*

- by application

- by hardware name

- by system name

- by asset number

- by date

**-** other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1430 INFORMATION TECHNOLOGY END-USER SUPPORT**  | Cy+1y | 4y | D |

Documents day-to-day information technology operational support services such as service support for incidents, problems, configurations, and service/help desk management functions.

**Examples:** Tracking reports, incident reports, statistical reports, request for assistance logs, inquiry logs, password change requests, account creation requests, service requests, inventory lists, and efficiency surveys.

*For service level agreements, see primary 1625.*

*For training courses, see primary 1200.*

*For contingency plans, see primary 0185.*

*For records relating to business applications, see primary 1420.*

- by service

- by activity

- by date

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1450 MAIL, POSTAGE AND COURIER SERVICES** | Cy+1y | 0y | D |

Documents the organization’s use of postal and private courier services including Canada Post, mail delivery systems, postal regulations, and service interruptions.

**Examples:** Postal rate increase notices, logbooks, and damaged mail reports.

- by type

- by date

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1475** **RECORDS AND INFORMATION MANAGEMENT** | SO | 2y | D |
| *SO= until updated or no longer of administrative use* |

Documents the management of the organization’s records and information resources. Includes activities relating to the creation, capture, classification, management, protection, retrieval, and disposition of records, as well as the development, implementation, and maintenance of records management strategies and programs.

**Examples:** Approved retention schedules, disposition form and authorizations, file plans, inventories, format/medium conversion plans, imaging/digitization, Provincial Archives services, records management related project development files, records transfer lists, reports of records destroyed in-house, project charter for scanning records, semi-active records storage, requests for schedule revisions, and vital records list.

*For essential records protection plan, see primary 0185.*

*For records relating to committees, see primary 0160.*

*For records relating to systems, see primary 1420.*

*For records relating to information management software, see primary 1420.*

*For records relating to information security classification, see primary 1490.*

- by activity

- by classification

- by project

- by retention and disposition schedule number

- by transfer number

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1490** **SECURITY MANAGEMENT**  | SO | 2y | D |
| *SO= until updated, matter resolved, or no longer of administrative use* |

Documents the management of security in any form. Includes the tracking, monitoring, installation, inspection and maintenance of security systems; monitoring and reporting breaches of physical security; day-to-day access to facilities; and the security of information systems and the data within them. Includes guidelines for the administration of security regulations, access rights, security clearances for non-employees, investigations of security breaches, security classification of information, confidentiality requirements of information/records.

**Examples:** Access cards and codes, access logs, access permissions, access restrictions, access rights management, advisory and consultation information, bomb threats, breach reports, break-ins, code reviews, copy of audit report, copy of security service agreements, corps of Commissionaires, data encryption and confidentiality requirements, digital certificates, digital signatures, firewall logs, incident reports, information security classifications, information security officer documentation, interviews, investigation findings, key directories, police reports, personal non-disclosure agreements, reports, risk assessments, security breach investigations, security clearances, security guard lists and schedules, security system plans, security system specifications, system logs, video surveillance, virus warnings, visitor daily logs, voice recordings, vulnerability checks, vulnerability threats.

For contingency plans and emergency planning and disaster recovery, see primary 0185.

For records relating to access of information and protection of privacy, see 1310.

For records relating to risk analysis of business applications, see 1420.

For records relating to security clearances of employees, see 1050-1a or 1050-1b.

- by facility

- by building code

- by property name

- by incident

- by system

- by activity

- by record type

- other

Section 6

**1600 - 1799**

**LEGAL AND REGULATORY MATTERS**

**Legal and Regulatory Matters is the function which documents activities of legal nature. It includes the activities of legislation and regulatory services, legal matters and opinions, accidents and claims, and risk management, including insurance.**

*For committees minutes and agendas, see primary 0160.*

*For acts and legislation administration, see primary 0105.*

**SECTION 6**

**1600** - **LEGAL AND REGULATORY MATTERS** - **1799**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

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|  |  | **A** | **SA** | **FD** |
| Accidents and Claims | 1605 | SO | 7y | D |
| Agreements and Contracts Management | 1625 | SO | 6y | SR |
| Amalgamation / Annexation | 1630 | SO | 6y | SR |
| By-laws Development | 1640 | SO | 6y | SR |
| Intellectual Property Management | 1710 | SO | 6y | SR |
| Legal and Regulatory Matters – General | 1600 | Cy+1y | 0y | D |
| Legal Opinions and Matters | 1720 | SO | 6y | SR |
| Litigation | 1725 | SO | 6y | D |
| Risk Management and Insurance | 1775 | SO | 6y | D |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 1600 | Legal and Regulatory Matters - General | Cy+1y | 0y | D |
| 1605 | Accidents and Claims | SO | 7y | D |
| 1625 | Agreements and Contracts Management | SO | 6y | SR |
| 1630 | Amalgamation / Annexation | SO | 6y | SR |
| 1640 | By-laws Development | SO | 6y | SR |
| 1710 | Intellectual Property Management | SO | 6y | SR |
| 1720 | Legal Opinions and Matters | SO | 6y | SR |
| 1725 | Litigation | SO | 6y | D |
| 1775 | Risk Management and Insurance | SO | 6y | D |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1600 LEGAL AND REGULATORY MATTERS - GENERAL** | Cy+1y | 0y | D |

Documents the general legal and regulatory matters transactions for which there is no specific primary.

*For Acts and Legislation, see primary 0105.*

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1605 ACCIDENTS AND CLAIMS** | SO | 7y | D |
|  *SO = until accident claim is settled or until no longer required.* |

Documents accidents affecting non-employees when the accident is on organizational property or involves organizational equipment.

**Examples:** Accident report, investigations, claim settlement documents, correspondence, motor vehicle claim report, property and personal damage claims, related settlement information, and reports and statistics.

*For employee’s accidents and personal injury, see 1050-1c.*

*For policies, procedures and guidelines, see primary 0320.*

- by date

- by surname

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1625 AGREEMENTS AND CONTRACTS MANAGEMENT** | SO | 6y | SR |
| *SO = until expired and end of period specified in the Limitation of Actions Act, if applicable.**The Limitations of Actions Act requires that certain proceedings must be instituted within a certain number of years (2 and 15 years). Please consult the Act for additional information.* |

Documents the preparation, development, amendment, and negotiation of agreements, contracts, and Memoranda of Understanding (MOU) including federal, provincial, territorial, municipal, foreign, and other agreements and contacts.

**Examples:** Accords, charters, drafts, financial contracts, federal/provincial agreements, international agreements, meeting agendas, meeting minutes, member service agreements, proposals, service contracts and agreements, signed agreements, signed contracts and staffing delegation agreements.

*For collective agreements management, see primary 1030.*

*For financial tansactions relating to these agreements and contracts, see primary 0715 for payables, and 0720 for receivables.*

*For payment of consultant, see primary 0715.*

*For personal service contracts, see 1050-1.*

*For zoning agreements, see primary 2590.*

**NOTE:** This primary does not preclude filing a copy of the agreement under the appropriate activity file.

- by agreement

- by contract

- by memoranda of understanding

- by accord

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1630 AMALGAMATION/ANNEXATION** | SO | 6y | SR |

Documents the amalgamation or annexation of municipalities, local service districts or rural communities and related issues such as integration of services.

**Examples:** Boundaries, maps and plans, studies and reports, proposals, consultation documents, collaboration discussions and forums, and regional services.

- by subject

- by study

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1640 BY-LAWS DEVELOPMENT** | SO | 6y | SR |

Documents the creation, alteration/change and enactment of the Commission by-laws.

**Examples:** Draft by-law, supporting documentation, approved by-law, copies of advertisements, memos of approval, effective dates, repealed by-laws process and documentation and working papers.

- by by-law name and number

- by name

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1710** **INTELLECTUAL PROPERTY MANAGEMENT** | SO | 6y | SR |

Documents matters relating to patents, copyrights, industrial designs, trademarks, logos, and other owned intellectual property.

**Examples:** Software copyright, logo design documentation, brand development records, applications for copyrights, applications for patents, infringement documentation, violation documentation, permissions to use copyrighted material, copies of copyright agreements.

*For contract or agreement, see primary 1625.*

*For procurement, see primary 0960.*

- by copyright

- by patent

- by brand

- by invention

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1720 LEGAL OPINIONS AND MATTERS** | SO | 6y | SR |

Documents the provision of legal opinions and legal advice related to legal matters prepared for and/or received by the Commission including the review and assessment of legal risks in policies, by-laws, projects or programs for which the Commission has responsibility.

**Examples:** Background material, case law and precedents, drafts, legal opinions, legal advice, legal decisions, legal research, and risk assessments.

**NOTE:** This primary does not preclude filing a copy of the legal opinion under the appropriate activity file.

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1725 LITIGATION** | SO | 6y | D |
| *SO = until litigation is resolved/concluded.* |

Documents the litigations, (civil and criminal), involving the Commission represented by internal or external counsel. Includes the minutes, evidence, charges, status, and judicial process of a court case.

**Examples:** Case initiation documents, closing and post-closing activity records, court proceedings, interview/interrogation forms, law research, lawsuits, and monitoring.

*For claim files of accidents involving employees, see 1050-1c.*

*For non-employee accident files, see primary 1605.*

- by case number

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **1775 RISK MANAGEMENT AND INSURANCE** | SO | 6y | D |

Documents the identification and analysis of risk and/or loss resulting from the destruction or theft of assets (including fire); resulting in the inability to provide services, and/or resulting in extra expenses and legal liability.

**Examples:** Directors insurance, identification of claim exposures and liabilities, inspection analysis, insurance coverage details, insurance policies, listings of values and assets, recommendations on appropriate risk reduction measures, risk management surveys, and reports on actions.

*For accidents and claims, see primary 1605.*

- by insurance policy number

- by risk assessment

- other

**Section 7**

**2400 - 2599**

**PLANNING AND DEVELOPMENT**

**Planning and Development is the function which documents the activities of services the Commissions provide to their clients such as land use planning, building controls, zoning and development activities; and integrated services collaboration for policing, emergency measures, sport, recreational, cultural and other services.**

*For committee minutes and agendas, see primary 0160.*

*For solid waste management activities, see section 8.*

*For agreements and contracts, see primary 1625.*

*For procurement, see primary 0960.*

**SECTION 7**

**2400** – **PLANNING AND DEVELOPMENT** - **2599**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Building Controls  | 2415 | SO | 8y | D |
| Building and Properties Inspections | 2425 | SO | 5y | D |
| Economic and Industrial Development | 2450 | SO | 5y | SR |
| Integrated Services Planning | 2460 | SO | 10y | SR |
| Land Use Planning  | 2470 | Cy+1y | 4y | SR |
| Municipal, Rural and Local Service Districts Plans | 2490 | SO | 10y | SR |
| Planning and Development - General | 2400 | Cy+1y | 4y | D |
| Regional Plan  | 2498 | SO | 10y | SR |
| Subdivision Services | 2500 | SO | 5y | D |
| Sustainable Development | 2510 | SO | 5y | SR |
| Zoning Controls | 2590 | SO | 10y | SR |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 2400 | Planning and Development - General | Cy+1y | 4y | D |
| 2415 | Building Controls | SO | 8y | D |
| 2425 | Building and Properties Inspections | SO | 5y | D |
| 2450 | Economic and Industrial Development | SO | 5y | SR |
| 2460 | Integrated Services Planning | SO | 10y | SR |
| 2470 | Land Use Planning  | Cy+1y | 4y | SR |
| 2490  | Municipal, Rural and Local Service Districts Plans | SO | 10y | SR |
| 2498 | Regional Plan | SO | 10y | SR |
| 2500 | Subdivision Services | SO | 5y | D |
| 2510 | Sustainable Development | SO | 5y | SR |
| 2590 | Zoning Controls | SO | 10y | SR |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2400 PLANNING AND DEVELOPMENT - GENERAL** | Cy+1y | 4y | D |

Documents the planning and development transactions of the Commission for which there is no specific activity.

**Examples:** Census statistics, copy of the National Building Code, copy of Provincial Planning Appeal Board decision, mobile/mini home parks correspondence, and documents related to garden/granny/in-law suites.

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2415 BUILDING CONTROLS** | SO | 8y | D |
| *SO = until requirements are met* |

Documents the application for and issuance of permits for construction, relocation and demolition. Includes the results of building inspection as per the permit conditions.

**Examples:** Application and permit, approvals, drawings provided by applicant, easement, lease, inspections of construction, occupancy permit, right of way, reports and statistics, setback and demolition, stop work order, terms and conditions of building construction, variances, waiver documentation, water and sewer hookup application, wiring permits, environmental issues, etc.

*For zoning variance approvals/denials, see primary 2590.*

*For amendments to zoning bylaw (rezoning), see primary 2590.*

*For amendments to Municipal/Rural Plan, see primary 2490.*

*For subdivision approvals, see primary 2500.*

- by civic address

- by PID

- by permit

- by property/building

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2425 BUILDING AND PROPERTIES INSPECTIONS** | SO | 5y | D |
| *SO = until matter is resolved.* |

Documents the administration and management of existing buildings and properties which are being investigated for violation of the Municipality Act, Community Planning Act and/or the Regional Services Commission Act.

**Examples:** Appeals committee decisions, inspections, records of unsightly premises, reports and statistics, violations

*For inspections of new construction, see primary 2415.*

*For zoning violations, see primary 2590.*

- by civic address

- by PID

- by surname

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2450 ECONOMIC AND INDUSTRIAL DEVELOPMENT** | SO | 5y | SR |

Documents the collaboration efforts of the Commission to seek new investments within its region, including investment with economic benefits.

**Examples:** Demographic and feasibility studies, industrial parks development, vacancy ratio reports, prospective tenants and owners, maps and plans, business relocations and layoffs, reports and statistics, research and technology parks, studies and activities with the provinical Economic Development Offices.

- by name

- by park owner or tenant

- by program/project/plan/study

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2460 INTEGRATED SERVICES PLANNING** | SO | 10y | SR |

Documents the identification, planning and collaboration efforts of the Commission to provide regional services in the areas of policing, emergency measures, sport, recreational and cultural infrastructure and other services as agreed by their member communities.

**Examples:** Public consultation documentation, cost-shared initiatives, project proposals, project proponents, project scope, projected cost, reducing duplication iniatitives, research documentation and planning strategy

*For signed/final agreements, see primary1625.*

- by plan/initiative

- by service or subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2470 LAND USE PLANNING** | Cy+1y | 4y | SR |

Documents the land use planning activities of the Commission.

**Examples:** Reports, research documents, studies, statistics and surveys.

- by subject

- by report/study

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2490 MUNICIPAL, RURAL AND LOCAL SERVICE DISTRICTS PLANS** | SO | 10y | SR |

Documents the preparation, planning, development, approval and amendments process of the various local service district plans, rural plan and municipal plan.

**Examples:** Advertising of meetings, amendments, applications, approvals, basic planning statements, denials, hearings, Planning Advisory Committee reports, planning reports, public consultation meetings, objections, resolutions, terms and conditions, withdrawals, and zoning agreements (conditions).

*For Planning Advisory Committee minutes, see primary 0160.*

*For zoning changes, see primary 2590.*

- by amendment by-law number

- by plan

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2498 REGIONAL PLAN** | SO | 10y | SR |

Documents the management, protection and harmonization of urban and rural landscapes and its resources within the boundaries of the Commission. This vision document will guide the Commission in the development of land.

**Examples**: Vision/strategic plan for the Commission members, climate change initiative, public consultation documentation, infrastructure plans for the region, water resources management initiatives, development and management of natural resource initiatives, and development of industry and commerce initiatives.

- by plan

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2500 SUBDIVISION SERVICES** | SO | 5y | D |
| *SO = until requirements are met* |

Documents the planning, development and approval of subdivisions.

**Examples:** Application, application to subdivide, approvals, comments, complaints, copy of fees, drawings, general correspondence, land for public purposes, local improvement agreements, inspections, plans, records on roads/streets including access and egress, rejections, release of portions of subdivisions, reports, reversals, specifications, tentative plans, variances, and utilities and services plans for subdivision.

*For zoning requirements, see primary 2590.*

- by civic address

- by developer

- by client surname

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2510 SUSTAINABLE DEVELOPMENT** | SO | 5y | SR |
| *SO = until completion of program/project /plan/study.*  |

Consists of records relating to sustainable community initiatives.

**Examples:** Reports and statistics, sustainable community principles, sustainability plans, green initiatives such as energy conservation, water conservation and greenhouse gas reduction plans both proposed and undertaken, and monitoring programs.

- by name

- by program/project/plan/study

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2590 ZONING CONTROLS** | SO | 10y | SR |
| *SO = until variances and rezoning is completed and until violation is resolved/concluded.* |

Documents the variances, changes and violations of the zoning by-laws and regulations.

**Examples:** Applications, advertising, approvals, complaints, denials, developmental freezes, hearings, legal opinions, notifications to property owners, Planning Advisory

Committee recommendations and reports, planning reports, objections, refusals, resolutions, signage variances, stop work orders, terms and conditions, withdrawals, and zoning agreements.

*For Planning Advisory Committee minutes, see primary 0160.*

*For the municipal, rural and local service districts’ plans, see primary 2490.*

- by by-law number

- by civic address

- other

Section 8

**2600** - **2699**

**SOLID WASTE MANAGEMENT**

**Solid Waste Management is the function that documents the activities of the Commission in providing services to their member communities. It includes solid waste disposal, recycling programs, handling and disposal of hazardous waste, composting, landfills and transfer stations, and the generation of electricity while handling the collection of solid waste.**

*For advertising activities, see 0330.*

*For agreements and contracts activities, see 1625*

*For buildings and land management activities, see 0520.*

*For committee minutes and agendas, see 0160.*

*For procurement activities, see 0960.*

**SECTION 8**

**2600** – **SOLID WASTE MANAGEMENT** - **2699**

**ACTIVITY TITLES, ACTIVITY NUMBERS, AND RETENTION SCHEDULES**

 **(ALPHABETICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| Collection Schedule, Fees and Hours of Operation | 2620 | Cy+1y | 5y | D |
| Environmental Protection | 2640 | Cy+4y | 10y | SR |
| Hazardous Waste Management | 2650 | Cy+4y | 10y | SR |
| Landfill Gas Management System | 2660 | Cy+4y | 10y | SR |
| Solid Waste Management – General | 2600 | Cy+1y | 2y | D |
| Waste Diversion and Recycling  | 2670 | Cy+4y | 10y | SR |
| Waste Management | 2690 | SO | 10y | SR |

**ACTIVITY NUMBERS, ACTIVITY TITLES, AND RETENTION SCHEDULES**

**(NUMERICAL LISTING)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| 2600 | Solid Waste Management – General | Cy+1y | 2y | D |
| 2620 | Collection Schedule, Fees and Hours of Operation | Cy+1y | 5y | D |
| 2640 | Environmental Protection | Cy+4y | 10y | SR |
| 2650 | Hazardous Waste Management | Cy+4y | 10y | SR |
| 2660 | Landfill Gas Management System | Cy+4y | 10y | SR |
| 2670 | Waste Diversion and Recycling  | Cy+4y | 10y | SR |
| 2690 | Waste Management | SO | 10y | SR |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2600 SOLID WASTE MANAGEMENT - GENERAL** | Cy+1y | 2y | D |

Documents the Commissions’ solid waste management transactions not shown elsewhere in this section.

- by subject

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2620 COLLECTION SCHEDULE, FEES AND HOURS OF OPERATION** | Cy+1y | 5y | D |

Documents the administration, planning, and coordination of the scheduling process for collection with the contractors/sub-contractors, fees to be collected for various services and hours of operation.

**Examples:** Hours of operation, holidays and closures, contractor schedules, list of fees, fee increase announcements.

- by subject

- by contractors/sub-contractors

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2640 ENVIRONMENTAL PROTECTION** | Cy+4y | 10 | SR |

Documents the planning, management, monitoring and controls in place to protect the environment.

**Examples:** Greenhouse gas reduction, well monitoring, leachate collection system, environmental protection plan, treatment lagoon system, air pollution, control monitoring, transfer station, permits, inspections.

*For agreements and contracts activities, see 1625.*

- by subject

- by system

- by plan

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2650 HAZARDOUS WASTE MANAGEMENT**  | Cy+4y | 10y | SR |

Documents the handling, collection, storage, transfer, processing and disposal of hazardous waste including the monitoring requirements.

**Examples:** Hazardous waste log book (received date, volume, disposed method, etc), handling procedures, household hazardous waste program.

*For staff training activities, see 1200.*

- by type

- by disposal method

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2660 LANDFILL GAS MANAGEMENT SYSTEM** | Cy+4y | 10 | SR |

Documents the planning, management, monitoring and controls in place to produce energy.

**Examples:** Energy production, heat recovery system, new technology, research material.

*For agreements and contracts activities, see 1625.*

- by subject

- by system

- by plan

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2670 WASTE DIVERSION AND RECYCLING**  | Cy+4y | 10y | SR |

Documents the activities related to providing recycling and composting services.

**Examples:** Recycling depots, recycling and composting at work program, composting, computer recyling program, household recycling program, acceptable recycling items, scrap metal, bins/receptacles/containers, paint and tire recycling.

*For advertising activities, see 0330.*

*For publishing brochures and pamphlets activities, see 1380.*

- by program

- by type

- other

|  |  |  |  |
| --- | --- | --- | --- |
|  | **A** | **SA** | **FD** |
| **2690 WASTE MANAGEMENT**  | SO | 10y | SR |

Documents the management, handling, processing, and all other activities related to waste received for final disposal at the landfill.

**Examples:** Household waste, institutional, commercial and industrial waste, leaf and yard waste, construction and demolition waste, wood waste, baling, tonnage statistics, special waste, asbestos waste.

*For environmental protection of the landfill site activities, see 2640.*

*For purchasing activities, see 0960.*

*For equipment and supplies management activities, see 0570.*

##### Appendix A – Glossary

This glossary defines terms used throughout this manual, and other commonly used records management terms. They are listed in alphabetical order.

**Active records (A)** - records that are required and referred to frequently by a Commission in the conduct of its business and need to be retained and maintained in office space and equipment close to users.

**Administrative records** – records that are common across organizations. They support housekeeping functions such as the management of administration and leadership planning, real and physical property management, human resources managment, financial management, and information and technology management. Although these records are considered administrative, they may have considerable importance.

*See also Operational records.*

**Archival records (AR)** – a type of “Final Disposition”.Records that have significant and continuing administrative, operational, legal, financial, or evidential value for reference and research purposes for the province of New Brunswick are kept for permanent preservation at the Provincial Archives.

*See also Permanent retention.*

**Archives** – a facility where historical records are kept. Consists of all records in the care, custody, and control of the Provinical Archivist under the *Archives Act*. The ***Provincial Archives*** *of New Brunswick* collects, preserves, and makes available for research, documents and records bearing upon the history of New Brunswick.

**Block numeric system** – a records classification system based on the use of blocks or groups of numbers to represent primary and secondary subjects, that is the activities and transactions.

**Case files** – files containing material relating to a specific action/subject, event, person, product, or project and usually filed by name and/or number. They usually contain the same type of information or forms, allowing easy retrieval (e.g. invoices, by-laws, employee files). *Also known as Subject Files.*

**Classification** – the process of analysing and determining the purpose or subject content of a document, selecting the category under which it will be filed and assigning it an appropriate file classification number for retrieval purposes. *Also known as Coding and Classifying.*

*See also Coding.*

**Classification system** – a logical and systematic arrangement of records into subject groups or functional categories using numbers or letters, or a combination of the two, for identification. It allows for the proper arrangement of files by listing the standard file number, the standard file title, cross references and explanatory notes. The main foundation of this publication, is the primary number, which is used to classify all information related to a particular subject, regarless of physical format. *Also known as Classification Plan or File Plan.*

**Codes** – alphabetic or numeric symbols which help identify and locate a file within a series of case of subject files. Codes may be used in conjunction with primary and secondary numbers.

**Coding** – *see Classification.* The process of assigning numerical or alphabetical symbols (i.e. the file number) to identify and later locate a file.

**Confidential record** – a record containing sensitive information that requires protection against unauthorized access or disclosure. Confidentiality of information is usually determined by legislation such as the *Right to Information and Protection of Privacy Act*, the *Archives Act* or any other federal or provincial legislation or convention which limits the unchecked dissemination of information.

**Destruction/destroy (D)** - a type of “Final Disposition”.The destruction (through means of shredding, recycling or deleting, etc) of records that no longer have value. Records may be destroyed only under the authority of an approved *Records Retention and Disposition Schedule*.

**Final disposition (FD)** – the action taken to dispose of inactive records according to the approved *Records Retention and Disposition Schedule*. It can involve either:

* destruction of the records
* transfer of the records to the custody of the Provincial Archives for permanent preservation or for selective retention.

**Inactive records** - records whose active and semi-active stages are over. They are ready for final disposition.

*See also Final disposition, Selective retention and Destruction/destroy.*

**Index** – arrangement of names or topics in either alphabetical or numerical order. A classification plan may have an index in the form of a listing of the headings (titles, captions) of the files showing their assigned codes. The index to this manual has been created in alphabetical order.

**Inventory** – a detailed survey of the organizations’ records, including descriptions, extent, volume, frequency of use and method of organization. The inventory is used to assist in developing an effective records management program.

**Life cycle of a record** – the stages of activity between the creation of a record and its final disposition. The active, semi-active and inactive are the three stages of the life cycle.

*See also Active records, Final disposition, Inactive records and Semi-active records.*

**Main group** – a group of related functions or subjects to which a range of primary numbers is assigned. *Also known as “Sections” or “Functions” in this manual.*

**Operational records** – records which reflect and support the mandate, functions and activities of the Commission. They are sometimes called “program records” or “business records”.

*See also Administrative records.*

**Permanent retention** - records identified as having continuing value (legal, historical or fiscal) are transferred to the care of the Provincial Archives. In this manual, the records earmarked for permanent preservation are identified by **AR (Archival Records)** in the Final disposition column.

*See also Archival Records.*

**Primary subject and number** –a four-digit number with a title allotted to a particular subject, function or activity within a Main Group/Section, in sequential increments allowing for insertion of new titles. A heading within which specific records and record types may be classified and arranged. Records are not filed at this level. *Also known as “Activities”.*

**Record** – recorded information, regardless of medium/format, created or received in the course of business activities and maintained as evidence of such activity.

**Record series** – a group of similar or related records that are used and filed together as a unit, and can be handled as a unit when determining and applying the records’ retention period and final disposition. (e.g. subdivision files, employee files)

**Records retention and disposition schedule** – a legal document that provides a description of a records series (group of records ) and explains the purpose of the records. It is used to specify the length of time the record must be kept in the office, and how long they must be stored off-site, in a warehouse environment. It also states the final disposition of the record. The records retention and disposition schedule is the document that gives the Commissions the authority to dispose of records it no longer requires. The *Regional Service Commissions Records Authority* contains the records retention and disposition schedules for the records. *Also known as Retention Schedule.*

**Scope note** – a brief description of the types of records that are to be filed under a particular primary or subject. Included are “see also” references, “notes” and “examples”.

**Secondary subject and number** – the title and number allotted to the various subjects of a primary. The two-digit secondary number is added to the primary number to form a complete file number. Records are filed at this level. *Also known as “Transactions”.*

**Selective retention (SR)** – a type of “Final Disposition” whereby records are assessed by an archivist, who determines whether some or all of the records will be permanently preserved or destroyed.

**Semi-active records (SA)** – records that are not frequently accessed by users and which do not need to be stored in the office. Semi-active records still have value for the Commission but should be stored in an inexpensive storage facility that can be situated off-site.

**Superseded/obsolete (SO)** – records that are periodically replaced with newer, up-to-date information are rendered superseded or obsolete. Usually an action or an event will make the record(s) superseded or obsolete.

**Transitory/temporary records** – are records which are only required for a limited period of time or have temporary usefulness, and are not an integral part of an administrative or operational record series.

*See also Working materials/papers.*

**Vital records** – are essential for the resumption or continuation of the Commission’s business in the event of an emergency or disaster; for conducting emergency operations during and immediately following a disaster; and for the re-establishment of the legal, financial and functional responsibilities of the Commission. *Also known as Essential Records.*

**Working material/papers** – includes rough hand written notes, calculations, preliminary drafts, and research notes which are compiled or created in the preparation or analysis of other records, such as correspondence, memoranda, reports, and statistical compilations. Once the final documents have been produced, and are included in the records classification system, working materials and papers become transitory records. Some exceptions include: working papers/materials relating to legislation, legal documents and policies. *Also known as Background Material.*

*See website* [*www.archives.gnb.ca*](http://www.archives.gnb.ca) *publication A Guide to Identifying and Handling Non-Record.*

Appendix B

##### *Request for Change*

***Regional Service Commissions Records Authority (RSCRA)***

This form should be completed by any user when requesting a change to the contents of RSCRA. Changes can include additions or deletions of subjects, or a modification of a retention period. As any such change will affect record-keeping to all Commissions, not all suggestions can be implemented. Please submit completed form to the RSCRA Coordinator at *records.centre@gnb.ca*

Primary Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Subject:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Suggested Change:

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Submitted by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Regional Service Commission: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Telephone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Corporate Information Management Unit*

*Provincial Archives of New Brunswick*

*230 Hilton Road, P.O. Box 6000*

*Fredericton, N.B.E3B 5H1*

*Telephone: 506-453-2897*

Appendix C

##### Transfer of boxes to Provincial Archives

Commissions may arrange to have boxes delivered to the Provincial Archives by using the following procedures. Archives must be notified before boxes are sent.

Supplies Required:

1. Standard record boxes, Grand & Toy SKU#:BOX
2. Records Transfer List forms, electronic version available at <http://www.archives.gnb.ca/Archives/RecMan.aspx?culture=en-CA>

Packing boxes:

Once you have identified records that are scheduled to be sent to the Provincial Archives, pack the boxes by Final Disposition, by series, and years. DO NOT COMBINE records with final disposition of SR and AR in one box; for example do not combine records of primary 0150 with 0300.

Completing a Records Transfer List:

For each box of records you prepare to transfer to Provincial Archives, you must include a list of the contents of the box. For your convenience, an electronic [*Records Transfer List*](http://www.archives.gnb.ca/Archives/RecMan.aspx?Section=3&culture=en-CA) form is available on the Provincial Arcvhies of New Brunswick (PANB) website. Remember to keep a copy of the completed Records Transfer List for your records; to be classified /filed under RSCRA 1475.

1. Fields for completion:
2. Record Series Title: enter primary’s name and a brief descriptive phrase of the content (e.g. RSCRA Board of Directors Minutes of Meetings, RSCRA Committees Management – Solid Waste Committee and other committees).
3. Department: enter Commission name.
4. Branch: enter the branch or section name transferring the records, if applicable.
5. City/Village: enter the name of the city/village where the records are presently located.
6. Telephone: enter the telephone number of Records Custodian who is identify in the form (see #8).
7. Schedule Number: enter primary’s number (e.g. RSCRA 0150, RSCRA 0160).
8. Final Disposition: enter an X or √ in the appropriate box that is either in Select or Archives.
9. Records Custodian: enter the name of the staff member responsible for the maintenance of the records.
10. Box No.: Every box must be assigned an in-house temporary number which will be used to track the transfer of records from your Commission to the Provincial Archives. A recommended format to use is the year in which they were sent, followed by consecutive numbers (e.g. 2013-01, 2013-02). Write your temporary box number in this field of the form as well as on the upper left hand corner of the front lid of the box (where “Aisle/Bay/Shelf/Box” is printed).
11. Based on the arrangement of the file folders in the box
	1. File Number: Enter the number given to each file, if there is a number.
	2. Date of Records From: Enter the date in which the file was opened (i.e. the earliest date in the file).
	3. Date of Records To: Enter the date in which the file was closed (i.e. the latest date in the file).
	4. Description: Enter the exact title used to identify the file (e.g. Board of Directors Minutes for January 2000).

For shipping or for pick up of boxes

Once you have completed the Records Transfer List and the boxes are packed for pick up or for shipping, please contact records.centre@gnb.ca. You will then be assigned a user account to allow you to use the Archives’ on-line Transfer Request System.

Appendix D – Records Destruction Form

RECORDS DESTRUCTION FORM / FORMULAIRE POUR LA DESTRUCTION DES DOCUMENTS

COMMISSION: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| BRANCH/DIRECTION | RECORDS DESCRIPTION/DESCRIPTION DES DOCUMENTS | DATES OF RECORDS/DATES DES DOCUMENTS | SCHEDULE NUMBER/NUMÉRO DE CALENDRIER | DATE DESTROYED/DATE DE DESTRUCTION | APPROVED BY/APPROUVÉ PAR |
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Appendix E

####  Retention of Computer System Backups

**Background:**

RSC perform scheduled backups (or copying) of system, application and user files to ensure continuity in service in the event of the loss of the original files on the network servers. Backups are typically made on a daily, weekly, monthly, and/or annual basis. They usually include data or data extractions (incremental backups) but may also include commercial or custom-designed software.

Computer system backups are made for security of information and emergency system recovery purposes. These backups are only required for limited periods of time to ensure access to essential information in case of system failure.

Backups are **not** performedfor the purpose of long-term storage of information, nor as a method to satisfy the conditions of a records retention schedule. The very nature of how most backups are performed, (i.e. files are saved in a linear fashion), precludes their use as a method of storage for “records”. Longer term storage of electronic records should be done by copying files from an active system to another system or media (e.g. movement of dated transaction files to DVD).

Although backups may contain files that fall under retention schedules, backups are intended to *restore* files, not to maintain them for long-term use.

Failure to ensure that information on backup media is rendered inaccessible creates a liability under the *Right to Information and Protection of Privacy Act.*

Note: this schedule also applies to backups of any e-mail system.

**Retention Schedule**

*Backups are to be kept until they are superseded or obsolete (i.e. replaced by a subsequent back-up); they are then to be destroyed.*

Disposition: When backups are no longer required for system recovery, the backup media must be re-used, destroyed, or the previously recorded data must be made inaccessible.

The media is automatically slated for re-use and the information held on the media is only required until the system’s backup cycle is completed. Backup media is re-used in accordance with the frequency plan established for a specific system.

Policy and procedures regarding re-use of backup media **must** ensure that information is destroyed/made inaccessible following the end of the system-prescribed backup cycle.

There are three options to ensure that information stored on backup media is no longer accessible:

* overwrite the previous information;
* physically destroy the backup media;
* erase the back-up media in such a way that previous information cannot be accessed through normal computer usage.

Use of an erasure program is the accepted *secure* method of rendering data inaccessible.

**NOTE:** Each RSC has the authority, responsibility and accountability for establishing policy and standards regarding system backup and recovery procedures. Backup procedures and their frequency will differ from system to system.

**A**

ACCESS

- protection of personal information 1310

- security cards 1490

**ACCESS AND PRIVACY 1310**

**ACCIDENTS AND CLAIMS 1605**

ACCIDENTS and PERSONAL INJURY

- employee 1050-1c

 - accident reports of non-employee 1605

**ACCOMMODATION/SPACE PLANNING 0505**

ACCOUNTING

 - revenue reports 0705

 - tangible capital asssets 0705

 - year-end reconciliations 0705

**ACCOUNTS PAYABLE 0715**

**ACCOUNTS RECEIVABLE 0720**

**ACCOUNTS REPORTING and RECONCILIATION 0705**

ACQUISITION

 - of buildings, land and structures 0520

 - of equipment, furniture and supplies 0960

 - of vehicles 0960

**ACTS and LEGISLATION ADMINISTRATION 0105**

ADJUDICATIONS 1080

**ADMINISTRATION and LEADERSHIP PLANNING 0100 to 0499**

ADVANCES / ALLOWANCES

 - accounts payable 0715

ADVERTISEMENTS 0330

**AGREEMENTS and CONTRACTS MANAGEMENT 1625**

AIR POLLUTION

 - solid waste operations 2640

AIR QUALITY 0530

ALLOWANCES / ADVANCES

 - accounts payable 0715

**AMALGAMATION/ANNEXATION 1630**

ANNUAL REPORTS 0365

APPLICATIONS

- corporate debit cards / credit cards 0750

 - for construction, relocation and demolition 2415

- for employment 1170

 - for variances 2590

 - information technology systems 1420

 - municipal plan 2490

 - rural plan 2490

 - zoning 2590

 - water and sewer hookups 2415

APPOINTMENT BOOKS and CALENDARS 0100

APPOINTMENTS

- acting 1000

 - of Commissioners 0150

 - of employees 1050-1

 - to committees 0160

APPRAISALS AND REVIEWS

 - of employees 1050-3a

APPRECIATIONS LETTERS 0100

ARCHIVES SERVICES 1475

ASBESTOS WASTE 2650

ASSET CONTROL *SEE APPROPRIATE ACTIVITY*

ASSET TRANSFER *SEE APPROPRIATE ACTIVITY*

**ASSOCIATIONS, CLUBS and SOCIETIES MANAGEMENT 0125**

**ATTENDANCE MANAGEMENT 1065**

AUDIO VISUAL

 - equipment 0570

 - productions/presentation *1380*

**AUDITING 0130**

AUDITS

- financial 0130

 - programs 0130

 - security 1490

 - Worksafe program 0465

AWARDS and HONOURS 1000

**B**

BACK-UPS

 - logs 1420

 - retention *SEE APPENDIX E*

BADGES, PINS, PROMOTIONAL ITEMS

 - procurement 0960

BALING of WASTE 2690

BANK

 - deposit books 0750

 - reconciliations 0705

 - bank statements 0750

 - cancelled cheques 0750

 - cheque register 0750

 - corporate debit cards/credit cards applications 0750

 - debit card/credit card transactions slips 0750

 - transfer of funds 0750

**BANKING 0750**

BARGAINING AGENTS 1030

BENEFITS

 - to employees 1050-2

**BILINGUALISM/OFFICIAL LANGUAGES MANAGEMENT 1025**

**BOARD of DIRECTORS 0150**

BONDS

 - Canada Savings Bonds deductions 0955

 - registers 0760

BONUSES

 - employee (pay) 0955

**BORROWING and DEBT MANAGEMENT 0760**

BRAND DEVELOPMENT 1710

BROCHURES and PAMPHLETS 1380

**BUDGETING 0770**

**BUILDING CONTROLS 2415**

**BUILDING and PROPERTIES INSPECTIONS 2425**

BUILDING PERMITS 2415

BUILDINGS

 - cafeteria & eating places 0500

 - conference rooms/meeting room bookings 0500

 - directories 0500

 - floor plans 0505

 - insurance 1775

 - lease or rentals 0520

 - parking for employees and visitors 0505

 - personnel security (e.g. ID pass cards) 1490

 - repairs, renovations and maintenance 0530

 - security 1490

**BUILDINGS, STRUCTURES and LAND – MAINTENANCE 0530**

**BUILDINGS, STRUCTURES and LAND – MANAGEMENT 0520**

BULLETINS

 - associations, clubs & societies 0125

 - policies, procedures & guidelines 0320

 - taxation 0700

BUSINESS

 - cards 0570

 - expenses 0715

 - liaison 0230

 - travel claim 0715

**BY-LAWS DEVELOPMENT 1640**

**C**

CAFETERIAS and EATING PLACES 0500

CALENDARS 0100

CAMPAIGNING and CANVASSING 0100

CANCELLED BONDS 0760

CANCELLED CHEQUES 0750

CAREER MANAGEMENT 1200

CASE LAW and PRECEDENTS 1720

CASH

 - advances 0715

 - receipts and transactions 0720

CASUAL EMPLOYEE RECORDS 1050-1b

CELEBRATIONS and CEREMONIES 0100

CENSUS STATISTICS 2400

CHEQUES

- cancelled cheques 0750

 - register 0750

 - voided for direct deposit 1050-2

CLAIMS

 - accidents and personal injury 1050-1c

 - expenses 0710

 - of non-employees 1605

 - other than accidents 1725

 - payment 0715

 - property and damage claims 1605

CLASSIFICATION

 - file classifiction system 1475

 - information security classification 1490

 - of positions 1140

CLOTHING

 - dress code 0320

 - cleaning services 0500

 - procurement 0960

 - uniform/dress issue 0500

CLUBS, ASSOCIATIONS, SOCIETIES 0125

COAT oF ARMS DESIGN 1710

CO-OP WORK PROGRAMS 1170

**COLLECTION SCHEDULE, FEES and HOURS of OPERATION 2620**

**COLLECTIVE AGREEMENT MANAGEMENT 1030**

COLLEGES, SCHOOLS and UNIVERSITIES

 - governmental activities 0230

COMMERCIAL WASTE 2690

**COMMITTEES MANAGEMENT 0160**

COMMUNICATION(S)

 - public relations/media 0330

- publishing 1380

COMPETITIONS FILES 1170

COMPLAINTS

 - building controls 2415

 - general 0120

 - human rights 1210

 - labour relations 1080

 - Occupational Health and Safety 0290

 - official languages 1025

 - subdivisions 2500

 - workplace harrassment 1210

**COMPLAINTS MANAGEMENT 0120**

COMPUTER RECYCLING SERVICES 2670

CONDOLENCES 0100

CONFERENCE ROOM BOOKINGS 0500

**CONFERENCES, SYMPOSIA and WORKSHOPS ADMINISTRATION 0170**

CONFIDENTIALITY AGREEMENT 1050-1

CONFLICT of INTEREST

 - of Commissions’ Board members 0150

 - of employees 1050-1

CONGRATULATIONS 0100

CONSTRUCTION

 - building controls 2415

CONSTRUCTION and DEMOLITION WASTE 2690

CONSULTANTS

- contracts 1625

 - payments 0715

CONTRACTS and AGREEMENTS MANAGEMENT 1625

CONVENTIONS

See: CONFERENCES

COPYRIGHT 1710

CORRESPONDENCE MANAGEMENT 1300

COUNCIL of FIRST NATIONS

 - governmental relations 0230

COURIER SERVICES 1450

CREDIT CARDS

- application 0750

 - payments 0715

CREST, EMBLEM and LOGO DESIGNS 1710

CURRENCY EXCHANGE RATES 0700

**D**

DATA

- encryption 1490

DATE RELATED COMPUTER ISSUES 1420

DEBENTURES 0760

DEBIT CARDS

 - application 0750

DEBT SERVICING PLANS 0760

DEDUCTIONS

 - benefits applied for 1050-2

 - from employee pay 0955

DEEDS 0520

DEMOCRAPHICS and FEASIBILITY STUDIES 2450

DEMOLITION of BUILDINGS

 - building controls 2415

DENTAL BENEFITS 1050-2

DEPOSIT SLIPS

 - bank 0750

DESIGNATED

-employees 1030

 - paid holidays 1065

 - signing authorities 0965

DIGITAL CERTIFICATES and SIGNATURES 1490

DIRECTORS INSURANCE 1775

DISABILITY INSURANCE BENEFIT 1050-2

DISASTER RECOVERY and EMERGENCY PLANNING 0185

DISCIPLINARY ACTION of EMPLOYEE 1050-3c

DISCLOSURE OF INTEREST

 - for Board of Directors 0150

 - for employees 1050-1

DISPLAY BOARDS for EXHIBITS 0330

DISPOSAL OF ASSETS

 - of buildings, structures and land 0520

 - of equipment and furniture 0570

 - of vehicles 0590

DIVERSION and RECYCLING PROGRAM 2670

DRESS CODE 0320

DUES of ASSOCIATIONS 0715

**E**

E-MAIL SYSTEM 1420

EARLY RETIREMENT PROGRAMS 1160

**ECONOMIC and INDUSTRIAL DEVELOPMENT 2450**

**EQUIPMENT, FURNITURE and SUPPLIES MANAGEMENT 0570**

EMBLEM, CREST and LOGO DESIGNS 1710

**EMERGENCY PLANNING and DISASTER RECOVERY 0185**

EMPLOYEE and FAMILY ASSISTANCE PROGRAM 1210

**EMPLOYEE BENEFITS AND DEDUCTIONS 1050-2**

**EMPLOYEE HISTORY 1050-1**

EMPLOYEE ORIENTATION 1200

**EMPLOYEE PERFORMANCE APPRAISALS and REVIEWS 1050-3**

**EMPLOYMENT AND RECRUITMENT 1170**

EMPLOYMENT PROGRAMS 1170

END-USER SUPPORT

 - Information Technology 1430

ENERGY PRODUCTION 2660

ENQUIRIES 0100

**ENVIRONMENTAL PROTECTION 2640**

ERGONOMICS 0465

ESSENTIAL

- employee list 1030

- records protection plan 0185

EVACUATION PROCEDURES 0320

EVENTS

 - public relation 0330

 - social 0100

 - trade 0330

EXHIBITS, FAIRS, SHOWS and TRADE EVENTS 0330

EXPENDITURE PROJECTIONS 0770

**F**

FACILITIES

 - accommodation/space planning 0505

 - buildings, structures and land maintenance 0530

 - buildings, structures and land management 0520

 - insurance 1775

FACSIMILE (FAX) EQUIPMENT 0570

FAMILY COUNSELING PROGRAM 1210

FEDERAL GOVERNMENT

 - agreements and contracts 1625

 - governmental relations 0230

FEDERATIONS 0125

FEES

 - building permit 2415

 - membership notices 0125

 - collection/revenue 0720

 - payments 0715

 - solid waste 2620

 - subdivision 2500

FILE CLASSIFICATION PLAN 1475

**FINANCIAL MANAGEMENT 0700-0999**

FINANCE

 - accounts reporting and reconciliation 0705

 - accounts payable 0715

 - accounts receivable 0720

 - audits 0130

 - banks and banking 0750

 - borrowing and debt management 0760

 - budgets 0770

 - funds and grants 0805

 - payroll processing 0955

 - procurement 0960

 - reports, statistics & statements 0705

 - signing and spending authorities 0965

FIRE DRILLS 0185

FIRE PROTECTION PROGRAMS 0465

FIRST AID 0465

FIRST NATIONS

 - See: Council of First Nations

5\*22 PROGRAM 0465

**FLEET MANAGEMENT 0590**

FLEXIBLE HOURS of WORK 1065

FOREIGN GOVERNMENTS

 - agreements and contracts 1625

 - governmental relations 0230

**FORMS MANAGEMENT 1355**

FOUNDATIONS 0125

**FUNDS AND GRANTS ADMINISTRATION 0805**

FUNDRAISING 0100

**G**

GARBAGE and WASTE DISPOSAL

 - for buildings/offices 0530

 - for clients 2600 to 2690

GRANNY/GARDEN/IN-LAW SUITES 2400

GRANTS

 - requests 0805

 - unconditional grant 0770

GOING GREEN INITIATIVES 2510

**GOVERNMENTAL RELATIONS and LIAISON ACTIVITIES 0230**

GREEN HOUSE GAS REDUCTION 2640

GRIEVANCES

 - decisions affecting pay 1050-1

 - linvestigation and resolution 1080

**GRIEVANCE and ADJUDICATION 1080**

GUARANTEES and WARRANTIES *SEE APPROPRIATE ACTIVITIES*

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HARRASSMENT in the WORKPLACE 1210

HAZARDOUS MATERIALS

 - in the workplace 0290

 - waste management 2650

 - worksafe program 0465

**HAZARDOUS WASTE MANAGEMENT 2650**

HEAT RECOVERY SYSTEM 2660

HEALTH BOARDS RELATIONS/LIAISON 0230

HELP-DESK SERVICES

 - Information Technology 1430

HIRING OF STAFF 1170

HOLIDAYS and VACATIONS 1065

HOURS OF OPERATION

 -solid waste management 2620

HOURS OF WORK AND OVERTIME 0955

HOUSEHOLD HAZARDOUS WASTE SERVICE 2650

HOUSEHOLD RECYCLING SERVICE 2670

HOUSEHOLD WASTE 2690

**HUMAN RESOURCES MANAGEMENT 1000-1299**

HUMAN RIGHTS COMPLAINTS 1210

**I**

IMAGING PROGRAM 1475

INDUSTRIAL PARKS DEVELOPMENT 2450

INDUSTRIAL WASTE 2690

INFORMATION DISASTER PLANNING & RECOVERY 0185

**INFORMATION and TECHNOLGY MANAGEMENT 1300-1599**

**INFORMATION TECHNOLOGY APPLICATIONS & INFRASTRUCTURE MGMT. 1420**

**INFORMATION TECHNOLOGY END-USER SUPPORT 1430**

IN-LAW/GRANNY/GARDEN SUITES 2400

INSPECTIONS

 - of standing buidlings 2425

 - of new constructed buildings 2415

 - of solid waste operations 2640

 - under the *Occupational Health and Safety Act* 0290

INSTANT MESSAGING SYSTEM 1420

INSTITUTES 0125

INSTITUTIONAL WASTE 2690

INSURANCE 1775

INSURED BENEFITS

 - for employees 1050-2

**INTELLECTUAL PROPERTY MANAGEMENT 1710**

**INTEGRATED SERVICES PLANNING 2460**

INTERNATIONAL AGENCIES RELATIONS 0230

INTERNATIONAL STANDARDS ORGANIZATION (ISO) 0300

INVENTORIES

 - of buildings, structures and land 0520

 - of computer hardware 1420

 - of equipment and furniture other than computer hardware 0570

 - of records 1475

INVESTIGATIONS

 - human rights 1210

 - occupational health & safety 0290

INVITATIONS 0100

INVOICES 0715

**J**

JOB

 - description 1140

 - incident 0290

 - rotation program 1160

 - safety program 0465

 - shadowing program 1160

**L**

LAGOON 2640

LAND DEEDS 0520

**LAND USE PLANNING SERVICES 2470**

**LANDFILL GAS MANAGEMENT SYSTEM 2660**

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LAWSUITS 1725

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 - lists 1160

 - notices 1050-1

LEACHATE COLLECTION SYSTEM 2640

LEAF and YARD WASTE 2690

LEASE & RENTAL

- accomodations 0505

-procurement process 0960

LEAVE ENTITLEMENTS 1065

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**LEGAL OPINIONS and MATTERS 1720**

**LEGAL and REGULATORY MATTERS 1600-1799**

LIAISON

 - government 0230

 - universities, colleges & schools 0230

LIBRARY SERVICES 1300

LICENSES

 - employee certification 1050-1

 - fleet vehicles 0590

LIFE and DISABILITY INSURANCE

 - for employees 1050-2

LINGUISTIC PROFILES 1025

**LITIGATION 1725**

LOCAL AREA NETWORKS 1420

LOCAL SERVICE DISTRICTS PLAN 2490

LOGO, EMBLEM and CREST DESIGNS 1710

LONG SERVICE AWARDS

 - for employees 1050-1

**M**

**MAIL, POSTAGE and COURIER SERVICES 1450**

MAIL SERVICES 1450

MAILING LISTS

 - for publications 1380

MANDATE and MISSION STATEMENTS 0300

MANAGEMENT IMPROVEMENT STUDIES 0300

MEDIA RELATIONS 0330

MEDICAL INSURANCE

 - for employees 1050-2

MEETINGS

 - associations, clubs, societies 0125

 - Committees 0160

 - of Board of Directors 0150

 - reservation of meeting rooms 0500

MEMORANDUM OF UNDERSTANDING (MOU) 1625

MINISTERIAL APPOINTMENTS

 **-** Board of Directors 0150

MUNICIPAL GOVERNMENT

 - agreements and contracts 1625

 - relations and liaison 0230

MUNICIPAL PLAN 2490

**MUNICIPAL, RURAL and LOCAL SERVICE DISTRICTS PLANS 2490**

**N**

NEWSPAPER CLIPPINGS 0330

NON-PERMANENT EMPLOYEE RECORDS 1050-1b

NOTES and CARDS 0100

**O**

OATHS of OFFICE

 -for employees 1050-1

**OCCUPATIONAL HEALTH & SAFETY INSPECTIONS & INVESTIGATIONS 0290**

OFFICE

- accomodation planning 0505

 - equipment, furniture and supplies 0570

OPERATIONAL MANUALS 0320

ORGANIZATIONAL CHARTS 0300

**ORGANIZATIONAL PLANNING 0300**

ORIENTATION PROGRAM

 - for employees 1200

OUTSTANDING ACCOUNTS (COLLECTION)

 - collection 0720

 - write-offs 0705

OVERTIME 1065

**P**

PAMPHLETS and BROCHURES 1380

PARKING 0505

PAYABLES 0715

PAYROLL DEDUCTIONS 0955

**PAYROLL PROCESSING 0955**

PENSION

- annual lump sum in lieu of pension 1050

PERFORMANCE APPRAISALS and REVIEWS 1050-3a

PERMANENT EMPLOYEE RECORDS 1050-1a

PERMITS

 - building and demolition permits 2415

 - water, sewer and wiring permits 2415

 - solid waste 2640

PERSONAL and SEXUAL HARRASSMENT 1210

PERSONNEL

See: EMPLOYEE RECORDS

PETTY CASH 0715

PINS, BADGES, PROMOTIONAL ITEMS

 - procurement 0960

**PLANNING & DEVELOPMENT 2400-2599**

PLANS of ESTABLISHMENT 1160

**POLICIES and PROCEDURES DEVELOPMENT 0320**

**POSITION CLASSIFICATION, RECLASSIFICATION and PROMOTION 1140**

POSTAGE SERVICES 1450

PRESS CONFERENCES 0330

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