

Town of Mount Carmel-Mitchell's Brook-St. Catherine's

Policy & Procedure

Records Management Policy

Effective: January 13, 2020

POLICY STATEMENT:

The Town of Mount Carmel-Mitchell's Brook-St. Catherine's is committed to the proper maintenance, preservation and disposal of records in accordance with fiscal, operational, legal and regulatory requirements. The management of town records in a responsible and transparent manner is crucial to the retention and preservation of knowledge and information of the Town.

PURPOSE:

This Records Management Policy establishes principles and procedures for managing records and provides for the safekeeping and retention of important documentation of the Town as well as a schedule for necessary disposal of expired documents.

AUTHORITY:

As per **Resolution No. ?** at a meeting held January 13, 2020, and further to Section 215 of the Municipalities Act, 1999.

(Quote motion)

PROCEDURES FOR THE MANAGEMENT OF PHYSICAL AND ELECTRONIC DOCUMENTATION:

Note: For the purposes of this policy, the town office refers to all inner work areas of the town office area, with the exception of the public entrance area.

Storage:

All records in the custody and/or care of the Town Clerk or Assistant Town Clerk shall be

1. properly maintained, filed and preserved.
2. protected from inadvertent damage or destruction.
3. stored in a secured, locked area within the confines of the town office. (The town office shall be considered a secure area accessible only to staff to protect the privacy and confidentiality of any documentation which may be accessible or within view to individuals who are not employees of the town office).

In addition:

1. In emergencies or to facilitate work within the town office, access to the town office by advanced request of Council shall be granted only with the consent of town staff upon inspection and verification of proper storage of documentation (see office policy).
2. Town records of historical value/significance shall be stored in a secure, fire-proof area (in the rear room of the town office) to provide for their preservation.

3. Town records shall not be removed from the town office unless required for legal or financial (accountant) matters and, in the event of such requirements, with the express consent of the majority of Council.

Disposal

1. No official record shall be destroyed unless it falls within the scope and schedule for records retention as per this policy.
2. All records due for destruction shall be destroyed in a manner which provides for the confidentiality of any personal or confidential information contained in such documents.
3. Any records pertaining to litigation (pending or actual), any investigation or a request under privacy legislation shall not be destroyed until such records are no longer required for that purpose.

RECORDS OWNERSHIP:

1. All records created, maintained or received by town staff in the course of their duties while employed by the town, regardless of format, are the property of the Town of Mount Carmel-Mitchell's Brook-St. Catherine's and are subject to this policy.
2. All records shall remain with the Town upon the departure of employees.

DUTIES AND RESPONSIBILITIES:

The Town Clerk and Assistant Town Clerk shall:

1. ensure the proper storage, filing and disposal of all town records.
2. ensure that records within their custody or control are protected from breaches of confidentiality.
3. ensure compliance under the Municipalities Act relating to records storage.
4. administer the approved records retention schedule and shall ensure that the retention periods comply with all relevant legal requirements for records retention.
5. comply with the retention periods as specified.
6. ensure that records in their custody or control are protected from inadvertent destruction or damage;
7. ensure that all records ready for destruction are destroyed in compliance with this policy.
8. establish procedures, guidelines and best practices for records storage, filing and retrieval.

DOCUMENTS AVAILABLE FOR PUBLIC VIEWING:

Section 215(1) of the Municipalities Act, 1999 states that the following documentation is available for public inspection during the normal business hours of the council:

- (a) adopted minutes of council;
- (b) assessment rolls
- (c) regulations;
- (d) municipal plans;
- (e) opened public tenders
- (f) financial statements
- (g) auditor's reports;
- (h) adopted budgets;
- (i) contracts;
- (j) orders;
- (k) permits; and
- (l) Rep. by 2000 c16 s2

(m) all other documents tabled or adopted by council at a public meeting;

As per Section 215 (2) of the Municipalities Act, any person making an inspection under Section 215(1)

- (a) shall not remove the document from the place where it is located or interfere with an employee of the council in the performance of his or her duties; and
- (b) may make extracts from the documents, and may, where the council has copying equipment, have a copy of the documents upon payment of a fee equal to the actual cost of providing that copy.

RETENTION AND DISPOSAL:

The following schedule of retention and disposal shall apply to documents in the custody or control of the town office of Mount Carmel-Mitchell's Brook-St. Catherine's:

FINANCIAL RECORDS:

No.	Item	Retention (in years from the date the document was created)
	Audited Annual Financial Statements	Permanent
	Bank Statements	7
	Bank Reconciliation Statements	7
	Annual Budget	Permanent
	Cash Receipts for Purchases	7
	Cheque Stubs and/or duplicates	7
	Receipts for Taxes, Permits, and Rentals	7
	Daily Cash Reports and Summaries	7
	Deposit Books	7
	Federal and Provincial Remittance Forms	7
	Financial Reports (monthly)	7
	Council Remuneration Records	7
	General Ledgers and Journals	7
	Purchase Orders	7
	Assessment Rolls (if and when applicable)	Permanent
	Payroll Records	7
	Change of Ownership Documents	Permanent
	Tax Certificates	Permanent
	GST/HST Rebate submissions	7
	Exemption Request Forms	7

** Note: Records may be required to be maintained for 7 years post CRA or Department of Finance audit

ADMINISTRATIVE RECORDS:

	Insurance Policies (after expiration)	3
	Permits	7

	Photographs	Permanent if historical or the period associated with the inclusion of the photograph
	Tax enforcement records after tax title property has been sold	7
	Tender Documents	7

CORRESPONDENCE:

	From residents/taxpayers regarding taxes, property concerns, and complaints	Permanent
	Any correspondence related to the town history or to properties	Permanent
	Historical documents	Permanent
	Government correspondence relating to capital works projects	Permanent
	General Government correspondence not related to the town history	7
	Petitions	Permanent

HUMAN RESOURCES:

	Employee records after termination, resignation or retirement	10
	Contractual worker records after completion of work term	7

MINUTES/BY-LAWS:

	Minutes of Regular and Special Meetings	Permanent
	Minutes of Committee Meetings	Permanent
	Recordings of Meetings	Permanent

DISPOSAL OF DOCUMENTS:

All documents to be disposed of in accordance with this policy must be approved by way of motion at a public meeting of Council.

All documents tabled for disposal are to be shredded. All disposals will take place from December 15 – February 15 of each calendar year.

This policy will be tabled for review for the first meeting of December in every calendar year.

Reviewed and Approved by Town Council
January 13, 2020

Signed into Order by

A handwritten signature in cursive script that reads "Elaine Nash". The signature is written in dark ink and is positioned above a horizontal line.

Elaine Nash, Mayor