

ADMINISTRATIVE REPORT

Date: October 10, 2003
Author/Local: M. Coulson/6125
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TO: Vancouver City Council
FROM: City Clerk
SUBJECT: Corporate Records Inventory and Classification Project

RECOMMENDATION

THAT Council approve a project to inventory and classify all corporate records holdings at a total cost of \$530,000, source of funds to be \$40,000 from the 2003 Contingency Reserve, \$335,000 from the 2004 Operating Budget, and \$155,000 from the 2005 Operating Budget, subject to Budget review.

CITY MANAGER'S COMMENTS

The City Manager RECOMMENDS approval of the foregoing.

COUNCIL POLICY

Vancouver Charter section 221 stipulates that the City Clerk shall preserve and keep corporate records. By-law #5201 (1978) defines corporate records as any records connected to the public business, regardless of medium, and states that such records shall be retained and disposed of in accordance with schedules approved by the Department Head, Director of Finance, Director of Legal Services, City Archivist and City Clerk.

SUMMARY

In 1970, City Council approved the introduction of a corporate records management program. According to the program, the City Clerk's Department would recommend best practises, provide expert advice and manage semi-active records for departments wishing to participate in the program. Adherence to a corporate standard was not mandatory, however, and departmental records management systems have evolved quite differently over the last thirty-three years. A variety of records maintenance and storage procedures and many classification systems are currently being applied to paper and electronic holdings alike. Duplicate records are being maintained in different departments and many records are unscheduled for ultimate disposition.

Current statutes and modern information management standards demand a greater degree of control over corporate records than the present situation allows. The City of Vancouver has statutory obligations that we are unable to meet under the Freedom of Information and Protection of Privacy Act (FOIPOP) to produce a Personal Information Directory. Most new records are now created in an electronic form, raising public expectation for timely and accurate information. An urgent need for corporate records coordination has developed.

If approved, the records inventory would document all corporate record types and media, location, retention schedule (if any), name positions responsible for the records, indicate whether the records are routinely releasable under FOIPOP, and flag records vital to resumption of business post-disaster. A standard corporate classification scheme would then be refined and uniformly applied to like record series across the organization.

Outputs of the project would be a Corporate Records Inventory and accompanying retention schedules, records status under FOIPOP, frameworks for electronic records directories and permission structures (to be implemented by I.T. as part of the "Enterprise Systems Project", Council report November 4/03 - I.T. Infrastructure 2003 Expansion and Replacement Program), and identification of all vital and sensitive records. The project will also include development of an updated Records Management By-law and Records and Information Management Policy. Adoption of the corporate classification scheme and adherence to the corporate records policies would be mandatory across departments in order to maintain standards achieved.

Completion of the project will stabilize the City's records management situation and position the corporation for electronic records and document management (ERDM) should Council choose to implement such a system. The scope of this project does not include acquisition and implementation of an ERDM system.

PURPOSE

The City Clerk seeks Council authority to conduct an inventory of corporate records and adopt a uniform records classification system. The project is expected to take eighteen to twenty four months and cost an estimated \$530,000.

BACKGROUND

The City's current Records Management Program was approved by Council in 1970. The City Clerk's Department was to be responsible for development and training in records practises, maintaining records retention schedules and managing the corporate records centre which houses inactive departmental records. Departmental participation in the Records Management Program was voluntary, however, so adherence to recommended practises was inconsistent. Thirty-three years later, the inconsistencies in records handling are severely hampering efforts to manage information corporately.

The 1978 Records Retention and Destruction By-law No. 5201 stipulates that departments must schedule their records for authorized disposition - that is, prior to any destruction or removal of records departments must obtain consensus from stakeholders on how long records should be kept and on the specific method of disposition. 1132 Records Retention Schedules exist for the City's records holdings. However, many of the schedules are obsolete or duplicates produced for the same records series by different departments. Many new records, particularly electronic records on networks and personal drives, are unscheduled and uncontrolled. An estimated 3000 cubic feet of records stored off site are not scheduled for disposition, so storage costs are unending.

In 1994, the Freedom of Information and Protection of Privacy Act was proclaimed for public bodies. According to Section 69 of the Act, the City of Vancouver must maintain a Personal Information Directory listing the City's personal information banks including the title and location of each series, a description of the kinds of personal information, the authority and purpose for collecting the information, and the categories of persons who use the information or to whom it is disclosed. Until a corporate records inventory has been undertaken, the City will be unable to comply with these statutes.

In comparison to similar organizations within the lower mainland, the City of Vancouver has fallen behind with regard to its records and information management capability. Locally, the cities of Burnaby, Coquitlam, North Vancouver, District of North Vancouver, Richmond, Surrey, and West Vancouver have implemented corporate-wide records classification schemes. Further, Coquitlam, North Vancouver, the District of North Vancouver, Port Coquitlam, Richmond, and the District of West Vancouver, as well as the GVRD and Translink, are in the process of or have now implemented electronic records and document management solutions. The City is unable to properly assess readiness or evaluate electronic records and document management systems until a records inventory and uniform classification system are in place. It should be noted, however, that the inventory and classification system are necessary from a business perspective whether or not the City chooses to implement an ERDM.

The inventory project model proposed in this report was jointly developed by records staff from the Community Services Group and City Clerk's Department. A pilot inventory and draft classification scheme was successfully completed by Community Services in 2002/3. Since then, inventory work in the Park Board and City Clerk's Department has commenced. The new classification system adopted by Community Services, and proposed as a base standard for the remainder of the City, is

derived from the “Municipal Officer’s Association” standard used in many BC Municipalities. The project work proposed in this report will build on the Community Services model and not require any re-work in departments that have completed inventory and classification activities.

DISCUSSION

Current State of Corporate Records

The City currently faces a number of significant issues as a result of current records management practices:

1. Records are managed inconsistently across the City:
 - duplicate records are being maintained by different departments
 - duplicate Records Retention Schedules exist – in some cases retention periods vary for similar records in different departments
 - numerous classification systems are in use across the City, making corporate searches for information difficult
 - many redundant records retention schedules exist; some obsolete retention schedules do not take into account the current legal obligations for retaining the records
2. Many of the newer records are unscheduled and unmanaged:
 - there is no provision to dispose of or archive the records
 - there is no corporate knowledge of the records, so they may be missed in a routine search, FOI search or legal discovery
 - vital records may not be backed up or sensitive records may be stored inappropriately
3. The City lacks a corporate records inventory:
 - cannot comply with FOIPOP Act requirements to produce a Freedom of Information Personal Information Directory
 - no way to easily search for/share records across the organization
 - cannot fully assess City’s requirements for an electronic records and document management system, should we choose to implement such a system

Performing a corporate records inventory and applying a standard classification system would address the issues described above and reduce corporate records holdings in storage. Implementation of a sustainment plan would ensure continued adherence to standards and ensure the system continues to meet corporate information needs.

Proposed Action: Corporate Records Inventory, and Adoption of Standard Classification Scheme, Policies and Procedures

An overview of the proposed project follows (a detailed description of the records inventory and classification proposal is attached as Appendix A):

Phase 1 Corporate Records Inventory: The inventory process involves gathering baseline data through an inventory of records in all media, including where records reside (both physically and electronically); their known business use; security sensitivity and authorization; and the overall volume of records that are kept within the organization. See Inventory and Analyst Worksheet under **Records Team Training** of Appendix A.

Phase 2 Development of a Classification Scheme, Retention Schedules, Policy and Procedures:

Starting with a standard records classification template (based on the MOA standard), and using the records inventory data as a guide to tailor the scheme to City records, a standardized classification system for paper and electronic records will be developed. The system will provide a uniform method of categorizing and organizing records across the City. To ensure appropriate maintenance of the records, retention schedules will be developed to encompass all records series. The classification scheme and retention schedules will allow improved management of new and existing paper and electronic records, and is an essential component in assessing ERDM for the City. A revised records management by-law, policy and procedures will be developed based on up-to-date knowledge of business records practices gained during the inventory. Updated policy and procedures will be validated by departmental records managers and administrators prior to adoption.

Phase 3 Training and Implementation: The new classification scheme and records management policy and procedures will be adopted by departments:

- departmental staff will be trained in use of the new corporate classification system, policy and procedures and briefed on the conversion process
- paper records and electronic records stored on shared network drives will have retention schedules applied, which will form a timeline or “life cycle” for all records – life cycles will be managed manually by records managers until the City chooses to implement an ERDMS
- existing paper-based records will be converted to the new file classification
- corporate records staff will guide and support I.T. and departmental staff in conversion of electronic file directories and updated permission structures
- vital and sensitive records will be stored and backed up appropriately

Phase 4 Sustainment: The newly updated records management policy and procedures will ensure that the Corporate Records Inventory is maintained. Departmental staff, in conjunction with Corporate Records staff, will conduct an annual review of departmental records and implement changes as necessary to maintain standards. A cross-departmental team of records staff (Records Management Task Force) will assess the continued relevance of the policy, procedures and classification system and recommend changes to departmental administrators as required. City Clerk’s Records Management staff will ultimately be responsible for sustainment.

Project Scope, Timeline and Resources

The project scope includes all City departments except Library and Police. These departments (along with Parks) are more autonomous from a records perspective – FOI requests, for example, are handled independently by these bodies. Because Parks has chosen to adopt the corporate standard

classification system at this time, the conversion work will fall within the scope of this project.

The inventory and classification will take approximately eighteen to twenty-four months to complete, based on three teams working in departments concurrently. Project sponsorship and management will be the responsibility of the City Clerk's Department. Guidance will be provided by a Steering Committee, and the Records Management Task Force, a cross-departmental group of records managers.

The City Clerk's Department will be redeploying a portion of five existing positions to this project. These positions are funded from City Clerk's operating budget:

- 50% of existing Corporate Information Analyst (project direction and systems expertise)
- 50% of existing Corporate Records Administrator position (project management and records standards expertise)
- 50% of existing FOI Records Specialist
- 25% of existing Corporate Records Clerk
- approx. 10 days of existing Archivist

Reporting to the Director of Information and Administrative Services (or the City Archivist) in City Clerk's, this group makes up the core team responsible for managing the project and producing the deliverables.

FINANCIAL IMPLICATIONS

The staff for which funding is requested fall into two categories:

- temporary records specialists for the central project team
- temporary staff to backfill for departmental staff participating in the project

The total cost of staffing the records inventory and classification system project is estimated at \$375,000 (\$225,000 + \$150,000) with a breakdown as follows:

The cost of temporary records specialists for the central project team is estimated at **\$225,000** over the years 2003 and 2004:

- temporary records administrator (185 days)
- 3 temporary records analysts (541 days)
- variable numbers of temporary Records Clerks (430 days)
- information management consultant (25 days)

The cost of temporary staff to backfill for departmental staff participating in the project is estimated at **\$150,000** over the years 2003 and 2004:

- business unit delegates (file subject experts -129 days)
- departmental records coordinators (293 days)
- departmental records clerks (430 days)

Costs for the conversion of existing paper and electronic file systems is difficult to estimate until the inventory is complete. Further, it is expected that conversion of existing systems may be unnecessary in some areas. Based on current knowledge, the estimated cost for design conversion of existing file systems will be **\$155,000**, to be funded from the 2004 and 2005 Operating Budgets. The cost of the technical conversion of electronic directories by I.T. will be borne by the Long Term IT Financing Plan, as detailed in the November 4, 2003 report to Council on I.T. Infrastructure 2003 Expansion and Replacement Program.

The costs of staffing ongoing sustainment activities to ensure the corporate records inventory is current and that the classification systems and policies continue to be relevant are low and expected to be absorbed into departmental operating budgets. At most, the sustainment activities will amount to several days' worth of departmental records manager's time.

The following tables break down the estimated cost of the project in two ways - by work phase (Table 1), and by budget year, showing the expense types (Table 2).

TABLE 1: Total Estimated Cost of Project, by Phase:

Project Phase:	Approximate Cost:
Phase 1: Corporate Records Inventory	\$165,000
Phase 2: Development of a Classification Scheme, Retention Schedules, Policy and Procedures	\$150,000
Phase 3: Training and Implementation	\$215,000
Phase 4: Sustainment	Existing operating budgets (annual records staff assessment of new/changed records – est. few hours to few days of departmental staff time)
TOTAL:	\$530,000

TABLE 2: Total Funding Request by Budget Year (Expense Type Detail):

	2003 (Contingency fund)	2004 Operating Budget	2005 Operating Budget	TOTAL:
Project management and City Clerk's staff positions	City Clerk's existing operating budget	City Clerk's existing operating budget	City Clerk's existing operating budget	\$0
Temporary records specialists for the central project team	\$40,000	\$155,000	\$30,000	\$225,000
Temporary staff to backfill for departmental staff	\$0	\$150,000	\$0	\$150,000
Temporary staff and supplies to convert files to new system	\$0	\$30,000	\$125,000	\$155,000
TOTAL:	\$40,000	\$335,000	\$155,000	\$530,000

A breakdown of estimated budget to inventory and convert classification schemes for each department is contained in Appendix B.

CONCLUSION

Records and information management is a fundamental responsibility of the organization. Effort is required at this time to ensure that the City of Vancouver's records are being managed effectively and that the City of Vancouver is able to keep pace with increasing demands for timely and accurate provision of information.

CORPORATE RECORDS INVENTORY AND CLASSIFICATION PROJECT

Project summary:

The Records Inventory and Classification Project will be conducted in four phases:

1. Corporate Records Inventory;
2. Development of Classification Scheme, Retention Schedules, Policy and Procedures;
3. Training and Implementation; and
4. Sustainment.

The first stage of the project will produce a database documenting all City of Vancouver record series, including type and media, location, retention schedule (if any), authority to create, alter or destroy the records, whether the records are routinely releasable under FOIPOP and whether the records are vital to resumption of business post-disaster. Starting with the Municipal Officer's Association standard classification system and using the inventory of records as a guide to tailor the scheme to City records, a standardized corporate classification scheme would be developed and applied to like record series across the organization. Retention schedules will be updated and applied to record series. The existing records management by-law will be updated and records management policy and procedures will be developed. Following staff training and orientation to the new classification system, policy and procedures, the new classification scheme will be implemented across City departments. Outputs of the project will be a Corporate Records Index and accompanying retention schedules, records status under FOIPOP, frameworks for conversion of departmental paper files and electronic shared drive directories, and identification and safeguarding of all vital and sensitive records.

The Records Inventory and Classification Project meets the requirements of the International Standard on Records Management (ISO 15849), which prescribes technical guidelines for record-keeping in all organizational settings and is an officially sanctioned benchmarking model for the global emulation of best professional practices.

PHASE 1: CORPORATE RECORDS INVENTORY

Goal: To identify all of the City's records including (see Exhibit A for detail of records characteristics to be gathered):

- location of the records (both physically and electronically)
- known business use
- how they are organized
- degree of reference activity
- whether the records contain sensitive information
- equipment and supplies used to manage them
- positions having authority to create, alter or destroy the records

Purpose: To produce a records inventory that will provide a foundation for the development of a consistent and corporate-wide classification scheme, including the information necessary for the development of records retention schedules in accordance with the City's Records Retention and Destruction By-law.

Methodology: Using the Records Inventory and Analysis Worksheet (see Exhibit A), details of all corporate records will be collected. Records located in file areas, cabinets, desk drawers and on electronic drives are all part of the inventory process. Identifying information held in shared drives will enable the Records Project Team to match the electronic information with its hard copy counterpart when one exists. Viewing all of this information on a continuous basis for several months will allow the Records Project Team to see the entire information holdings of the organization, facilitating both the tailoring of the classification system and the development of relevant policies and procedures.

Each record series will be viewed and described according to the field on the Records Inventory and Analysis Worksheet. The information captured here will be the basis for the development of the classification scheme so it is important that the information captured is thorough and accurate. In some cases, it will be determined that information held is non-record material such as publications and other reference materials. This material will be noted but not used as part of the classification development.

The team gathering the information will be comprised of Records Clerks and departmental

staff who have knowledge of the information being gathered. As the creators and users of the records and information, departmental staff is most able to answer questions about the business use of the records. Other departmental subject matter experts may also need to be available for specific questions about their records. This type of questioning will be minimal. In most cases, the inventory team will do their work without any disruption to the employees working in the area.

As the inventory work is proceeding, the information will be placed in an Electronic Records Management Software database for use by the Records Analysts and others involved in the creation of the classification scheme. Records Management software or other database alternatives will be used to manipulate the data to create listings and reports for all departmental Records Coordinators.

Estimated time to complete: Approximately 12 months

PHASE 2: DEVELOPMENT OF A CLASSIFICATION SCHEME, RETENTION SCHEDULES, POLICY AND PROCEDURES

Goals: To develop a corporate classification scheme and associated records retention schedules in order to:

- manage records of similar subjects consistently
- create and approve retention schedules and disposition procedures
- designate sensitive information
- identify personal information bank information
- identify and protect vital records

and, to produce an updated records management by-law, policy and procedures.

Purpose: To provide a standardized method of categorizing and organizing information across the City. This will provide improved processes in managing information in a paper/electronic format while creating a solid foundation for the deployment of integrated electronic records and document management. The completed classification scheme will describe administrative and operational records in a structure that reflects the functions of the City.

Methodology: The database of information collected during the inventory stage will be analyzed and a standardized corporate classification scheme will be tailored for City records (starting from the former “Municipal Officer’s Association” standard classification template, used as a model in many BC Municipalities). The analysis will provide a framework and a

series of City operations descriptions that can be adapted to a block numeric classification scheme. Within each block specific activities would be defined and described using a numeric value. For example, employee files are a series of records created as a result of the Human Resources function. All departments will manage employee files as the function is decentralized within the City. The same block number filing convention will be used in each department so that employee files are easily identified regardless of their location or the department creating them.

Here are two examples of the block numeric classification system used for Human Resources files:

File Number **07-2600-95178** or **07-2600+SMITH**:

07 represents the subject block “Human Resources”

2600 represents the secondary block representing “Employees”

95178 represents the tertiary file used to represent the employee number

OR

SMITH represents the tertiary file used to represent the employee’s last name

As shown above, the classification scheme organizes information into a predetermined and consistent structure that relates it to other relevant information.

A draft corporate classification scheme will be divided into two distinct areas. The first area represents the administrative subject blocks which includes general administration, human resources, finance, legal and others. These sections can be used by all departments to create files as all departments will have these types of records. The numbers in brackets indicate the series of numbers that will be assigned to the subjects in that section.

ADMINISTRATION

- 01 Administration (0100-0699)
- 02 Buildings, Facilities and Properties (0700-999)
- 03 Equipment & Supplies (1000-1299)
- 04 Information Services, Computing & Communications (1300-1599)

- 05 Finance (1600-2199)
- 06 Legal & Risk Management (2200-2499)
- 07 Human Resources (2500-2999)

This second area includes operational subject blocks that are unique to individual departments. These sections are derived directly from the activities of the City. This includes Engineering, Land Administration and others. These sections will be customized as much as possible to adapt to the existing filing systems so the numbering selected for these blocks will vary.

OPERATIONS

- 08 Governance & Regulatory Affairs
- 09 Engineering & Public Works
- 10 Parks & Recreation
- 11 Land Administration & Planning
- 12 Protective and Emergency Services

For a more detailed description on Classification Schemes, see Exhibit B.

In addition to determining an appropriate classification for each record type, it will be determined how best to categorize each record, and appropriate retention values will be applied (e.g. destroy immediately, fixed active/semi-active term, and ultimate disposal or archiving). New or updated Records Retention Schedules will be developed.

The classification system and associated retention schedules will require approval by each department. This will involve liaising with records owners as the classification scheme develops to ensure that it meets the needs of the business areas. Once the structure is finalized, the records owners will gain approval of the classification scheme for use within their respective department. Similarly, new and revised retention schedules will require approval. Once approval at the departmental level is achieved, all revised or new retention periods will need to be signed off by the approval authorities, currently the City Clerk, City Archivist, Director of Finance, and Director of Legal Services.

In conjunction with departmental records staff, the project team will develop an updated Records Management By-law, and new records management policy and procedures. Departmental staff training and orientation programs for the new classification system, by-law, policy and procedures will be also be prepared.

Estimated time to complete: Approximately 15 months (timeframe overlaps with inventory)

PHASE 3: TRAINING AND IMPLEMENTATION

Goals: To deliver training and orientation to departmental staff in the new classification system and records management by-law, policy and procedures; to implement the new classification system by converting existing files to new system.

Purpose: To ensure that departments understand and implement the classification system, and the records management by-law, policy and procedures.

Methodology: Prior to initiating the classification system file conversion, staff at all levels of each department will receive orientation and training on their roles and responsibilities with regard to managing information and records at the City. Training sessions will include an orientation to records management policies and procedures, the use of the classification system and retention schedules, Corporate Records Centre procedures, information on the file conversion plan, as well as an overview of corporate records management services. To minimize disruption in departments, training sessions will be ongoing for several months so that all employees are given the opportunity to attend (Corporate Records Management training will continue on a regular quarterly basis after that time).

Following training, each department will implement the new classification system. The amount of work this represents will be different for each department. In cases where filing systems exist and are structurally dissimilar to the corporate classification scheme, the conversion process will be necessary. For ease of conversion and efficiency, there will be an attempt to adapt the classification scheme to existing departmental filing structures. In some cases, files may be organized and labeled by codes or names that can be easily adapted to the classification scheme as tertiaries (see classification example on page 14). These segments of files would likely not have to be reorganized or renumbered. However, where existing filing conventions are unsuitable, the complete conversion process will be necessary.

The file conversion involves taking the existing file system and physically adapting it to the newly developed classification scheme by doing one or more of the following:

- changing the file folders (or migrating to new electronic directory and permissions structure – this would be performed by the I.T. Systems Administrator, with input from departmental records staff and under the guidance of City Clerk's records staff)
- changing the file labels to match new titles or numbering conventions
- reorganizing files and moving them to a central location to be shared
- combining duplicates and triplicates of files into one original file and destroying the copies

In many departments, only one of these steps will be necessary. The new classification

scheme will allow for flexibility in organizing the files in numerous configurations. So, if files are organized alphabetically or numerically, they can remain organized in that manner as long as the identification of the file (in most cases, labeling) coincides with the corporate classification scheme.

In some cases, there may be a need to perform all of these functions. Following implementation of the classification system and conversion, any new files would simply be created using the new classification system.

The inventory will have identified records that can be destroyed immediately as their retention period has elapsed. The project team will arrange for the destruction of these records. Records that are inactive will be moved offsite. Inactive material may be converted to the new classification scheme or sent for storage with the original classification.

Finally, the inventory will also have identified any significant records holdings on personal (e.g. "f drive") drives or diskettes. Departmental records managers will work with the individuals responsible for creating such records holdings, and migrate files onto (secure, if necessary) network drive locations.

Critical change management issues will be "legacy" or informal file system emergence after cut-over to the new classification system and the use of personal drives in avoidance of new electronic file structures. These issues will be heavily emphasized in training. It will also be necessary for departmental records managers to actively monitor and manage the growth of informal file structures.

Estimated time to complete: Up to nine months

PHASE 4: SUSTAINMENT

Goal: To preserve the integrity and relevance of the classification system and procedures that have been implemented.

Purpose: To ensure that knowledge of records management stays current; to uphold the standards of the new records management by-law, policy and procedures; to ensure the corporate classification system continues to work well in all departments.

Methodology: Annual "record audits" will ensure that standards are maintained and that the classification scheme remains relevant.

The audits will include departmental records staff and City Clerk's records professionals validating the Corporate Records Inventory by reviewing records series within departments

annually (or more frequently where new records series emerge). Additions and variations from the corporate standard will be recorded in a departmental report and the Inventory will be updated. In addition to a description of the findings, the report will offer suggestions for change to comply with standards, if necessary.

RECORDS PROJECT TEAM

Project Sponsor: City Clerk's Department will act as corporate sponsor and assume overall responsibility for the project. City Clerk's will ensure that the project manager and project team members have the appropriate level of skills and expertise. Syd Baxter, City Clerk, will act as executive sponsor.

Steering Committee: A steering committee will be established as a review body for overall project management and policy direction during the course of the project, chaired by the City Clerk (or designate) and including senior administrative representatives from each of the major business units (Engineering, Community Services, Corporate Services, Parks), as well as the Director of Information and Administrative Services (or the City Archivist), the Corporate Information Analyst, and the Manager of Corporate Information and Privacy.

Records Management Task Force: This existing working group will serve as a review body for project procedural issues and development of draft corporate records procedures.

Project Manager: The Corporate Records Analyst, working in conjunction with the Corporate Records Administrator, will be responsible for the overall coordination and implementation of the project. Reporting to the Director of Information and Administrative Services (or the City Archivist), the project manager will set priorities, delegate responsibility, monitor performance, and allocate resources.

Project Team: Reporting to the Project Manager, team members include three temporary Records Analysts, a variable number of Records Inventory Clerks as needed and an external Information Management Consultant who will provide ongoing advice and support to the project team as the work progresses. The project team will be responsible for conducting the records inventory and providing communication updates to the project manager and departmental records staff.

Departmental Project Participants: Project participant activities will be arranged and scheduled in a joint effort between the Project Manager and Departmental Administrative Managers, and will include Departmental Records Coordinators, Records Clerks and Business Unit Delegates. Project participants will participate in the records inventory and provide expertise on record series and related business practices.

Records Team Training

The Corporate Records Administrator will orient the Records Analysts in the City's inventory practices and their role in the project to ensure continuity in approach.

The Records Analysts will train the Records inventory team, monitor the progress of the inventory and analyze the inventory data to create a classification scheme. The training will include the inventory methodology, forms and tools needed for the inventory and a discussion of the process for collecting and analyzing the information.

Exhibit A - Records Inventory and Analysis Worksheet

Department/Section	Contact:
Record Series Title	Volume
<input type="checkbox"/> Original <input type="checkbox"/> Copy Description of the Records (Who uses them?, What is their use?, Why are they created?)	
Records Status <input type="checkbox"/> Active <input type="checkbox"/> Inactive <input type="checkbox"/> Both filed together	Date Range From: _____ To: _____
Basic Size of Record <input type="checkbox"/> Letter <input type="checkbox"/> Legal <input type="checkbox"/> Map/Plan <input type="checkbox"/> Other (Specify) _____	Physical Format <input type="checkbox"/> Paper <input type="checkbox"/> Microfilm/fiche <input type="checkbox"/> Electronic <input type="checkbox"/> Other (Specify) _____
Records Retained By <input type="checkbox"/> Calendar/Fiscal Year <input type="checkbox"/> Continuous <input type="checkbox"/> Event (Specify) _____ <input type="checkbox"/> Other (Specify) _____	Filing System (include file list if available) <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Subject <input type="checkbox"/> Other (Specify) _____
Location of Records (e.g. central filing area, desk drawer, storage area)	Type of Equipment <input type="checkbox"/> Vertical file <input type="checkbox"/> Lateral file <input type="checkbox"/> Shelf <input type="checkbox"/> Other (Specify) _____
Current Retention <input type="checkbox"/> None followed/unknown or Positions with authority to create, alter or delete files: <input type="checkbox"/> Kept for _____ Location: On-site _____ CRC _____ Final Disposition _____ Is there a signed Authority for Destruction/Retention for this record series? Y N	
Specify where the duplicates are located, if applicable:	Are these vital records? (irreplaceable) Y N If yes, please explain:
FOI & Protection of Privacy Information	

<p>Do the records contain personal information? Y N</p> <p>Do the records contain confidential third party business information? Y N</p>	<p>Are these records routinely released to the public, or prepared for public release? Y N</p>
<p>Notes</p>	
<p>Date:</p>	<p>Inventoried by:</p>

Exhibit B

CLASSIFICATION SCHEMES:

The Classification scheme acts as a standardized filing system for the City, providing an effective method for organizing records into a logical sequence. This ensures that information can be readily identified, retrieved and shared within the City. The scheme also provides a simplified method for specifying the records retention periods and ensures that records are retained as needed for operational purposes and to meet legal requirements. Moreover, it provides a method to dispose of records or send them to offsite storage, removing clutter from offices and saving money on storage costs. An integrated records classification and scheduling system will allow the management of both hard copy and electronic material in the City.

CLASSIFICATION MODELS

There are three types of classification or filing systems: numeric, alphabetical and alphanumeric. Although each of these types of filing systems are currently used in different situations today, the size of an organization and its business function complexity can dictate the type of filing system needed. One of the most common filing systems in use today in large organizations is the numeric filing system, block numeric.

The block numeric filing system is a series of number codes that represent subjects or functions performed within the organization. It is a well established classification system developed in Canada and used throughout the public and private sector as a method for categorizing and coding information. It is the standard for the BC Provincial Government and most local and municipal governments. Currently, most departments in the City are using the block numeric system to organize their paper files.

EXAMPLE OF DRAFT CITY OF VANCOUVER CLASSIFICATION SCHEME

ADMINISTRATION

01 Administration (0100-0699)

This section covers a wide variety of general administrative matters, including executive and management activities, meetings, departmental committees, conferences, and reports. It also pertains to administrative subjects not included in other sections, such as mail & courier services and security. For meetings of Council and its Committees see Section 5, Governance & Regulatory Affairs.

02 Buildings, Facilities and Properties (0700-999)

Records relating to civic buildings and properties, including development, acquisition, construction, alterations, repairs and maintenance. This section also includes property leased by the City, cemetery administration, and the management of city operated lodges and residences. See Section 11, Planning & Land Administration, for records concerning development regulations and building permits.

03 Equipment & Supplies (1000-1299)

Covers the requisition, procurement, storage, distribution, maintenance and disposal of material, equipment, and supplies. It includes asset control and inventories, as well as fleet vehicle management.

04 Information Services, Computing & Communications (1300-1599)

Covers the management and communication of information internally and to the public. Includes information systems and services, computer technology, internal library services, public relations, press releases, records and archives management, and the administration of Freedom of Information and Protection of Privacy legislation.

05 Finance (1600-2199)

Covers financial subjects relating to the receipt, control, and expenditure of municipal funds. It includes financial management, accounts and accounting, financial planning, estimates and budgets, expenditure, liability, revenue control, financial reports and all audits. Procurement of equipment and supplies has been assigned to Section 3, Equipment and Supplies. For records concerning risk management and insurance see Section 6, Legal and Risk Management.

06 Legal & Risk Management (2200-2499)

Records of a legal nature, including agreements, contracts, claims, and litigation. This section also includes risk management and insurance. For by-laws, see section 8 Governance

& Regulatory Affairs. For by-law enforcement as it relates to properties see section 11, Planning and Land Administration; for parking matters see section 9, Engineering & Public Works.

07 Human Resources (2500-2999)

Covers subjects relating to employees and personnel services. It includes employee files, vacation and leaves management, staffing and recruitment, training, and labour relations. For salary and pay records see section 5, Finance.

This secondary area includes operational subject blocks that are derived directly from the activities of the City. This includes Engineering, Land Administration and others. These sections will be customized as much as possible to adapt to the existing filing systems so the numbering selected for these blocks will vary.

OPERATIONS

08 Governance & Regulatory Affairs

Records pertaining to the operation of the municipal government and the legislative and regulatory functions of the organization. Includes Council meeting minutes and agendas, acts and legislation governing the municipal government, by-laws, and records concerning civic elections. For records pertaining to by-law enforcement as it relates to properties and property use, see block 11, Planning and Land Administration. For parking enforcement, see section 9, Engineering & Public Works.

09 Engineering & Public Works

This section covers records relating to engineering and the development and maintenance of infrastructure in the City, including roads, sewers, waste management, and parking operations.

10 Parks & Recreation

This section covers the administration and management of parks and recreational facilities. Includes records on individual parks, parks maintenance and planning, community centres, playgrounds, municipal golf courses, swimming pools and ice rinks, as well as civic theatres, and performing arts programs. For cultural affairs programs, see section 11, Land Administration & Planning.

11 Land Administration & Planning

This section includes records related to urban planning, social and cultural planning, environmental protection, property use, land development and land administration within the City. Includes community and social planning, heritage conservation and preservation, revitalization programs, property development (including development and building permits), inspections, zoning, and subdivisions. It also includes the licensing function. For

civic buildings and properties not administered by the Housing Centre - see section 2 Buildings, Facilities, and Properties.

12 Protective and Emergency Services

This section includes the operation of the civic police force, fire and rescue services and emergency preparedness including records relating to community policing, emergency response plans and disaster planning activities.

Appendix B

**Corporate Records Inventory and Classification Project
Total Project Cost Breakdown by Department:**

Department	Total person-days to complete (all resource types)	Estimated project staff costs for inventory	Estimated departmental backfill costs for inventory	Estimated cost to implement (convert paper files*)	TOTAL Cost by department	Funding Source
City Clerk's	277.5	\$42,000	\$14,000	\$1,500	\$57,500	
Community Services	165.5	\$12,000	\$8,000	\$20,000	\$40,000	
Engineering	959	\$62,000	\$50,000	\$53,100	\$165,100	
Corporate Services	635.5	\$42,000	\$32,000	\$31,100	\$105,100	
Human Resources	155.5	\$12,000	\$8,000	\$7,500	\$27,500	
Fire and Rescue	164.5	\$13,000	\$9,000	\$5,100	\$27,100	
Law	133.5	\$10,000	\$6,000	\$5,100	\$21,100	
Other	169.5	\$13,000	\$10,000	\$5,100	\$28,100	
Parks & Recreation	240	\$19,000	\$13,000	\$26,500	\$58,500	
TOTAL:	2900.5	\$225,000	\$150,000	\$155,000	\$530,000	

*Electronic file conversion costs will be conducted by I.T. System Administrators, the cost borne by the I.T. Long Term Financing Plan (see Nov 4/03 report to Council I.T. Infrastructure 2003 Expansion and Replacement Program)

**Sustainment costs are not included in the funding request – it is expected that these costs will be absorbed in existing operating budgets.

Note that the departmental cost for Community Services Group is low as a pilot records inventory and classification system (developed in conjunction with City Clerk's) was undertaken in 2002/2003. Parks and Recreation cost is also lower due to a body of inventory work already completed. Cost estimate calculations are based on experience with these pilots and current knowledge of departmental holdings.