

***District Planning Commissions
Records Authority***

**Department of Supply and Services
Provincial Archives of New Brunswick
Recorded Information Management Unit**

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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 District Planning Commission Records Authority (DPCRA), provides a current, comprehensive file plan and retention schedule. It enables consistent handling and efficient use of commissions records, and ensures that records of long-term value are identified and protected.

The DPCRA 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 Recorded 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* 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.

There are two types of records:

- ❖ **Administrative records** are records that are common across most organizations such as employee files, budget documents, etc. Administrative records in the DPCRA consist of Section 1 to Section 7.
- ❖ **Operational records** are records generated in fulfillment of a mandate. Operational records, unlike administrative records are unique to the organization. As an example, District Planning Commissions would have records on building permits, while the Department of Education would have student records and Department of Natural Resources would have records on the mining operations. Operational records in the DPCRA are found in Section 8.

How does the DPCRA File Classification Plan works?

This section explains how this publication can be used to classify, file and retrieve records.

The DPCRA File Classification Plan is a subject-based, block numeric plan where blocks of numbers are assigned to each main group of headings.

The File Plan classifies records at three levels: main groups, primaries, and secondaries. As you move down through the classification levels, they become more specific.

Main Groups:

Main groups are the broadest level in the file structure and describe general business activities. The DPC File Classification Plan is divided into the following main groups:

SECTION	MAIN GROUP TITLE	BLOCK NUMERIC NUMBERS
1	Administration & Leadership Planning	0100-0499
2	Buildings, Facilities, & Properties	0500-0699
3	Finance	0700-0999
4	Human Resources	1000-1299
5	Information Management	1300-1599
6	Legal & Regulatory Matters	1600-1799
7	Materials & Asset Management	1800-1999
8	District Planning Commission Operational Records	2000-2699

Primaries:

Each main group consists of primaries. Primaries relate to a specific function, activity or subject, and are arranged in alphabetical order within each of the eight main groups. An exception to this rule is that the first primary in each of the main groups is assigned to "General". The "General" primary 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. Gaps have been left between primary numbers for expansion purposes.

Each primary 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** to other primaries are listed under the scope note.

As a commission 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).

Secondaries:

Secondaries are the most specific level of file structure. Frequently used secondary subjects have been listed. Commissions will use these standard subjects, and assign numbers to them as required. If a subject is missing from the list, contact the Provincial Archives for retention schedule information.

Each secondary has a two digit number that is added to the four digit primary number to create the entire file number. For example, 0125-20 represents the specifically named file for an association or club or society within the Associations, Clubs and Societies primary of the Administration and Leadership Planning main group.

The secondary number, -01, is consistently used in all primaries as well as -20 numbers and above for case files. They are defined as follows:

-01 General – records of a general nature documenting information relative to that primary, but which do not require their own specific secondary number. The general number is used until sufficient volume on one topic (approx. 5-10 records) is generated to create the new secondary/subject.

-20 Case files – usually consist of many different files or volumes, each containing records that are about a specific event, person, meeting, project, etc. Case files generally contain the same type of information or forms from file to file. Example of case files are employee files, organized by either name or employee number. Case files may also have their own unique numbering system, e.g. employee numbers, policy numbers, building permit numbers, which can easily fit into the overall classification scheme.

The secondary number may also have a code assign to its number and occasionally may be further subdivided into a tertiary number. They are defined as follows:

Code – is used in conjunction with the primary and secondary number; can be letters and/or numbers used to abbreviate the proper name (such as an acronym) and are used with a forward slash (/) separating the secondary number from the code. Codes can be used for any secondary number. Here are some examples:

- 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

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

Tertiary Number- used when a secondary subject requires further breakdown such as 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.

A **complete file number** consists of the primary and secondary number including the code and tertiary number, if applicable.

Retention and Disposition Schedules

The *Archives Act* assigns the Provincial Archivist with various duties which includes

"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* 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.

An approved records retention and disposition schedule is a legal document which establishes a time table for the life of records to meet legal, administrative, fiscal or historical requirements. The schedule determines the length of time the records should be maintained in the office (the active period); the length of time the records should be stored in a storage facility (the semi-active period); and the final disposition. The final disposition may be either destruction or transfer to the care, custody, and control of the Provincial Archives for destruction after selection or retention as a permanent record.

The retention period is applied to the official records; copies of records held by various offices for reference or convenience purpose, can and should be destroyed as soon as no longer needed and it should not exceed the total retention period.

Each secondary within the DPCRA has been assigned a retention period for each of its phases. The three phases of a record life cycle are:

Active Period (A)

The column labeled “A” refers to the active period of time the records are referred to and required constantly in the conduct of daily business. They are retained in the active office equipment and space of the user. **Rule of thumb:** a series of records is consider to be active when the retrieval/reference is more than one reference per linear foot (30 cm) per month.

The retention periods for active records are found under the column labeled **A**. A trigger will indicate when a file is closed. The triggers are found in the footer of the file classification plan and are described as follows:

Cy = Calendar year – Refers to January 1 to December 31

Fy = Fiscal year – for planning commissions, is established as 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 schedule.

The retention period trigger is generally 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 Fy+1y (fiscal year + 1 additional year).

Semi-Active Period (SA)

Records which are not frequently required and which need not be maintained in office space may be sent to a less expensive storage facility. These records may still have an administrative, operational or legal value for the commission. **Rule of thumb:** a series of records is considered semi-active when the retrieval/reference is normally less than one reference per one linear foot (30 cm) per month.

A storage facility is used to stored records that are no longer required in cabinets. These records are stored in boxes, by year of final disposition. 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 until final disposition.

The column labeled “**SA**” refers to the period of time (in years) the records are to be stored. 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 disposition 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 DPCRA primary 1475. A template form has been provided, see *Appendix D, Records Destruction Form*. Commissions are responsible for making the appropriate arrangements for the secure destruction or deletion of records
- 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 or none or all of them. See *Appendix C, Transfer of boxes to Provincial Archives*.
- 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 images, and the hard copy destroyed. See *Appendix C, Transfer of boxes to Provincial Archives*.

How do I read a retention schedule?

Below is an example from the Finance section:

0715 ACCOUNTS PAYABLE

		A	SA	FD
	-20	Fy+1y	5y	D

This schedule indicates that the files for “payables” classified under 0715-20 will be kept for the fiscal year (December 31) plus ONE additional fiscal year, followed by a FIVE year period in a storage facility (in boxes per fiscal year). At the end of the FIVE years, (December 31 or January 1 of the following year) the entire box will be destroy. Prior to destruction, a summary list of the content is done using the *Records Destruction Form* (see Appendix D). The completed form is kept in DPCRA primary 1475.

Here is an example of the calculation for 0715-20 (payables) for the fiscal year 2005.

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

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

Final Disposition: D= January 2012

How to use this File Classification Plan

This standard file classification plan will assist in the maintenance of an effective records management program in any commission. 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 periods and disposition.

Each commission should create a file list, based on the DPCRA File Classification Plan, which reflects actual files held by the commission. This list which can consist of an extraction of the DPCRA 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 Recorded Information Management Unit of the Provincial Archives. Changes and adaptations are possible but remember that the document has to fit all commissions.

Other Components of the DPCRA:

Index:

The index includes a list of subjects, key words, cross references and common synonyms arranged in alphabetical order which point to a primary number. Commissions may add to this index.

Please remember that the Commission 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 of terms, see Appendix A, 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, see Appendix B, and send it to the e-mail address indicated when a change is required in the DPCRA File Classification Plan. A change can include additions or deletions of subjects, or a modification to a retention period.

Transfer 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, 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 DPCRA primary 1475.

Retention of Computer System Backups:

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

Section 1

0100 – 0499

ADMINISTRATION AND LEADERSHIP PLANNING

This section covers a wide variety of subjects relating to administrative and managerial services; associations; meetings and committees of the Commission; and other committees, conferences, meetings, etc. Also includes governmental relations and liaison; plans and programs; and emergency planning and disaster planning.

Primary Numbers and Primary Subjects

0100	Administration and Leadership Planning - General
0120	Appreciations, Complaints and Inquiries
0125	Associations, Clubs, Societies
0150	Board of Directors
0160	Committees and Commissions
0170	Conferences, Meetings, Symposia and Workshops
0185	Emergency Planning and Disaster Recovery
0230	Governmental Relations
0300	Management and Professional Services
0310	Plans and Programs
0320	Policies, Procedures and Guidelines
0365	Reports and Statistics

0100 ADMINISTRATION AND LEADERSHIP PLANNING - GENERAL

Consists of records of a general nature relating to the leadership and management of the Commission not found elsewhere in Section 1. Includes organizational charts and material relevant to organizational structure; visits and tours of dignitaries and/or groups of individuals; contributions made to special causes supported by the Commission such as fundraising for United Way, and blood donor clinic; development and/or participation in exhibits, fairs, shows, and trade events.

			A	SA	FD
0100	-01	General	Cy+1y	0y	D
		Appointment Books, Calendars, and Diaries NOTE: Diaries relating to specific subjects should be classified under the appropriate subject	Cy+1y	0y	D
		Campaigns and Canvassing	Cy+1y	0y	D
		Exhibits, Fairs, Shows, and Trade Events	Cy+1y	0y	D
		Organizational Charts	SO	0y	SR
		Social Events, Celebrations and Ceremonies	Cy+1y	0y	SR
		Visits and Tours	Cy+1y	0y	D

0120 APPRECIATIONS, COMPLAINTS AND INQUIRIES

Includes general letters of appreciation, complaint, condolence, congratulation, and criticism; inquiries and invitations from the public, private organizations, and government organizations regarding services performed by the Commission.

For language related complaints, see primary 1025.

For complaints and inquiries relating to a specific subjects, see appropriate subject file.

NOTE: Petitions should be classified in the appropriate subject file.

			A	SA	FD
0120	-01	General	Cy+1y	0y	D
		Appreciations and Condolences	Cy+1y	0y	D
		Complaints and Inquiries	Cy+1y	2y	D
		Invitations and Congratulatory	Cy+1y	0y	D

0125 ASSOCIATIONS, CLUBS, SOCIETIES

Consists of records relating to the Commission's participation in the functions of outside organizations for reasons of mutual professional interest, individual, or corporate/board membership such as federations, foundations, institutes, leagues and orders. Includes membership fees, notices of meetings, agendas, minutes, reports, financial statements/budgets, and newsletters/bulletins.

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

			A	SA	FD
0125	-01	General	Cy+1y	0y	D
	-20	Association, Club or Society (alpha by organization name)	Cy+1y	2y	D

**A=Active (in office) SA=Semi-active FD=Final Disposition of inactive records
SO=Superseded / Obsolete or as defined y=year Fy=Fiscal Year Cy=Calendar year
D=Destroy SR=transfer to Provincial Archives for selective retention
AR=transfer to the Provincial Archives for permanent retention**

0150 BOARD OF DIRECTORS

Consists of records relating to the Board of Directors. Includes meeting agendas, minutes, appointments/members, and background information relevant to the Board's agenda items and material tabled at the meeting.

For disclosure/conflict of interest of employees, see primary 1000.

For committees, see primary 0160.

			A	SA	FD
0150	-01	General	Cy+1y	0y	D
		Disclosure/Conflict of Interest of Board Members <i>SO = until replaced</i>	SO	2y	D
		Appointments of Commissioners <i>SO = for term of appointment</i>	SO	5y	SR
		Recordings of Meetings	Cy+2y	0y	SR
		Roles and Responsibilities of Board Members <i>SO = until replaced</i>	SO	2y	SR
	-20	Meetings (minutes, agendas, reports, etc.) (by date)	Cy+4y	10y	AR

0160 COMMITTEES AND COMMISSIONS

Consists of records relating to the establishment, organization, and functions of external and internal boards, commissions, committees, councils, groups, panels, sub-committees, task forces, and working groups. Includes agendas, notices of meetings, minutes, reports, and correspondence. May also include verbatim excerpts.

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

For governmental relations, see primary 0230.

			A	SA	FD
0160	-01	General	Cy+1y	0y	D
	-20	Committees (alpha by committee name)	Cy+2y	4y	SR
	-30	Commissions (alpha by commission name)	Cy+2y	4y	SR
	-40	Other (alpha by name)	Cy+2y	4y	SR

0170 CONFERENCES, MEETINGS, SYMPOSIA, AND WORKSHOPS

Consists of records relating to participation in, or the establishment of organizations and functions of conferences, meetings, symposia, workshops and seminars. Includes agendas, notices, minutes, reports, and correspondence.

For associations, clubs and societies, see primary 0125.

For committees, see primary 0160.

			A	SA	FD
0170	-01	General	Cy+1y	0y	D
	-20	Event (alpha by event name, date)	Cy+1y	2y	D

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0185 EMERGENCY PLANNING AND DISASTER RECOVERY

Consists of records relating to planning for emergencies such as earthquakes, fires, floods, hurricanes, tornadoes, vandalism, terrorism, and epidemics. Includes disaster plans, recovery plans, emergency-preparedness plans, and emergency-response plans.

For essential records planning, see primary 1475.

For emergency/fire drills, see primary 0500.

For development of policies and procedures to prepare and assist staff in the event of a disaster, see primary 0320.

For emergency evacuation procedures, see primary 0320.

			A	SA	FD
0185	-01	General	Cy+1y	2y	D
		Disaster Recovery Plans	SO	4y	D
		Emergency Planning	SO	4y	D

0230 GOVERNMENTAL RELATIONS

Consists of records of governmental relations with all levels such as municipal, provincial/territorial, federal, First Nations, International Agencies, Universities, Colleges and Schools, Health boards, etc. Liaison activities includes the exchange of information, routine notifications and inquiries, and offer of services.

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

			A	SA	FD
0230	-01	General	Cy+1y	1y	D
	-20	Municipal (alpha by name)	Cy+1y	4y	D
	-30	Provincial/Territorial Department (alpha by name)	Cy+1y	4y	D
	-40	Federal Department (alpha by name)	Cy+1y	2y	D
	-50	Other (alpha by name)	Cy+1y	2y	D

0300 MANAGEMENT AND PROFESSIONAL SERVICES

Consists of records relating to management improvement studies, office surveys, human resource management surveys and studies, and other records relating to the improvement of performance. Includes offers of service presented to the Commission by consulting firms in regards to management and office improvement.

			A	SA	FD
0300	-01	General	Cy+1y	1y	D
	-02	Studies and Surveys	Cy+1y	2y	SR
	-20	Consulting Firm (alpha by name)	Cy+1y	2y	SR

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SO=Superseded / Obsolete or as defined y=year Fy=Fiscal Year Cy=Calendar year
D=Destroy SR=transfer to Provincial Archives for selective retention
AR=transfer to the Provincial Archives for permanent retention**

0310 PLANS AND PROGRAMS

Consists of records relating to program planning, coordination, and direction. Includes development and execution of plans in relation to program goals and objectives. Also includes reviews and analysis of plans and programs in general; and planning and analysis of human resource requirements for the organization such as succession planning.

For financial audits, see primary 0745.

For organizational effectiveness studies, see primary 0300.

			A	SA	FD
0310	-01	General	Cy+1y	1y	D
		Branch Work Plans	SO	3y	SR
		Privatization of Programs	SO	3y	SR
		Program Implementations	SO	3y	SR
		Program Reviews/Audits	SO	3y	SR
		Strategic Planning	SO	3y	SR
		Workforce Adjustment Strategy	SO	3y	SR
	-20	Plan or Program (alpha by name)	SO	3y	SR

0320 POLICIES, PROCEDURES AND GUIDELINES

Consists of administrative and operational manuals, bulletins, circulars, directives, instructions, orders, policies, procedures, guidelines, and standards.

			A	SA	FD
0320	-01	General	Cy+1y	4y	SR
	-20	Administrative and Operational Manuals (alpha by name)	SO	4y	SR
	-30	Policies, Procedures and Guidelines (alpha by name)	SO	4y	SR
	-40	Bulletins, circulars, directives, instructions, orders, standards (alpha by name)	SO	4y	SR

0365 REPORTS AND STATISTICS

Consists of records relating to the development of administrative and operational reports and statistics and the annual reports. Includes drafts, supporting documentation, background material, etc.

NOTE: Material relating to a specific subject should be placed in the appropriate subject file.

For financial reports see primary 0940.

			A	SA	FD
0365	-01	General	Cy+1y	1y	D
	-02	Annual Reports	Cy+1y	2y	SR
	-20	Reports and statistics (alpha by name)	Cy+1y	2y	SR

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D=Destroy SR=transfer to Provincial Archives for selective retention
AR=transfer to the Provincial Archives for permanent retention

Section 2

0500 - 0699

BUILDINGS, FACILITIES AND PROPERTIES

This section covers subjects related to the acquisition, rental or lease of accommodation; maintenance, renovations and repairs; and security, parking and utilities. Can also include records of acquisition of properties for construction of a building.

Primary Numbers and Primary Subjects

0500	Buildings, Facilities and Properties - General
0505	Accommodations

0500 BUILDINGS, FACILITIES AND PROPERTIES - GENERAL

Consists of records relating to buildings, facilities, and properties that are not found elsewhere in Section 2. May include cafeteria and eating facilities, emergency/fire drills, conference room/meeting room bookings, and the issuance of identification (ID) cards to personnel.

For building security, see primary 0505.

For security of information, see primary 1490.

			A	SA	FD
0500	-01	General	Cy+1y	1y	D
		Emergency/Fire Drills	Cy+1y	2y	D
		Personnel Security (e.g. ID Pass Cards) <i>SO = until termination of employee</i>	SO	2y	D

0505 ACCOMMODATION

Consists of records relating to the administration of the office accommodation. Includes rental, lease or purchase of space; renovations, maintenance and repairs; space planning; parking availability; physical security of building and space (keys and/or ID card); and the accommodation utilities (air-conditioning / ventilation, heating, lighting, and electrical systems; water and plumbing systems; garbage disposal and recycling program).

For accounts payable, see primary 0715.

For personnel security, see primary 0500.

For security of information, see primary 1490.

			A	SA	FD
0505	-01	General	Cy+1y	1y	D
		Acquisition of Space	SO	3y	SR
		Lease or Rental Space <i>SO = until expiry of lease or rental</i>	SO	3y	D
		Parking	SO+1y	0y	D
		Renovations, Maintenance and Repairs	Cy+1y	2y	D
		Security of Building and Space	SO+1y	0y	D
		Utilities	Cy+1y	2y	D

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AR=transfer to the Provincial Archives for permanent retention**

Section 3

0700 - 0999

FINANCE

This section covers subjects reflecting the receipt, control and expenditure of public funds. Included here are accounts and accounting, audits, banks and banking, taxes, etc.

Primary Numbers and Primary Subjects

0700	Finance - General
0705	Accounting
0715	Accounts Payable
0720	Accounts Receivable
0745	Audits
0750	Banks and Banking
0770	Budgets
0940	Reports, Statistics and Statements
0955	Salaries and Wages
0965	Signing Authorities
0970	Taxes

0700 FINANCE - GENERAL

Consists of records relating to financial management functions not included elsewhere in Section 3. Includes special allowance, vehicle allowances, petty cash and currency exchange rates.

			A	SA	FD
0700	-01	General	Fy+1y	0y	D
		Petty Cash	Fy+1y	5y	D
		Vehicle Allowances	Fy+1y	5y	D

0705 ACCOUNTING

Consists of records relating to the administration of accounting systems and procedures, the classification of accounts, and year-end procedures.

			A	SA	FD
0705	-01	General	Fy+1y	0y	D
		Accounting Codes	SO+1y	0y	D
		<i>SO = until modified or changed</i>			
		Year-End Procedures/Reconciliations	Fy+1	5y	D

0715 ACCOUNTS PAYABLE

Consists of records relating to all payable accounts and fees paid by the Commission including subscriptions, progress reports, employees expenses claims, claims paid by the Commissions and hospitality/business claims expenditures. Includes correspondence, invoices, purchase orders, request for travel, billings, packing slips, claim documents, justifications, approved expense meal receipts, copies of financial transactions and other supporting documentation.

For petty cash, see primary 0700.

For travel regulations, see primary 0320.

			A	SA	FD
0715	-01	General	Fy+1y	0y	D
	-02	Overdue Accounts Reports	Fy+1y	5y	D
	-20	Payables (by name of supplier/customer)	Fy+1y	5y	D
	-30	Travel Expenses (by employee surname)	Fy+1y	5y	D
	-40	Claims (by claimant surname)	Fy+1y	5y	D
	-50	Hospitality/Business Claim (by employee surname)	Fy+1y	5y	D

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0720 ACCOUNTS RECEIVABLE

Consists of records relating to revenue received/collected by the Commission for all services and revenue sources. Includes cost-sharing transactions, grants, cash transactions, claims owed to the Commission, write-offs from outstanding accounts, and uncollectible debts. Also includes the fees for services and permits.

			A	SA	FD
0720	-01	General	Fy+1y	0y	D
		Outstanding accounts	SO	6y	D
			<i>SO = until collection is made or written off</i>		
		Write-offs	Fy+1y	5y	D
	-20	Receivables (by source or type)	Fy+1y	5y	D

0745 AUDITS

Consists of records relating to the administration of financial audits and reviews of agreements, financial procedures, and programs. Includes audits, reports, responses, follow-up and related correspondence.

For program reviews, see primary 0310.

For security audits, see primary 1490.

			A	SA	FD
0745	-01	General	Fy+1y	0y	D
	-02	Audited Financial Statements	Fy+2y	7y	SR
	-20	Audits (by fiscal year)	SO	3y	D
			<i>SO = until audit is completed</i>		

0750 BANKS AND BANKING

Consists of records relating to banking activities and procedures. Includes banking statements and reports, deposit books, transfer of funds, issuance of corporate debit card and credit card, and bank reconciliations.

For payroll registers, see primary 0955.

			A	SA	FD
0750	-01	General	Fy+1y	0y	D
		Bank Deposit Books/Slips	Fy+1y	5y	D
		Bank Reconciliations	Fy+1y	5y	D
		Bank Statements/reports	Fy+1y	5y	D
		Cancelled Cheques	Fy+1y	5y	D
		Cheque Registers	Fy+1y	5y	D
		Corporate Debit Cards/Credit Cards	Fy+1y	5y	D
		Signature Cards	SO	5y	D
		Transfer of Funds	Fy+1y	5y	D

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0770 BUDGETS

Consists of records relating to the budgetary process. Includes planning, estimates, and forecasting for both operating and capital budgets.

NOTE: The District Planning Commissions receive an unconditional grant from the Government of New Brunswick.

			A	SA	FD
0770	-01	General	Fy+1y	0y	D
		Approved Budget (by fiscal year)	Fy+1y	5y	D
		Budgets (by fiscal year)	Fy+1y	5y	D
		Budget Planning	Fy+1y	5y	D
		Unconditional Grant	Fy+1y	5y	D

0940 REPORTS, STATISTICS AND STATEMENTS

Consists of records relating to financial reporting systems, financial management reports, statistics, and statements. Includes working papers, printouts, correspondence, and individual reports.

For annual reports and statistics, see primary 0365.

For Audited Financial Statements, see 0745-02.

			A	SA	FD
0940	-01	General	Fy+1y	0y	D
	-20	Financial Reports, Statistics & Statements (alpha by name and date)	Fy+1y	5y	D

0955 SALARIES AND WAGES

Consists of records relating to salaries and wages paid to employees and to the members of the Board of Directors. Includes payroll registers, records on deductions, adjustments, bonuses, contingency or performance pay, long service pay, and calculations for taxable benefits.

NOTE: Commissions must ensure that record keeping systems are in place for deductions, personnel records, etc., in order to allow destruction of records under this primary.

For records relating to administering benefits, see primary 1020.

For lump sum in lieu of pension, see 1050-45.

For Employee Records, see primary 1050.

			A	SA	FD
0955	-01	General	Fy+1y	0y	D
		Bonuses, Contingent Pay	Fy+1y	6y	D
		Deductions (e.g. Canada Savings Bonds, EI, Income Tax, RSP's, garnished wages, etc)	Fy+1y	6y	D
		Payroll / Registers	Fy+1y	6y	D
		Salary/Pay Adjustments	Fy+1y	6y	D
		T4s and T4As	Fy+1y	6y	D
		Time Sheets	Fy+1y	6y	D

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0965 SIGNING AUTHORITIES

Consists of records relating to signing authority for financial transactions, procurement, and other spending. Includes authorizations, and signature sample cards.

For bank signing authorities, see primary 0750.

			A	SA	FD
0965	-01	General	Fy+1y	0y	D
		Cancelled Authorities <i>SO = until signing authority changed</i>	SO	6y	D
		Designated Signing Authorities (approval level) <i>SO = until signing authority changed</i>	SO	6y	D
		Signature Cards <i>SO = until signing authority changed</i>	SO	6y	D
		Temporary/Acting Authorities <i>SO = until signing authority changed</i>	SO	6y	D

0970 TAXES

Consists of records relating to taxation matters at all levels of government. Includes Goods and Services Tax (GST), Harmonized Sales Tax (HST), and Customs and Excise Tax.

			A	SA	FD
0970	-01	General	Fy+1y	0y	D
		Customs and Excise Tax	Fy+1y	5y	D
		Goods and Services Tax (GST)	Fy+1y	5y	D
		Harmonized Sales Tax (HST)	Fy+1y	5y	D
		Taxation Bulletins	SO+1y	0y	D

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Section 4

1000 -1299

HUMAN RESOURCES

This section covers subjects relating to employees and human resources. Includes topics such as attendance, leave, holidays, benefits, employee records, labour relations, training of staff, etc.

For salary and wage of employees, see Section 3, FINANCE.

Primary Numbers and Primary Subjects

1000	Human Resources - General
1015	Awards and Honours
1020	Benefits
1025	Bilingualism/Official Languages
1050	Employee Records
1065	Hours of Work and Overtime
1080	Labour Relations
1120	Leave and Holidays
1140	Position Classifications, Reclassifications and Promotions
1160	Retirements and Separations
1170	Staffing
1200	Training and Development
1210	Workplace Harassment and Human Rights Complaints
1215	Workplace Health and Safety

1000 HUMAN RESOURCES - GENERAL

Consists of records relating to the general administration of human resources management activities not shown elsewhere in Section 4.

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

For employee conflict/disclosure of interest, see primary 1050-20.

For appointments of Commissioners, see primary 0150.

For reports and statistics on Bilingualism/Official Languages, see primary 1025.

			A	SA	FD
1000	-01	General	Cy+1y	0y	D
		Acting Appointments	SO+1y	0y	D
		Appointments	SO+1y	0y	SR
		Dress Code	SO+1y	0y	D
		Employee Regulations	SO	5y	D
		Political Activities of Employees	Cy+1y	4y	D
		Reports and Statistics	Cy+1y	4y	SR
		Volunteer Services (to the Commission)	Cy+1y	0y	D

1015 AWARDS AND HONOURS

Consists of records relating to awards and honours for employee contributions to improvements in services, operations, and the working environment.

			A	SA	FD
1015	-01	General	Cy+1y	0y	D
		Awards and Incentives from Other Organizations	Cy+1y	4y	SR
		Employee Recognition Program	Cy+1y	4y	D
		Employee Suggestion Program	Cy+1y	4y	D
		Long Service Award Presentations	Cy+1y	4y	D

1020 BENEFITS

Consists of records relating to the administration of benefits received by employees such as insurance plans, employment insurance, disability, accidental death and dismemberment, life insurance, and family assistance program.

For records relating to payroll deductions, see primary 0955.

			A	SA	FD
1020	-01	General	Cy+1y	0y	D
		Accidental Death and Dismemberment	Cy+1y	2y	D
		Blue Cross (medical/dental/travel)	Cy+1y	2y	D
		Death Benefit	Cy+1y	2y	D
		Disability (long and short term)	Cy+1y	2y	D
		Employee and Family Assistance Program	Cy+1y	2y	D
		Group Life	Cy+1y	2y	D
		Retirement Savings Plans	Cy+1y	2y	D

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1025 BILINGUALISM/OFFICIAL LANGUAGES

Consists of records relating to designation of bilingual staff, reports and studies, assessment levels, requirements for bilingual staff, simultaneous translation and interpretive services. Includes identification of units and number of bilingual employees for each unit.

For language training, see primary 1200.

			A	SA	FD
1025	-01	General	Cy+1y	0y	D
		Complaints	Cy+1y	4y	D
		Linguistic Profiles	SO	4y	SR
		Reports and Studies	Cy+1y	0y	SR

1050 EMPLOYEE RECORDS

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

- employee history,
- employee benefits and deductions,
- employee performance.

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

NOTE: Commissions may file records relating to employee training, and performance appraisals in the employee history file **but must** apply the assigned retention period as per primary 1200 or 1050-50.

For employee accident and personal injury claims, see 1050-30.

For employee performance appraisals and reviews, see 1050-50.

For employee work plans, see 1050-55.

For records relating to employee history, see 1050-20 and 1050-25.

For records relating to employee benefits and deductions, see 1050-40.

For records relating to employee disciplinary action, see 1050-60.

For personal service contracts, see 1050-20.

For annual lump sum in lieu of pension, see 1050-45.

1050-20 to 1050-30 Employee History

Records relating to the employment history of a commission employee from the employee's commencement date until the employee's departure date. Includes acceptance and appointment documentation; positional information; salary and wage information; and accidents and ability to work.

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Examples: birth certificates/proof of age, applications for employment, résumés, Oath of Office forms, letters of offer, letters of appointment, TD1 forms, employment extension forms, acceptance cards, Conflict of Interest forms, Equal Employment Opportunity forms, educational degrees, licenses, and certifications required for the position, long-term sick leave forms, print-outs of long-term leave screens, long-term education leave forms, address and name change documents, Employee Linguistic Preference and Language Capability forms, leave without pay forms, pay increases from promotion and reclassification, copies of grievance decisions affecting pay, copies of disciplinary action for harassment affecting pay, letters of commendation, long service awards, letters of appreciation, layoff notices, letters of resignation, retirement letter, records of employment, employee summary sheets, criminal security checks, employee incident reports, employee accident reports, completed Worksafe NB accident forms, claims, letters of acceptance/decline from Worksafe NB, cost of claim reports, claim decisions, appeals, challenges.

For employee leave and holiday requests, see primary 1120.

For records relating to competitions, see primary 1170.

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

For records relating to administering grievances, see primary 1080.

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

NOTE: When an employee transfers to and from a Commission, a copy of the employee history and employee benefits and deductions components of the official employee record should be transferred to the new employer.

			A	SA	FD
1050	-20	Employee history of permanent, term/personal service contract position, casual, secondment, and seasonal employees (alpha by employee surname) <i>SO = until employee terminates employment</i>	SO+1y*	age 70	D
	-25	Employee history of students and work term employees (alpha by employee surname)	Cy+1y	6y	D
	-30	Accident and personal injury claims (alpha by employee surname/by Worksafe NB claim number)	Cy+2y	4y	D

* The employee history file will be retained as "active" for the period of employment plus **one additional year** past the separation or termination date; or retained for **five years** by the organization following the settlement of any dispute or litigation.

1050-40 Employee Benefits and Deductions

Records relating to the management of insured benefits from commencement date until departure date. Include information on group life, death, disability, accidental death and dismemberment, and travel insurance. Also includes correspondence relative to deductions, insured benefits, application and change forms for all insured benefits, correspondence relating to individual employees' insured benefits, long-term disability correspondence, and annual lump sum in lieu of pension and waiver information.

Examples: income tax deductions, long-term disability and life insurance employer/employee statements, third party requests for deductions, continuation of insured benefits forms, beneficiary forms, dependents listed on insurance form, retirement allowance documentation, buy-back estimates, voided cheques for direct deposit of pay, Payroll Savings Program deductions, Group RSP (Retirement Savings Plan).

For payroll reports and registers, see primary 0955.

For records related to administering benefits, see primary 1020.

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			A	SA	FD
1050	-40	Benefits (alpha by employee surname) <i>SO = until employee terminates employment</i>	SO+1y*	age 70	D
	-45	Annual Lump Sum in lieu of pension (alpha by employee surname)	SO+1y*	age 70	D

* The employee benefits and deductions file including the annual lump sum in lieu of pension will be retained as "active" for the period of employment plus **one additional year** past the separation or termination date; or retained for **five years** by the organization following the settlement of any dispute or litigation.

1050-50 to 1050-60 Employee Performance

Consist of records relating to the management of employee's performance. Include records on self-development and training initiatives and/or enhancements undertaken and reported by an employee, employee attendance reports, and disciplinary actions.

Examples: training certificates, performance appraisals, performance reviews, work plans, perfect attendance letters, probation period notices, probation correspondence.

For records relating to administering grievances, see primary 1080.

For records relating to adjudication decisions, see primary 1080.

NOTE: Copies of decisions/actions affecting an individual employee's pay must be placed in the employee history record 1050-20 or 1050-25 for students and work term employees.

			A	SA	FD
1050	-50	Performance Appraisals and Reviews (alpha by employee surname)	Cy+5y*	0y	D
	-55	Work Plans (alpha by employee surname)	SO+1y	0y	D
	-60	Disciplinary Action (alpha by employee surname)	SO+1y*	0y	D

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

1065 HOURS OF WORK AND OVERTIME

Consists of records relating to hours of work, work schedules, flexible hours, time off to vote, time off for special occasions, compressed work week, early closing and overtime, including compensation.

For leave records, see primary 1120.

For time sheets, see primary 0955.

			A	SA	FD
1065	-01	General	Cy+1y	0y	D
	-02	Compensation-In-Lieu	Cy+1y	2y	D
	-20	Hours of Work and Overtime (by administrative unit)	Cy+1y	2y	D

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1080 LABOUR RELATIONS

Consists of records relating to employee/management relations and services. Includes guidelines, interpretation and negotiation of collective agreements; bargaining agents and contract negotiations; terms and conditions of employment for non-bargaining employees; method and procedures for handling grievance and complaints about labour relations issues; and grievance adjudication of an employee's complaint under the *Public Service Labour Relations Act*.

NOTE: Collective agreements may regulate the retention and disposition of disciplinary actions, in which case the collective agreement takes precedence.

For disciplinary action by employer see 1050-60.

			A	SA	FD
1080	-01	General	Cy+1y	0y	D
		Designated Employees	SO+1y	0y	D
		Essential Services	SO+1y	0y	D
		Seniority Lists	SO+1y	0y	D
		Strikes and Work Stoppages	SO+1y	0y	D
		Union Issues	SO+1y	0y	D
	-20	Collective Agreement (by bargaining unit) <i>SO = until contract/agreement expired</i>	SO	10y	D
	-30	Grievances (alpha by employee surname or by union local)	Cy+1y	6y	D
	-40	Adjudication (by decision)	SO+1y	0y	D

1120 LEAVE AND HOLIDAYS

Consists of records relating to vacation, illness, and special types of leave. Includes leave of absence, education leave, prepaid leave, leave without pay, designated paid holidays, deferred salary leave, bereavement, family illness, parental leave, and attendance summary reports.

NOTE: Copies of leave records affecting pay must be placed in the employee history record, 1050-20 or 1050-25 for students and work term employees.

			A	SA	FD
1120	-01	General	Cy+1y	0y	D
	-20	Record of Absence (monthly by administrative unit)	Cy+1y	2y	D

1140 POSITION CLASSIFICATIONS, RECLASSIFICATIONS AND PROMOTIONS

Consists of records relating to the classification of new positions, reclassifications, and promotions by category, or position number within the organization. Includes specifications to provide guidance in evaluating positions and responsibilities; classification of positions and employees; job descriptions; class specifications; appeals and outcomes; and reviews for reclassifications.

For employee performance appraisal and work plans, see primary 1050-50 and 1050-55.

			A	SA	FD
1140	-01	General	Cy+1y	0y	D
	-20	Position/Job Descriptions (by title or position number) <i>SO = until position ceases to exist</i>	SO+1y	0y	D

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1160 RETIREMENTS AND SEPARATIONS

Consists of records relating to the administration and management of employee retirements and separations. The term "separations" includes lay-off, abandonment of positions, resignations. Also includes programs such as early retirement, severance, workforce adjustment.

NOTE: Individual employee retirement and separation records are placed in the employee record 1050-20 or 1050-25 for students and work term employees.

			A	SA	FD
1160	-01	General	Cy+1y	0y	D
		Early Retirement Programs	SO+1y	0y	D
		Layoffs/Termination Lists	Cy+1y	0y	D
		Resignations	Cy+1y	0y	D
		Retirement Program	SO+1y	0y	D
		Severance Program	SO+1y	0y	D
		Workforce Adjustment Program	SO+1y	0y	D

1170 STAFFING

Consists of records relating to the administration of staffing positions, competitions and recruitment, and the hiring of term and summer employees. Includes Plan of Establishment; job sharing, job shadowing and job rotation; secondments; seasonal employment; competitions and recruiting files with interview formats, questions and eligibility lists; and the hiring of term employees and summer students from programs such as affirmative action, co-op work programs, and job creation programs.

For employee records, see primary 1050.

For salary & wage records, see primary 0955.

			A	SA	FD
1170	-01	General	Cy+1y	0y	D
		Advertising of Positions	Cy+1y	5y	D
		Hiring of Term and Summer Employees	Cy+1y	5y	D
		Job Rotation/Job Sharing	Cy+1y	0y	D
		Job Shadowing	Cy+1y	0y	D
		Plan of Establishment	SO	3y	SR
		Positions Filled by Direct Recruitment	Cy+1y	5y	D
		Seasonal Employment	Cy+1y	0y	D
		Secondments/Transfers	Cy+1y	0y	D
		University Recruitment	Cy+1y	5y	D
		Unsolicited Résumés	Cy+1y	0y	D
	-20	Competitions (by position number)	Cy+1y	5y	D

1200 TRAINING AND DEVELOPMENT

Consists of records relating to the administration of training and development activities and functions including career management. Includes training budget, employee orientation program, planning and scheduling of training activities, types of courses, course content and brochures, attendance records, evaluation reports, and language-training courses.

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For conferences, seminars, symposia and workshops, see primary 0170.

			A	SA	FD
1200	-01	General	Cy+1y	0y	D
		Career Management	Cy+1y	0y	D
		Educational Leave	Cy+1y	0y	D
		Employee Orientation	Cy+1y	0y	D
	-20	Course (alpha by name)	SO+1y	0y	D
	-30	Employee Training (alpha by employee surname) <i>SO = until employee terminates employment with the Commission</i>	SO+1y	0y	D

1210 WORKPLACE HARASSMENT AND HUMAN RIGHTS COMPLAINTS

Consists of records relating to workplace harassment and human rights complaints filed against the Commission and/or an employee of the Commission. Includes inquiries, complaints, background material, investigation notes, investigation reports, recommendations, decisions and correspondence.

			A	SA	FD
1210	-01	General	Cy+1y	0y	D
	-20	Complaints and Investigations (alpha by claimant surname) <i>SO = until investigation completed or complaint resolved</i>	SO+6y	0y	D

1215 WORKPLACE HEALTH AND SAFETY

Consists of records relating to the workplace health and safety programs in the Commission. Includes matters such as fire protection programs, smoking in the work place, hazardous materials programs, working alone programs, job safety, and first aid.

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

For employee Worker' Compensation claims, see 1050-30.

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

For records relating to physical security, see primary 0500.

			A	SA	FD
1215	-01	General	Cy+1y	0y	D
		Air Quality	SO+1y	0y	D
		Communicable Diseases in the Workplace	SO+1y	0y	D
		Ergonomics	SO+1y	0y	D
		Job Safety Programs	SO+1y	0y	D
		Responsibilities and Violations	SO+1y	0y	D
		Scent Free /Scent Reduced Environment	SO+1y	0y	D

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Section 5

1300 – 1599

INFORMATION MANAGEMENT AND TECHNOLOGY

This section relates to the planning, creation, access, control, distribution, retention, protection and disposition of information resources in all formats and medium. Includes records concerning the design, architecture, implementation and maintenance of information systems, systems management and other services such as communications, networks, etc.

Primary Numbers and Primary Subjects

1300	Information Management and Technology - General
1310	Access to Information and Protection of Privacy
1345	Electronic Communication
1380	Information Services
1420	Information Technology Systems and Applications
1450	Mail, Postal, and Courier Services
1475	Records and Information Management
1490	Security of Information

1300 INFORMATION MANAGEMENT AND TECHNOLOGY - GENERAL

Consists of records relating to information management and information technology not found elsewhere in Section 5. Includes activities such as collection development, subscription, and interlibrary loans related to library and resource centre material; and the analysis, design, use, control, identification, authorization, and preparation of forms.

			A	SA	FD
1300	-01	General	Cy+1y	0y	D
		Correspondence Management	SO+1y	0y	D
		Circulation/Reading/Information Material NOTE: Only copies of circulation/reading/information material are filed in this primary. Official (original) records are placed in the appropriate subject file.	Cy+1y	0y	D
		Forms Management	SO+1y	0y	D
		Library and Resource Centre	SO+1y	0y	D

1310 ACCESS TO INFORMATION and PROTECTION OF PRIVACY

Consists of records relating to the administration and management of information and privacy issues. Includes requests made to the Commissions under access legislation.

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

			A	SA	FD
1310	-01	General	Cy+1y	0y	D
	-20	Access Requests	SO	7y	D
	-30	Appeals to Commissioner <i>SO = until appeal is complete</i>	SO	7y	D
	-40	Privacy Issues (alpha by applicant and/or subject) <i>SO = until resolved</i>	SO	7y	D

1345 ELECTRONIC COMMUNICATION

Consists of records relating to the management and use of electronic communication. Includes e-mail, instant messaging and voice mail.

For procurement of equipment, see primary 1900.

			A	SA	FD
1345	-01	General	Cy+1y	0y	D
		Legal Concerns	SO+1y	0y	D
		Storage Issues	SO+1y	0y	D
		Usage/Statistical Reports	SO+1y	0y	D

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1380 INFORMATION SERVICES

Consists of records relating to the general administration of public relations and public affairs. Includes newsclippings of current issues and public services notices; production of audio visual presentation such as films, photos, slide shows, video tapes and other audio visual aids; printing, binding, sale and distribution of all published materials produced by the Commission, such as books, plans, maps, drawings, brochures, pamphlets, newsletter, etc; and speeches, lectures, presentations, and addresses given by officials or delegates.

NOTE: Press releases, newspaper clippings and public service notices may also be placed in the appropriate subject file.

For appreciations, complaints of a general nature, and general inquiries, see primary 0120.

For inquiries or complaints relating to a specific subject, see appropriate subject file.

			A	SA	FD
1380	-01	General	Cy+1y	0y	D
		Advertising Projects	SO+1y	0y	D
		Biographies	Cy+1y	0y	SR
		Mailing Lists/Distribution Lists	SO+1y	0y	D
		Newspaper Clippings	Cy+1y	0y	D
		Press releases/Press Conferences	Cy+1y	0y	D
		Publications Inventory/Publications List	SO+1y	0y	D
	-20	Audio Visual Production (alpha by project name)	SO	6y	SR
	-30	Photographs (alpha by subject)	SO+1y	0y	SR
	-40	Publications (alpha by name)	SO	3y	D
	-50	Speeches/Presentations/Lectures/Addresses (alpha by author surname and date)	Cy+1y	4y	SR

1420 INFORMATION TECHNOLOGY SYSTEMS & APPLICATIONS

Consists of records relating to the acquisition (or licensing) of software applications and systems; development and administration of business applications that support the operations of the Commission; and information technology such as operating systems, networks, servers, storage and the ongoing administration, maintenance and management of systems. Included here are backup logs, business cases, project charters/plan deliverables, change requests, services requests, project plan, evaluation reports, status reports, sign-off documentation, tracking reports, service level agreements, studies, requests for proposals, system requirements, planning, design, development (both contracted and in-house), testing, implementation, upgrades and conversions, systems documentation, operating manuals, and guidelines.

NOTE: The successful response of an RFP or RFI must be placed in the appropriate system / application project file.

NOTE: Prior to destruction of data stored within the systems, please contact records.centre@gnb.ca

For acquisition of hardware, see primary 1900.

For inventories, see primary 1810.

For disposal of assets, see primary 1810.

**A=Active (in office) SA=Semi-active FD=Final Disposition of inactive records
SO=Superseded/Obsolete or as defined y=year Fy=Fiscal Year Cy=Calendar year
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AR=transfer to the Provincial Archives for permanent retention**

			A	SA	FD
1420	-01	General	Cy+1y	0y	D
		Date Issues (e.g. Y2K, leap years, date conversion) <i>SO = until issue resolved</i>	SO+1y	0y	D
		Back-ups <i>SO= until backup records are no longer required for system recovery</i> <i>See Appendix E for more detailed information</i>	SO	0y	D
		Requests for Proposal (RFP) or Requests for Information (RFI) <i>SO = until contract is awarded or tender is closed</i>	SO+2y	0y	D
		Software and Hardware Literature	SO+1y	0y	D
	-20	Software (alpha by name) <i>SO = until system retired or replaced</i>	SO+2y	0y	D
	-30	System/Application (alpha by supplier or by application name) <i>SO = until application/system retired or replaced</i>	SO	6y	D
	-40	System documentation (alpha by name)	SO+1y	0y	D
	-50	Maintenance (alpha by system name)	Cy+1y	4y	D

1450 MAIL, POSTAL AND COURIER SERVICES

Consists of records relating to postal and private courier services. Includes material of Canada Post, mail delivery systems, postal regulations, reports on lost or damaged goods, and service interruptions (strikes).

			A	SA	FD
1450	-01	General	Cy+1y	0y	D
		Courier Services	Cy+1y	0y	D
		Mail Logbooks	Cy+1y	0y	D
		Mail Reports	Cy+1y	0y	D

1475 RECORDS AND INFORMATION MANAGEMENT

Consists of records relating to the management of recorded information, regardless of format, from its creation to final disposition or through its life cycle. Includes analysis, design, use and control of classification plans and data standards; consultations, interviews, and liaison activities; project plans, schedule development designs and schedule approval process; records conversion process; retrieval requests and returns; storage facilities; transfer or secure destruction of records; micrographic and imaging programs; and identification of essential records vital to the re-establishment of the Commission in the event of a disaster.

For records relating to acquisition, development and management of information systems, see primary 1420.

For general information relating to technology, see primary 1420.

For emergency/disaster planning, see primary 0185.

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			A	SA	FD
1475	-01	General	Cy+1y	0y	D
		Archives' Services	SO	4y	D
		Essential (vital) Records Lists	SO	4y	SR
		File Classification System	SO	5y	SR
		Information Disaster Planning and Recovery	SO	4y	D
		Long Range Planning	Cy+1y	4y	D
		Records Inventories	SO	5y	SR
		Reports of Records Destroyed In-House	Cy+1y	25y	D
		Semi-Active Storage Requirements	Cy+1y	4y	D
	-20	Micrographic/Imaging Programs (alpha by program name)	SO+1y	0y	D
	-30	Records and Information Management Projects/Programs (alpha by project or program name)	SO+1y	0y	D

1490 SECURITY OF INFORMATION

Consists of records relating to the management of 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: virus warnings, system logs, firewall logs, access rights forms, digital signatures, digital certificates, service level agreements.

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

For records relating to personnel security, see primary 0500.

For security of building and space, see primary 0505.

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 1050-20 or 1050-25 for students and work term employees.

			A	SA	FD
1490	-01	General	Cy+1y	0y	D
		Access Rights	Cy+1y	5y	D
		Data Encryption	SO+1y	0y	D
		Digital Signatures <i>SO = until signing authority changed</i>	SO+1y	0y	D
		Incident Reports	Cy+1y	5y	D
		Information Security Classification	Cy+1y	5y	D
		Security Audits	Cy+1y	5y	D
		Security Clearances/Personal Non-Disclosure Agreements (for non-employee) <i>SO = until agreement expired</i>	SO+1y	0y	D
		System Logs/Audit Logs	SO+1y	0y	D

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SECTION 6

1600 – 1799

LEGAL AND REGULATORY MATTERS

This section covers the area of legal and regulatory services such as regulations and by-laws of the Commission, legal opinions, directors insurance, etc.

Primary Numbers and Primary Subjects

1600	Legal and Regulatory Matters - General
1605	Accidents
1610	Acts and Legislation
1625	Agreements and Contracts
1720	Legal Opinions
1725	Litigation and Claims
1775	Risk Management and Insurance

1600 LEGAL AND REGULATORY MATTERS - GENERAL

Consists of records relating to legal and regulatory services not found elsewhere in this section.

For Acts and Legislation, see primary 1610.

			A	SA	FD
1600	-01	General	Cy+1y	0y	D
		Coat of Arms	SO+1y	0y	SR
		Crests, Emblems, Logos	SO+1y	0y	SR
		Ministerial Order (of the Commission Establishment)	SO+1y	0y	SR
	-20	Legal Matters (alpha by matters name)	SO+1y	0y	SR

1605 ACCIDENTS

Consists of records relating to accidents involving the Commission property, vehicles and equipment. Includes reports and investigations, claims made to the Commission, and related settlement information.

For claims other than accident, see primary 1725.

For claim files of accidents involving employees, see 1050-30.

For policies, procedures and guidelines, see primary 0320.

			A	SA	FD
1605	-01	General	Cy+1y	0y	D
		Incident Reports	Cy+1y	6y	D
		Reports and Statistics	Cy+1y	6y	SR
	-20	Accidents (alpha by claimant surname) <i>SO = until investigation is completed</i>	SO	7y	D

1610 ACTS AND LEGISLATION

Consists of records relating to federal, provincial and municipal acts, bills, regulations, and commission's by-laws. Includes correspondence, working papers and other records leading to amendments.

For interaction with municipal by-laws, see primary 2400.

For policies, procedures and guidelines, see primary 0320.

			A	SA	FD
1610	-01	General	Cy+1y	0y	D
		<i>Community Planning Act</i>	SO	2y	D
	-20	Federal Legislation (alpha by legislation name)	SO	2y	D
	-30	Provincial Legislation (alpha by legislation name)	SO	2y	D
	-40	Commission regulation and by-law	SO	2y	SR

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1625 AGREEMENTS AND CONTRACTS

Consists of records relating to all formal agreements and contracts, whether at the federal, provincial, municipal or foreign government level, or a partnership agreement or contract. Includes contracts for hiring consultant services and the actual terms of the agreement and contract, but not the administrative and operational material generated as a result of the agreement.

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

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

For payments document of consultant, see primary 0715.

For personal service contracts, see 1050-20.

For Zoning Agreements, see primary 2590.

			A	SA	FD
1625	-01	General	Fy+1y	0y	D
	-20	Municipal Agreements and Contracts (alpha by name) <i>SO = until contract/agreement expired</i>	SO	6y	D
	-30	Provincial Agreements and Contracts (alpha by name) <i>SO = until contract/agreement expired</i>	SO	6y	D
	-40	Other Agreements and Contracts (alpha by name) <i>SO = until contract expired</i>	SO	6y	D

1720 LEGAL OPINIONS

Consists of records relating to legal opinions and decisions, prepared or received by municipal staff on a variety of issues and legislation.

NOTE: Legal opinions are placed in the appropriate subject file and copied into this primary.

			A	SA	FD
1720	-01	General	Cy+1y	0y	D
	-20	Opinions (alpha by subject)	SO	2y	D

1725 LITIGATION AND CLAIMS

Consists of records relating to litigation instigated by or against the Commission and claims made by and against the Commission as a result of something other than accidents.

For claim files of accidents involving employees, see 1050-30.

For accident files involving property, see primary 1605.

			A	SA	FD
1725	-01	General	Cy+1y	0y	D
	-20	Litigation (alpha by claimant surname) <i>SO = until litigation is resolved/concluded</i>	SO	6y	D
	-30	Claims (alpha by claimant surname) <i>SO = until claim is resolved</i>	SO	6y	D

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1775 RISK MANAGEMENT AND INSURANCE

Consists of records relating to the management of risk through assessment, risk reduction, and insurance services. Includes risk management surveys, identification of claims exposures and liabilities, recommendations on appropriate risk reduction measures, and reports on actions. Also includes insurance policies, directors insurance, coverage details, and listings of values and assets.

For claims, see primary 1725.

For warranties, see primary 1800.

For benefits to employees, see primary 1020.

			A	SA	FD
1775	-01	General	Cy+1y	1y	D
		Insurance Policies <i>SO=until expiry and settlement of outstanding claims</i>	SO	6y	D
		Studies/Surveys	Cy+1y	2y	SR
	-20	Inspection Analysis (concerning equipment & facilities)	Cy+1y	2y	SR

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Section 7

1800 – 1999

MATERIALS AND ASSET MANAGEMENT

This section covers the functions of procurement, storage and warehousing, issuing, maintaining and repairing and other related subjects, through to the ultimate disposal or write-off of obsolete or surplus materials.

Primary Numbers and Primary Subjects

1800	Materials and Asset Management - General
1810	Asset Control and Inventory
1835	Clothing
1850	Fleet Management
1900	Office Equipment and Supplies

1800 MATERIALS AND ASSET MANAGEMENT - GENERAL

Consists of records relating to the general administration, procurement, use, maintenance, and repair of goods which are not found elsewhere in Section 7.

			A	SA	FD
1800	-01	General	Cy+1y	0y	D

1810 ASSET CONTROL AND INVENTORY

Consists of records relating to the control of fixed and moveable assets and the disposal of assets. Include stock inventory, storage inventory, equipment inventory, computer hardware and software inventory, furniture lists, issuance of supplies, promotional items lists, disposal by auction, tender, etc. of surplus material and equipment, and the sale or destruction of the equipment, materials, supplies, etc.

			A	SA	FD
1810	-01	General	Cy+1y	0y	D
		Asset Transfers	Cy+1y	5y	D
		Disposal of Surplus Assets	Cy+1y	5y	D
		Loss of Assets Reports	Cy+1y	5y	D
	-20	Inventory Reports (by type and/or administrative unit)	SO	6y	D

1835 CLOTHING

Consists of records relating to the purchase and issue of clothing (e.g. uniforms and smocks). Includes records on cleaning and laundering services.

For dress code, see primary 1000.

			A	SA	FD
1835	-01	General	Cy+1y	0y	D
	-02	Cleaning Services	Cy+1y	0y	D
	-20	Itemized Record of Issue (alpha by employee surname) <i>SO = duration of employment</i>	SO+1y	0y	D

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1850 FLEET MANAGEMENT

Consists of records relating to procurement (including tenders), operation, maintenance and repairs, registration and licenses, and storage of fleet vehicles.

For insurance of fleets, see primary 1775.

For inventory of assets, see primary 1810.

			A	SA	FD
1850	-01	General	Cy+1y	0y	D
		Employee Use of Vehicles	Cy+1y	0y	D
		Rental/Leasing of Vehicles	Cy+1y	0y	D
	-20	Vehicle (by asset number) <i>SO = until vehicle is disposed</i>	SO	6y	D

1900 OFFICE EQUIPMENT AND SUPPLIES

Consists of records relating to the procurement (including tender information) and maintenance & repair of equipment, furnishings, and supplies. Includes the procurement, guarantees and warranties of computer hardware, photocopiers, facsimile, desks and chairs; laboratory, microfilm and audio visual equipment; building materials; communications equipment such as cellular phones, two way radios, pagers; printing; and procurement of stationery, pens, pencils, markers, staples, business cards, pins, badges, promotional items, etc. Also includes leasing or rental information; and the installation, operation and use of furniture, equipment and communication systems.

For computer software acquisition, see primary 1420.

For invoices, see primary 0715.

			A	SA	FD
1900	-01	General	Cy+1y	0y	D
		Computer Licensing Agreement and Warranties <i>SO = until agreement expired or life of warranty expired</i>	SO+1y	0y	D
		Guarantees and Warranties <i>SO = until expired or asset is disposed, transferred or disposed</i>	SO+1y	0y	D
		Service Maintenance Agreements <i>SO = until agreement expired</i>	SO+1y	0y	D
	-20	Equipment and Furniture Purchase (alpha by type or by supplier)	Fy+1y	5y	D
	-30	Equipment and Furniture Leased/Rented (alpha by type or by supplier) <i>SO = until lease/rental terminates</i>	SO	6y	D
	-40	Supplies and Other Purchases (alpha by type or by supplier)	Fy+1y	5y	D

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Section 8

2000 - 2699

DPC OPERATIONAL RECORDS

This section deals with operational records of the Commissions as per the *Community Planning Act*. Includes records related to amalgamation, annexation, census and population; land planning, building controls, and development; municipal plans and rural plans; and zoning controls.

Primary Numbers and Primary Subjects

2000	DPC Operational Records - General
2400	Planning and Development - General
2415	Building Controls
2490	Municipal Plan
2495	Rural Plan
2500	Subdivisions
2570	Zoning Control - General
2585	- Violations
2590	- Zoning Changes/Municipal Plan/Rural Plan

2000 DPC OPERATIONAL RECORDS - GENERAL

Consists of records of a general nature relating to the operations of the Commission which are not found elsewhere in Section 8. May include subjects such as amalgamations/annexation, integration of services, boundaries and maps, and census/population.

			A	SA	FD
2000	-01	General	Cy+1y	4y	D
		Amalgamations/Annexations	Cy+1y	4y	SR
		Census/Population	Cy+1y	4y	D
		Reorganization/Restructuring	SO+1y	0y	SR

2400 PLANNING AND DEVELOPMENT - GENERAL

Consists of records relating to general planning and development activities of the Commission and transactions with the various municipalities regarding by-laws. May include subjects related to Local Services Districts, development specifications, and reports and statistics.

			A	SA	FD
2400	-01	General	Cy+1y	4y	D
		Municipal By-laws	SO	5y	D
		Development Specifications	SO+1y	4y	D
		Local Service Districts	Cy+1y	4y	D
		Reports and Statistics	Cy+1y	4y	SR

2415 BUILDING CONTROLS

Consists of records relating to building controls. Include records such as the application, approvals, building construction, permits, fees, inspection and reports. May include application and permit, drawings provided by applicant, water and sewer hookup applications, wiring permits, complaints, terms and conditions of building, setback and demolition, general inspection, and records of unsightly premises as well as building violations.

For zoning variance approvals/denials, see primary 2570.

For zoning control violations, see primary 2585.

For amendments to zoning by-law (rezoning), see primary 2590.

For amendments to Municipal Plan, see primary 2490.

For amendments to Rural Plan, see primary 2495.

For subdivision approvals, see primary 2500.

For appointment of building inspectors, see primary 1000.

			A	SA	FD
2415	-01	General	Cy+1y	4y	D
		Building Permit Fees	Cy+1y	5y	D
		Reports and Statistics	Cy+1y	8y	D
		Waiver Records	Cy+1y	8y	D
	-20	Building (by application number or alpha by building name)	Cy+1y	8y	D

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2490 MUNICIPAL PLAN

Consists of records relating to the municipal plan. Includes amendments, advertising, hearings, objections, terms and conditions, approvals, denials, withdrawals, applications, planning reports, PAC reports, zoning agreements (conditions), and resolutions.

For Planning Advisory Committee minutes, see primary 0160.

For zoning changes, see primary 2590.

			A	SA	FD
2490	-01	General	Cy+1y	4y	D
	-20	Amendments (by by-law number)	SO	9y	SR

2495 RURAL PLAN

Consists of records relating to the rural plan. Includes amendments, advertising, hearings, objections, terms and conditions, approvals, denials, withdrawals, applications, planning reports, PAC reports, zoning agreements (conditions), and resolutions.

For Planning Advisory Committee minutes, see primary 0160.

For zoning changes, see primary 2590.

			A	SA	FD
2495	-01	General	Cy+1y	4y	D
	-20	Amendments (by by-law number)	SO	9y	SR

2500 SUBDIVISIONS

Consists of records relating to the planning and development of subdivisions. Includes records such as plans, applications, approvals, comments, complaints, variances and correspondence.

Includes application to subdivide, approvals, rejections, reversals. Also may include records on roads/streets, including access and egress, local improvement agreements, land for public purposes, utilities and services, plans, drawings, specifications, inspections, and release of portions of subdivisions.

For zoning requirements, see primary 2590.

For reports and statistics, see primary 2400.

			A	SA	FD
2500	-01	General	Cy+1y	4y	D
		Subdivision Fees	Cy+1y	5y	D
		Tentative Plans	SO+1y	0y	D
	-20	Subdivisions (alpha by client surname or by number)	Cy+1y	5y	SR

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2570 ZONING CONTROL - GENERAL

Consists of general zoning control activities including variances to zoning control. May include applications for variances, planning reports, PAC recommendations, approval or refusal.

			A	SA	FD
2570	-01	General	Cy+1y	4y	D
		Land Use Planning	Cy+1y	4y	SR
		Mobile/Mini Home Parks	Cy+1y	4y	D
		Signs	SO	4y	D
		Suites (e.g. Garden/Granny/In-law)	Cy+1y	4y	D
	-20	Provincial Planning Appeal Board decision (alpha by applicant's surname)	Cy+1y	4y	D
	-30	Variances (by address)	Cy+1y	4y	D

2585 ZONING CONTROL - VIOLATIONS

Consists of zoning violations. Includes notifications to property owners, complaint information and current status of violation and related correspondence. May include legal opinions and stop work orders.

			A	SA	FD
2585	-01	General	Cy+1y	4y	D
	-20	Violations (alpha by violator's surname) <i>SO = until violation is resolved/concluded.</i>	SO	9y	SR

2590 ZONING CONTROL – ZONING CHANGES/MUNICIPAL PLAN/RURAL PLAN

Consists of records relating to zoning changes. Includes advertising, hearings, objections, terms and conditions, approvals, denials, withdrawals, applications, planning reports, Commission reports, zoning agreements (conditions), and resolutions.

For Planning Advisory Committee minutes, see primary 0160.

For municipal plan, see primary 2490.

For rural plan, see primary 2495.

			A	SA	FD
2590	-01	General	Cy+1y	4y	D
		Developmental Freezes	Cy+1y	4y	D
		Withdrawals	Cy+1y	4y	D
	-20	Rezoning (alpha by by-law number and/or civic address) <i>SO = until rezoning is completed</i>	SO	9y	SR
	-30	Zoning Agreements (Section 39)	SO	9y	SR

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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, facilities, human resources, finance, materials and asset management and information management. Although these records are considered administrative, they may have considerable importance.

See also Operational records.

Archival records – 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 Provincial Archivist under the *Archives Act*. **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.

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, proclamations, employee files). In this manual, the numbers 20, 30, 40 and 50 have been reserved for case 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.

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 help identify and locate a specific file.

Confidential record – a record containing sensitive information that requires extra protection against unauthorized access or disclosure.

Destruction/destroy (D) - a type of “Final Disposition”. The physical disposal of inactive records by shredding, incineration, or recycling methods as indicated by the approved retention schedule. This is the final stage of the records’ life cycle.

Final disposition (FD) – the action taken to dispose of inactive records per the approved retention schedule. It can involve either:

- physical 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 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 as the basis for developing a records management system and can assist in the retention scheduling process.

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.

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.

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.

Record – recorded information, regardless of medium, 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 and the purpose of a group of records (series) and outlines the life cycle of the records. The records retention and disposition schedule is the document that gives the commissions the authority to dispose of records it no longer requires. The *District Planning Commissions Records Authority* contains the Records Retention and Disposition Schedules .
Also known as Retention Schedule.

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

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.

Selective retention (SR) – a type of “Final Disposition”. A process where the Archives assesses records that have been identified for selective retention. Some or all or none of the records may be permanently preserved.

Semi-active records (SA) – records referred to infrequently and are not frequently required by the users. Semi-active records still have value for the commission but should be removed from expensive office space and moved to a low-cost storage facility.

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 with temporary value, which are only required for a limited period of time, 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 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.

See also Transitory/temporary records.

Also known as Background Material.

Appendix B

***Request for Change
District Planning Commissions Records Authority (DPCRA)***

This form should be completed by any user when requesting a change to the contents of DPCRA. 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 DPCRA Coordinator at records.centre@gnb.ca

Primary Number: _____ Subject: _____

Suggested Change:

Reason for Request:

Submitted by: _____

District Planning Commission: _____

Telephone: _____

Date: _____

*Recorded Information Management Unit
Provincial Archives of New Brunswick
230 Hilton Road, P.O. Box 6000
Fredericton, N.B.E3B 5H1
Telephone: 506-453-2897*

Received by: _____

Appendix C

Transfer of boxes to Provincial Archives

Commissions may arrange to have the boxes delivered to the Provincial Archives Records Centre facility but applicable procedures listed below must be followed and Archives must be notified before boxes are sent.

Supplies Required:

1. Standard record boxes, Central Stores stock # 06800
2. Records Transfer List forms, electronic version available at <http://www.archives.gnb.ca/Archives/RecMan.aspx?culture=en-CA> (this form is also available from Central Stores stock # 77-1040)

Please note that the provincial government Central Stores can sell items to commissions. For inquiries on how to purchase, please direct your calls to Central Stores at 453-2466.

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 by years. **DO NOT COMBINE** records with final disposition of SR and AR in one box.

Completing a Records Transfer List (using the electronic version):

Complete the form as per instruction below. For multiple pages of a transfer list, insert row or press the "tab" button. This form is provided in MS Word.

1. Print the completed Records Transfer List and place the copy in the respective box of records.
2. It is recommended that you keep a completed Records Transfer List for your records; to be classified /filed under DPCRA 1475.
3. Fields for completion:
 1. Record Series Title: enter primary's name; re DPCRA Board of Directors, DPCRA Committees and Commissions, etc.
 2. Department: enter Commission name
 3. Branch: enter the branch or section name transferring the records, if applicable.
 4. City/Village
 5. Telephone: enter the telephone number of Records Custodian
 6. Schedule Number: enter primary's number; re DPCRA 0150, DPCRA 0160, etc.
 7. Final Disposition: enter an X or √ in the appropriate box that is either in Select or Archives.
 8. Records Custodian: enter the name of the staff member responsible for the maintenance of the records.
 9. Temporary Box No.: (Optional field) Enter an in-house tracking number developed to track the transfer of records from your commission to the Provincial Archives. A suggested in-house devised tracking system would be to use the year, followed by the next consecutive number (e.g. 2008-01, 2008-02).

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10. Based on the arrangement of the file folders in the box
 - a. File Number: Enter the number given to each file, if there is a number.
 - b. Date of Records From: Enter the date in which the file was opened (i.e. the earliest date in the file).
 - c. Date of Records To: Enter the date in which the file was closed (i.e. the latest date in the file).
 - d. 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 complete the form “*Records Transfer Request*” available at our website (<http://www.archives.gnb.ca/Archives/RecMan.aspx?culture=en-CA>) and sent it to records.centre@gnb.ca.

Pick up of boxes outside Fredericton are done on a semi-annual basis. For urgent requests, please call the manager of Government Records Section at 506-453-2897.

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

Appendix E

Retention of Computer System Backups

Background:

DPC 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** performed for 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 *Access to Information and Protection of Privacy*.

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

Retention Schedule

Backups are to be kept until they are superseded or obsolete (i.e. replaced by a subsequent backup); 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 DPC 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.

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