

1. **2016 INFORMATION MANAGEMENT – CITY OF OTTAWA ARCHIVES
ANNUAL REPORT AND RECORDS RETENTION AND DISPOSITION BY-LAW
2003-527 AMENDMENTS**

**RAPPORT DE 2016 ANNUEL SUR LA GESTION DE L'INFORMATION –
ARCHIVES DE LA VILLE D'OTTAWA ET MODIFICATIONS AU RÈGLEMENT
2003-527 SUR LA CONSERVATION ET LE DÉCLASSEMENT DES
DOSSIERS**

COMMITTEE RECOMMENDATIONS

That Council:

1. Receive this report for information; and
2. Amend the Records Retention and Disposition By-law No. 2003-527 to incorporate the revisions to Schedule “A”, as outlined in this report and more specifically described in the Changes to Schedule A, in Document 6.

RECOMMANDATIONS DU COMITÉ

Que le Conseil :

1. prenne connaissance du présent rapport; et
2. modifie le Règlement no 2003-527 sur la conservation et le déclassément des dossiers, afin d'y intégrer les révisions à l'annexe A énoncées dans le présent rapport et décrites de façon plus précise à la section Changements à l'annexe A du document 6.

DOCUMENTATION/DOCUMENTATION

Manager's report, Legislative Services, Office of the City Clerk and Solicitor,
dated 28 March 2017 (ACS2017-CCS-GEN-0004)

Rapport du Gestionnaire, Services législatifs, Bureau du greffier municipal et de
l'avocat général, daté le 28 mars 2017 (ACS2017-CCS-GEN-0004)

**Report to
Rapport au:**

**Finance and Economic Development Committee
Comité des finances et du développement économique
4 April 2017 / 4 avril 2017**

**and Council
et au Conseil
12 April 2017 / 12 avril 2017**

**Submitted on March 28, 2017
Soumis le 28 mars 2017**

**Submitted by
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Ward: CITY WIDE / À L'ÉCHELLE DE LA VILLE File Number: ACS2017-CCS-GEN-0004

**SUBJECT: 2016 INFORMATION MANAGEMENT – CITY OF OTTAWA
ARCHIVES ANNUAL REPORT AND RECORDS RETENTION AND
DISPOSITION BY-LAW 2003-527 AMENDMENTS**

**OBJET: RAPPORT DE 2016 ANNUEL SUR LA GESTION DE
L'INFORMATION – ARCHIVES DE LA VILLE D'OTTAWA ET
MODIFICATIONS AU RÈGLEMENT 2003-527 SUR LA
CONSERVATION ET LE DÉCLASSEMENT DES DOSSIERS**

REPORT RECOMMENDATIONS

That the Finance and Economic Development Committee recommend that:

- 1. Council receive this report for information; and**
- 2. Council amend the *Records Retention and Disposition By-law No. 2003-527* to incorporate the revisions to Schedule “A”, as outlined in this report and more specifically described in the Changes to Schedule A, in Document 6.**

RECOMMANDATIONS DU RAPPORT

Que le Comité des finances et du développement économique recommande que :

- 1. le Conseil prenne connaissance du présent rapport; et**
- 2. le Conseil modifie le *Règlement n° 2003-527 sur la conservation et le déclassé des dossiers*, afin d'y intégrer les révisions à l'annexe A énoncées dans le présent rapport et décrites de façon plus précise à la section Changements à l'annexe A du document 6.**

BACKGROUND

The purpose of this annual report is to apprise Council on the status of the City's Information Management and Archives programs, summarize the accomplishments and challenges of 2016 and describe some of the work planned for 2017 and beyond.

The practice of annual reporting on the Information Management program to Council started in 2013, when the Office of the City Clerk and Solicitor assumed responsibility for the Information Management (IM) Branch.

In 2016, the City of Ottawa took on the task of reshaping itself with the City Manager's theme of "One City, One Team". These changes streamlined the corporation, putting like business groups together, to make City services more flexible and responsive to developing challenges. These changes included moving the Archives Unit from the Parks, Recreation and Cultural Services Department to align with IM under the Office of the City Clerk and Solicitor. In conjunction with the Access to Information Office, this reorganization constitutes a triumvirate of Branches that lead the City in records management, retention, access, and disposition. As such, this is the Archives' first annual report to Council, while the ATIP Office provides a separate annual report.

DISCUSSION

IM and Archives Results in 2016

2016 has been a time of transformative change for the City of Ottawa. This transformation serves several important purposes – streamlining the organization, empowering staff, and consolidating service areas. These changes also present a great opportunity for all lines of business at the City to re-evaluate, reinvent, and improve their operations. Existing processes are being reconsidered, to determine if there are more efficient ways to achieve our goals. As most City processes contain information of some sort – this enables IM and City Archives the opportunity to better contribute to City services.

Beginning in 2016, IM and Archives accepted these changes with a renewed sense of optimism. New approaches and processes have been developed and implemented, to deal with instant messaging, and to deal with information management processes in general. Relationships have been strengthened with their mutual business partners, including the Access to Information and Privacy (ATIP) Office, Information Technology Services (ITS) and others. Innovative new approaches are being investigated, such as with a scanning pilot project, which unites several different business units with the goal of digitizing physical records and through collaborative work relating to *Municipal Freedom of Information and Protection of Privacy Act* (MFIPPA) requests as well as routine and proactive disclosure.

These initiatives, and more, are discussed in detail below.

A detailed description of Information Management and City Archives services, policy documents, computer systems and annual statistics can be found in Document 1.

For further IM achievements from 2016, see Document 2. For a summary of key plans for 2017, see Document 3.

For further Archives achievements from 2016, see Document 4. For a summary of major strategic initiatives for 2017, see Document 5.

One City, One Team: IM, Archives and ATIP

The 2016 organizational alignment has helped drive the increased collaboration among the information/records groups. IM's focus is the facilitation of declaring records and monitoring the full lifecycle of records. The Archives is the disposition authority – meaning they determine if a record should be securely destroyed or preserved as part of the City of Ottawa's legacy. The ATIP Office responds to MFIPPA requests, and works with City Departments to identify and disclose responsive records. These overlapping interests ensure that IM, Archives, and ATIP work together. 2016 and 2017 have seen these relationships grow closer, as shared resources and strategies are better positioned for all three groups.

Archives and IM: Continuous Disposition Authorities

Traditionally, the City Archives would have to review files individually to determine if they had archival value or not. Operational Departments would then have to approve the transfer of the files to the Archives. In 2015, the concept of Continuous Disposition Authorities (CDAs) was implemented. Originally these CDAs, one for each records classification, earmarked which records had full archival value; potential archival value; or no archival value at all. In 2016, the "potential archival value" category was eliminated, further streamlining this process.

What this means, in simpler terms, is that from the moment of classifying a record, the ultimate end state of a record is already determined: whether it will go to the Archives (full archival value) or can be securely shredded (no archival value).

The result of implementing CDAs has been dramatic. Prior to 2015, the secure shredding of records that had met retention was slow. It was typical to see 2,000 or less boxes destroyed in one year. Since 2015, things have improved. With both the disposition team staff in place, and the CDAs, over 52,000 files were securely shredded and approximately 15,000 files were sent to the Archives in 2016. In 2015 and 2016 combined, IM disposed of more files than they had in the last ten years.

In addition, business units across the corporation have signed-off on the CDA process, which has eliminated red tape, allowing the transfer of files to the Archives to be done more efficiently. The CRCS has been redesigned, so that it now clearly lays out an archival value for each records classification.

The Archives regularly reviews the CDAs, with IM input. New CDAs are produced when new classifications are created and are updated as necessary.

Archives and IM: Literally Sharing Common Ground

For the last three years, an IM Analyst has been relocated to work at the James Bartleman Centre to work directly with the City Archives. This co-location has helped maintain a strong relationship between the Archives and IM. It has also allowed IM to provide ongoing consultation with the Archives on CDAs and other records-related matters.

Building on this foundation, more IM staff will be working out of the James Bartleman Centre, as the two teams share resources and improve services. In addition, IM employees, working on the disposition project, had been working out of the Elections Office on Cyrville Road, using the available warehouse space prior to next year's election. The disposition team moved to the City Archives in February of 2017. It is believed that bringing the disposition work into the Archives facility will further enhance the disposition process.

Beyond disposition work, other IM work will be moving into the City Archives. In September 2015, IM conducted a cost analysis of transferring highly active files, with a permanent retention, from commercial storage to a City location. The City Archives was seen as a suitable location as a records centre to house this work. A "trial" set of files with a high retrieval rate was selected: building permits, which make up over 16,000

boxes (and growing) in commercial storage. Moving these files out of storage and managing them internally will result in savings anticipated to be \$90,000 per year.

Starting in Q3 of 2017, an additional IM staff will move to the James Bartleman Centre as IM begins pulling the building permit records boxes from commercial storage. Due to the number of boxes, and the logistics in sorting them as they arrive, this transfer of Building Code Services' records is expected to take a full year. The possibility of digitizing these files, further reducing commercial storage expenses and also reducing the space occupied at the Archives will also be explored.

Additional Existing Synergies

In 2016, ATIP staff performed Privacy Impact Assessments on each of the 14 records offices at the City. They also reviewed the workspace of the disposition team. Multiple recommendations were made as a result, and were implemented by IM. These preventative measures further ensure that personal information and personal health information is secured in records offices. As an additional step, all IM staff attended privacy training provided by the ATIP Office.

The Archives will continue in 2017 to provide assistance to ATIP in locating responsive archival records. In 2016, the City Archives saw a marked increase in the volume of ATIP requests due in large part to increased requests for personal information by former City employees. The Archives also improved access to a variety of archived corporate records, in accordance with pertinent legislation.

The Records Digitization Scanning Pilot

In 2015, a pilot project was launched by the City Clerk and Solicitor with the aim of digitizing physical records. Digital records are cheaper to store, are accessible from any location by multiple users, and therefore improves response times for access while simultaneously decreasing costs. Scanning equipment was purchased and staff trained. A first look at digitizing physical records was completed. Consideration was given to all the processes and procedures necessary to turn a physical Official Business Record into an electronic one.

Staff from the Printing Solutions Unit led the charge, with the participation and input from IM, Archives, Building Code Services (BCS), and ITS. A technical process and

workflow including: metadata assignment, records preparation, scanning, rigorous quality control, client approval mechanism, and migration of digital records into BIMS were established.

As part of this pilot, Archives and IM staff went to the City of Toronto, to review the scanning work being done by Toronto Building staff. The work there is well established and offered a great deal of documentation, procedures, and insight into the challenges of digitizing records. This information, along with the information the pilot produced, continues to be analysed. Processes and procedures will be updated, based on this analysis. Once that is completed, IM will document a process based on the CAN/CGSB-72.34-2017 Standard, *Electronic Records as Documentary Evidence*. The certification of the process will be undertaken by Archives to enable the City to certify the digital records as the Official Business Record and allow for the original physical record to be securely destroyed.

Once this work is complete, and a process is established, the benefits should be substantial including:

- Improved accessibility, sharing, and admissibility as documentary evidence of digitized records;
- Increased disposition of original source paper records; and
- Decreased cost in terms of storing and retrieving physical records.

Records Retention and Disposition By-law 2003-527, Schedule A Amendments

Section 255 of the *Municipal Act, 2001*, provides that a municipality may, subject to the approval of the municipal auditor, establish retention periods during which the records of the municipality must be retained and preserved. In general, a record of the municipality may be destroyed if a retention period for the record has been established and the retention period has expired.

The *Records Retention and Disposition (RRD) By-law 2003-527*, as amended, establishes a schedule for the retention and disposition of records in the custody or under the control of the City of Ottawa. In addition, it provides the City with the legal

authority to destroy redundant official business records, administrative duplicates and temporary records. Examples of temporary records include, but are not limited to:

- miscellaneous notices or memoranda concerning routine administrative matters or other minor issues not pertaining directly to the work unit receiving the information;
- information copies of widely distributed materials, such as committee minutes, agendas, etc.;
- preliminary drafts of letters, memoranda or reports and other informal notes that do not represent significant steps in the preparation of the final document and do not record decisions; or
- duplicate copies of documents, which are retained only for convenience.

The City's existing RRD By-law was approved by Council in October 2003, and the records retention and disposition component, being Schedule "A", has been revised on an annual basis.

This Schedule is comprised of a timetable that plans the life of a record from the time of its creation, through its maintenance stages as an active record (stored either on-site or electronically), to an inactive record (stored either off-site or electronically), to its final disposition through destruction or permanent retention. The records retention and disposition schedule is aligned with the corporate records classification scheme. In short, City departments are required to classify their official business records accordingly. Both the Schedule and the classification scheme require ongoing review and modification to accommodate changing legislation, user needs and program changes.

As a result of such routine business developments, modifications to the records retention and disposition schedule are identified by the Office of the City Clerk and Solicitor in the course of its IM service delivery with clients and are brought forward to Council on an annual basis for approval. This process ensures that the City's records management framework is reflective of the organization and the types of official business records the City needs to retain.

With regard to Section 255 of the *Municipal Act, 2001*, which states, "provides that a municipality may, subject to the approval of the municipal auditor, establish retention

periods during which the records of the municipality must be retained and preserved.” At the time of this report, Bill 68, *Modernizing Ontario's Municipal Legislation Act, 2017* had passed second reading and was at a standing committee stage. The *Modernizing Ontario's Municipal Legislation Act, 2017* states:

30. (1) Subsection 255 (3) of the Act is amended by striking out “may, subject to the approval of the municipal auditor, establish” and substituting “may establish”.

(2) Subsection 255 (4) of the Act is amended by striking out “may, subject to the approval of the auditor of the local board, establish” and substituting “may establish”.

The Office of the City Clerk and Solicitor will monitor the enactment of this legislation and revise the *Records Retention and Disposition (RRD) By-law 2003-527* as required.

RURAL IMPLICATIONS

There are no rural implications associated with this report.

CONSULTATION

As this is largely an administrative report, no consultation was undertaken.

COMMENTS BY THE WARD COUNCILLOR(S)

This section does not apply, as this is a City-Wide administrative report.

ADVISORY COMMITTEE(S) COMMENTS

This section does not apply, as this is a City-Wide administrative report.

LEGAL IMPLICATIONS

There are no legal impediments to receiving this report.

RISK MANAGEMENT IMPLICATIONS

There are no risk management concerns arising from this report.

ASSET MANAGEMENT IMPLICATIONS

There are no asset management implications arising from this report.

FINANCIAL IMPLICATIONS

There are no direct financial impacts associated with this report.

ACCESSIBILITY IMPACTS

There are no accessibility impacts associated with this report.

ENVIRONMENTAL IMPLICATIONS

There are no environmental implications associated with this report.

TERM OF COUNCIL PRIORITIES

This report aligns with Council's Strategic Priority entitled "Governance, Planning and Decision Making." This Strategic Priority aims to "Achieve measurable improvement to residents' level of trust in how the City is being governed and managed, ensure that decisions will result in sustainable measures over the long term and create a governance model that compares well to those used by best-in-class cities around the world".

Specifically, this report supports and complements Strategic Objective GP1: "Improve the public's confidence in and satisfaction with the way Council works." This objective is described as follows: "Put into place business practices that are democratic, engaging and visible by encouraging citizens to participate in decision-making and community life, by informing them in a timely manner of decisions that affect them, and by providing reasons for decisions."

SUPPORTING DOCUMENTATION

Appendix 1 – Excerpts from the *Municipal Freedom of Information and Protection of Privacy act*, relating to the 2016 amendment

Document 1 – IM and Archives Business Description and Annual Statistics

Document 2 – IM Results in 2016

Document 3 – IM Planned Activities for 2017 and Beyond

Document 4 – City of Ottawa Archives Results in 2016

Document 5 – City of Ottawa Archives Strategic Initiatives for 2017

Document 6 – Schedule A, Amendments Table; held on file with the Office of the City Clerk and Solicitor

Document 7 – Amending By-Law, including revised Schedule A (incorporating changes contained within the amendments table); held on file with the Office of the City Clerk and Solicitor

DISPOSITION

The Office of the City Clerk and Solicitor to prepare the amending by-law for enactment upon approval of the report recommendation.

Information Management Branch to forward the amending by-law to the City's External Auditor for approval pursuant to Section 255 of the *Municipal Act 2001*, after enactment by City Council.

Appendix 1

Excerpts from *Municipal Freedom of Information and Protection of Privacy Act*

Note: In 2016, MFIPPA was amended to include a “reasonable measures” clause for the preservation of records. The amendment also defines offenses for altering, concealing, or destroying a record in an attempt to not disclose information under the act. The relevant portions are provided here.

Measures to ensure preservation of records

[4.1](#) Every head of an institution shall ensure that reasonable measures respecting the records in the custody or under the control of the institution are developed, documented and put into place to preserve the records in accordance with any recordkeeping or records retention requirements, rules or policies, whether established under an Act or otherwise, that apply to the institution. 2014, c. 13, Sched. 6, s. 3.

Offences

[48. \(1\)](#) No person shall,

- (a) wilfully disclose personal information in contravention of this Act;
- (b) wilfully maintain a personal information bank that contravenes this Act;
- (c) make a request under this Act for access to or correction of personal information under false pretences;
 - (c.1) alter, conceal or destroy a record, or cause any other person to do so, with the intention of denying a right under this Act to access the record or the information contained in the record;
- (d) wilfully obstruct the Commissioner in the performance of his or her functions under this Act;

(e) wilfully make a false statement to mislead or attempt to mislead the Commissioner in the performance of his or her functions under this Act; or

(f) wilfully fail to comply with an order of the Commissioner. R.S.O. 1990, c. M.56, s. 48 (1); 2014, c. 13, Sched. 6, s. 4 (1).

Penalty

(2) Every person who contravenes subsection (1) is guilty of an offence and on conviction is liable to a fine not exceeding \$5,000. R.S.O. 1990, c. M.56, s. 48 (2).

Document 1

IM and Archives Business Description and Annual Statistics

The Information Management Program

The IM Branch helps all City employees meet their current and evolving physical and electronic records management obligations.

- Maintains 14 records offices across the City.
- Maintains the City's Records Management Policy and Procedures, the Corporate Records Classification Scheme (CRCS), and the associated Records Retention and Disposition By-law.
- Disposes of records in accordance with the Records Retention and Disposition By-law.
- Provides expertise in the design, development, implementation, monitoring and evaluation of records and IM policies, standards and best practices.
- Provides Tier 1 and 2 system support for two (2) records management systems.
- Trains City staff on the records management applications and IM principles.
- Assesses business-specific systems for records-related risk.

Because IM's work is City-wide, the scope of the work performed is considerable. For example, in 2016:

- Over 3.9 million physical volumes were tracked in the physical records system with 93,553 new volumes created.
- Over 3.1 million records were captured electronically in the Business Information Management System (BIMS), with 559,448 of those added in 2016 alone.
- 778 City staff took IM training courses on the records management systems and the fundamentals of records classification.
- 540 changes were made to the CRCS. This number includes 378 changes made to final disposition (Archival Values), via the appraisal work of Archives staff.

- Over 115,000 physical files were sent to commercial off-site storage.
- Approximately 20,520 physical files and 6,000 boxes were ordered back from commercial off-site storage for City staff to consult, which is an average of 400 files per week.
- 2,568 technical support calls were processed (e.g. metadata and security access control updates and organization changes).

The Archives Program

This was an important year for the Archives, marking its fifth year in the James Bartleman Centre and the fortieth anniversary of Ottawa's archives program. The former Ottawa City Archives existed under the City Clerk from its creation in 1976 until amalgamation in 2001, making 2016 a year of homecoming for the Archives. The Archives' new reporting relationship once again stresses its delegated authority, under sections 253 and 254 of the *Municipal Act, 2001*, to preserve and provide access to Ottawa's municipal records. In addition, the Archives actively pursues its Council approved mandate to aid Ottawa's diverse communities in keeping their own archival records.

The Archives continued to increase its level of service to both City staff and external clients. It did so by optimizing business practices, increasing collaboration, and establishing more effective planning measures.

The principal work of the Archives over this period included:

- Appraising corporate records for archival value and determining disposition through Continuous Disposition Authorities (CDAs), including the General Continuous Disposition Authority (GCDA), now updated quarterly.
- Ensuring long-term preservation of the City's corporate records, as well as those of its diverse communities, through environmental controls, pest management, conservation techniques, and archival mentorship.
- Providing City staff with specialized research in archived records of civic governments, including ATIP requests, the Lebreton Flats situation, Light Rapid Transit, underground tanks, Payroll, and vital statistics.

The measurable successes of the Archives program in 2016 included:

- Nearly 150,000 degraded photographic negatives (Andrews-Newton Collection) placed in cold storage (-20°C) with specialized packaging for better preservation.
- Approximately 18.3 linear meters of hazardous archival materials remediated and released from quarantine through routine pest management protocols.
- 3,817 research requests processed by Reference Services staff, including City staff requests as well as requests from the public.
- 24% increase in room bookings over 2015 to 398, with more use by community groups.
- 1,085,027 unique page views of *Ottawa Journal*, held by Archives and accessed by researchers online under agreement with Ancestry.
- 397.4 linear metres of vault shelf space saved by the 2016 compression project.
- In partnership with IM, 431 records classifications were appraised or re-appraised for archival value.

Three Policy Instruments

IM is responsible for three policy instruments that direct City staff on how to manage their records:

1. The **Corporate Records Management Policy** identifies the requirements and expectations regarding the creation, identification and management of City records;
2. The **Corporate Records Classification Scheme (CRCS)** is a tool that helps organize City records, as well as applies a schedule detailing how long records are kept and how they should be disposed (which now includes the Continuous Disposition Authorities); and
3. The **Records Retention and Disposition By-law** provides the City with the legal authority to create, manage, and dispose of records. The Archives is the disposition authority for the City and IM staff works in close collaboration with Archives staff.

In 2016, the Archives began work on a new corporate policy:

4. The **Official Gift Policy** will provide a framework defining and governing the receipt and disposition of official gifts as records of the corporation. In 1977, the Mayor's Gift Collection (now the Official Gift Collection) was created to classify gifts received (and to be received) by Ottawa's Mayors on behalf of its residents.

Three Recordkeeping Systems

The City uses three information management systems to manage its records:

1. Records Management System (RMS) is used to manage physical records.
2. Business Information Management System (BIMS) is used to manage the electronic records.
3. MINISIS controls certain City records that have been archived.

Document 2

IM Results in 2016

1. Legislative Requirements and IPC Guidance: Strengthening ATIP and IM

On January 1, 2016, Bill 8 *Public Sector and MPP Accountability and Transparency Act, 2014*, amendments came into effect. The *Municipal Freedom of Information and Protection of Privacy Act* (MFIPPA) was amended by Bill 8 and added the following requirement: “Every head of an institution shall ensure that reasonable measures respecting the records ... are developed, documented and put into place to preserve the records in accordance with any recordkeeping requirements.”

It is also now a provincial offence to alter, conceal or destroy a record (or to cause any other person to do so) with the intention of denying a right to access information under this *Act*. If convicted of this offence, a person could be fined up to \$5,000. In anticipation of Bill 8 coming into effect, a number of actions were implemented in order to address and strengthen the reasonable measures provision. Please see City Council ACS2016-CMR-CCB-0025 for additional information.

On January 6, 2016, the City Clerk and Solicitor, advised the Access To Information and Privacy (ATIP) group and IM staff of an Information and Privacy Commissioner of Ontario (IPC) report titled FIPPA and MFIPPA: Bill 8 – The Recordkeeping Amendments. In addition, the City Clerk and Solicitor required the ATIP group to add the new requirements and penalties to the standard ATIP email request to City staff when seeking records. It was also required for ATIP and IM teams to develop plans to communicate these important changes to City staff.

On June 7, 2016, the IPC released a report entitled, “Instant Messaging and Personal Email Accounts: Meeting Your Access and Privacy Obligations”. In the report, the IPC “strongly recommends that institutions prohibit their staff from using instant messaging tools and personal email accounts for doing business, unless they can be set up to retain and store records automatically.”

The report also stated: “If it is necessary to use these tools, institutions must plan for compliance by implementing appropriate policy and technical mitigation strategies.”

In 2016, Jabber (an internal CISCO instant messaging tool) was being upgraded by ITS. The upgrade was an opportunity for IM to propose changes to how the tool functions, allowing it to meet the new directives put forth in MFIPPA and by the IPC. Previously, Jabber messages were not captured. Now a Jabber user's messages are captured in Outlook in a folder called "Cisco Jabber Chats". This ensures the messages are preserved for 60 days, and makes it easier for users to capture these messages as records. A log-in pop-up message was added to Jabber, reminding users that their messages are logged. They are also told, "Any Jabber messages that communicate key business decisions must be captured as Official Business Records in BIMS".

On October 31, 2016 an email entitled, "Changes to Jabber Chat Logging/Retention", was sent to all Jabber users from the CIO and City Clerk and Solicitor advising Jabber users of their records obligations. There was some concern that logging messages could result in a "chilling effect" on use of the Jabber tool. This has not been the case. Use of Jabber continues, with no significant change in adoption levels.

Messaging and collaboration tools at the City need to be transparent and accountable. Reasonable agreements and approaches, in response to legislation and IPC directives, need to be in place. We must ensure that transparency and accountability keep up with technology and the realities of modern communication.

For this reason, additional work in this area is planned for 2017.

- An inventory and assessment of other instant messaging tools already in use at the City will be completed. This will be done with an eye to improving how messages are logged and captured as records.
- Gate-keeping measures will be put in place, so that any new messaging tools at the City will address the IPC recommendations.

2. The BIMS and RMS Upgrade Projects

RMS and BIMS were originally slated to be merged in a large and ambitious project that would have also added many new features. In October, 2015, the project was cancelled, as it was deemed too extensive and there was a lack of progress. As a result, two much smaller projects were launched, to sustain RMS and BIMS. The goal

was to make as few changes as possible, keeping the systems viable until replacements can be found for both.

For BIMS, the issue was expired vendor support and a necessary software upgrade. While maintaining BIMS “as is” was the goal, the upgrade automatically offers new features which were deemed too time consuming and difficult to remove. For this reason, there will be some changes to BIMS when the upgrade is launched.

For RMS, two back-to-back launches of the software are planned.

The first RMS launch relates to two improvements.

- A new “data fixer” has been added. This allows IM staff to correct key metadata fields on multiple records at the same time. Previously, all data fixes of this nature had to go through ITS via a service request. This tool will only be available to IM System Admin staff and will greatly improve IM customer service response times.
- A “semi-active” process and tools have been added. Some records are kept for a fixed amount of time, such as 10 years. Others have an event-based (trigger) retention, such as being active until “project completed” (the trigger), followed by seven (7) years. Previously, files sent to commercial offsite storage were automatically considered closed, and the clock started counting down to disposition. However, records may be sent offsite simply due to lack of office space, not because they are closed. A manual process was in place to manage these records. The semi-active feature corrects for this – content will now be sent offsite, without the retention clock starting to countdown. In this way, records will not come up for disposition before their approved time.
- The second RMS launch wrapped the application in “ThinApp” – a bubble to isolate it and protect it from network upgrades. In this way, changes to Windows (such as software patches), will not affect RMS functionality.

RMS had two launches. The first release, in late November 2016, featured application improvements (the data fixer and semi-active tools). The second launch was completed January 31, 2017, and released the ThinApp version of RMS. The total expenditure was \$20,928 plus tax. This will sustain RMS until 2022.

BIMS is expected to be launched July 17, 2017. The total expenditure will be \$168,750 plus tax. This will sustain BIMS until the end of 2018. After that time, the vendor support license will be extended, at an additional expense.

The costs for these two projects are projected to be \$190K plus tax, which is well within the original total allocated budget of \$300,000. This budget was only available until the end of 2016, but all the required expenditures were concluded before that time.

3. RMS Label Printing Pilot

In an effort to provide a better customer experience for City staff who create their own physical records, the IM team and Print Solutions began a RMS label printing project in 2016. The goal of this project was to automate the bureaucratic, administrative task of putting potentially dozens of file label stickers on RMS folders by hand. The label pilot printed customized sticker labels which greatly simplified the work. The pilot targeted groups who create large numbers of records annually – for example, Building Code Services, Employment and Financial Assistance, Human Resources, Occupational Health & Wellness, and Provincial Offences Act.

The end result showed IM was able to eliminate the task of applying stickers individually to over 26,000 files. Material costs per 100,000 files was five percent (5%) less expensive and decreased costs by \$3,000. Beyond material savings, the time of applying stickers was cut in half, meaning an increase in employee productivity. Feedback from clients has been enthusiastic. We are continuing to roll out the new label system to City staff who create large numbers of case files.

This initiative is a great example of teamwork across groups. It also shows how automating a routine and tiresome task can be implemented with little overhead and great results.

4. The Re-Organization and How It Affects Application Security

There are multiple re-organizations at the City of Ottawa every week. Every re-organization affects multiple applications across the corporation. Many applications base their security model around the organization model. BIMS is one such application.

With the two large re-organizations that took place in 2016, IM and ITS worked behind the scenes to ensure appropriate access to records for staff. Some fixes were scripted

by ITS, and were run overnight. Other organizational changes had to be analysed by IM staff, with decisions and strategies made, and then implemented by ITS to ensure a smooth transition.

Fortunately, the level of effort in the future will not need to be so high. The BIMS upgrade, expected to be completed this year, includes measures that speed up the correction of metadata during re-organizations. ITS has also proposed some strategies that will further reduce the amount of work necessary to deal with organizational changes.

5. The Ongoing Disposition Project

Capturing records is the first step of information management. The last, and equally important step, is processing the final disposition of records. This takes one of two forms: securely shredding files, or transferring ownership of files to the Archives so that they are properly preserved. This work is important for legislative, financial and historical reasons:

- The City is legally required to destroy certain records in order to be compliant with multiple pieces of legislation and best practices.
- It costs money to store physical and electronic records. Eliminate the physical record, eliminate the cost of storage.
- Records that have historical significance are preserved by the Archives.

With these considerations in mind, IM began planning a large scale disposition project in late 2014. The corporate-wide benefits of this project include:

- decreasing the risk of exceeding the retention periods on records,
- reducing dependency on a third party vendor for storage, and
- increased capture and preservation of historical civic records at the Archives.

In 2016, working at a warehouse facility in the Elections Office, the disposition team had a great deal of success. Approximately 52,000 files were securely shredded and approximately 15,000 files were sent to the Archives. This builds on the work completed in 2015 of over 77,000 files being managed through the disposition process.

In February 2017, the disposition team moved out of the Elections Office to the James Bartleman Centre. It is believed that, being closer to the Archives team, the speed and efficiency of the disposition work will greatly improve.

6. Updating Information Management Procedures

In 2016, an in-depth review was undertaken of IM processes and procedures. Multiple changes were made, including the following:

- New processes were put in place for physical records containing Personal Health Information. This includes no internal shipping of boxes containing PHI files. Instead, IM staff will go to where the PHI is, and manage the files there.
- Changes were made to IM internal RMS procedures around temporary boxes, how to document the deletion of records that were created in error, how to document missing records, accessioning process (sending files to the records storage vendor) and signing in and out files.
- ATIP performed Privacy Impact Assessments of each records office, including the disposition office. Multiple recommendations were made as a result, and were implemented.
- All IM staff attended privacy training from ATIP.
- Building evacuation plans were reviewed and updated.

Document 3

IM Planned Activities for 2017 and Beyond:

Activity	Strategic Importance	Future Benefits
<p>BIMS Replacement Project</p>	<p>The BIMS upgrade and the purchase of extended vendor support will make this application stable until 2019. This gives IM the time to begin looking for a replacement. Current schedule for replacement launch is 2019 – 2020. Finding a replacement will be a multi-year undertaking, due diligence efforts include: documenting requirements, conducting an RFI, doing disposition research on available solutions, aligning with ITS capacity and ITS input, running an RFP, etc. This work has already begun.</p> <p>Funding for this project will follow the ‘New Intake Process for IT Projects’ as per memo from General Manager Corporate Services and City Treasurer dated November 30, 2016.</p>	<p>Any new application must come with new improvements, such as:</p> <ul style="list-style-type: none"> • Improved collaboration tools. • Disposition for electronic records. • Workflow for documents. • Forms management.
<p>Scanning Project</p>	<p>The pilot project completed in 2016-2017 is just the start. Further work is required, such as:</p> <ul style="list-style-type: none"> • Analysis of the pilot results. • Analysis of the work coming out of the City of Toronto. • Additional processes to be documented. • Certification of the processes by the City Archivist. 	<p>A fully functional scanning hub would mean physical records (with a long retention) can be scanned, with the digital replacing the physical record. This would result in:</p> <ul style="list-style-type: none"> • Improved accessibility, sharing, and admissibility as

Activity	Strategic Importance	Future Benefits
		<p>documentary evidence of digitized records.</p> <ul style="list-style-type: none">• Increased disposition of original source paper records.• Decreased cost in terms of storing and retrieving physical records.• New opportunity to provide public access to information identified by the ATIP group from the 'Routine Disclosure and Active Dissemination'

Activity	Strategic Importance	Future Benefits
<p>Promote the concept of “The Duty to Document”</p>	<p>In 2016, the direction from the IPC and the MFIPPA amendment spoke to an ongoing change in records management culture. Emails and instant messages need to be captured and preserved.</p> <p>IM anticipates that the next step in this culture shift is the “duty to document”. Meaning that governments must ensure that business decisions are documented.</p> <p>IM staff intend to bring the “duty to document” to the attention of the Senior Leadership Team, and the City as a whole.</p>	<ul style="list-style-type: none"> • Ensure the corporation is capturing business decisions. • Improve transparency and accountability.
<p>Addressing the issue of Instant Messaging</p>	<p>Building on the Instant Messaging work completed so far, IM intends to move forward with additional measures:</p> <ul style="list-style-type: none"> • An inventory and assessment of other messaging tools currently in use at the City, will be completed. This will be done with an eye to improving and changing the capturing and logging of messages. • Gate keeping measures will be put in place, so that any new messaging tools implemented at the City will meet records keeping requirements. 	<ul style="list-style-type: none"> • Ensure transparency and accountability.
<p>Management training on IM, Archives, and ATIP</p>	<p>This cross-training opportunity will allow these teams, to strengthen connections with all businesses across the corporation.</p>	<ul style="list-style-type: none"> • Improved collaboration.

Document 4

City of Ottawa Archives Results in 2016

This supplementary document expands on the high-level report of the Archives Branch for the year 2016 contained in the 2016 Information Management and City Of Ottawa Archives Annual Report and Records Retention and Disposition By-Law 2003-527 Amendments (ACS2017-CCS-GEN-0004).

1. Sesquicentennial

A major project started in 2016 was the development of a virtual exhibition celebrating Canada's sesquicentennial, relating specifically to this Term of Council priority (EP1– Promote Ottawa, No. 1– Ottawa 2017 Celebrations).

The Archives has also been working in 2016 with Media Relations regarding special articles for the sesquicentennial celebrations. Additionally, two relevant acquisitions are already being negotiated for conveyance in 2017: records of the Rideau Club, est. 1865; and a ledger of the grocers' partnership O'Hara & Whalen, 1868-1869.

2. Reference modernization

A capacity for online research has been a frequent request by researchers. The Archives took the lead in developing and managing the Ottawa Museums and Archives Catalogue (OMAC), an online public access catalogue providing access to a wide array of City and other local heritage collections, to satisfy these needs in an way that integrates the City with several of Ottawa's community heritage organizations.

Over the past year, the Archives has brought its Reference Room up to AODA compliance, improving way-finding and signage in the Reference Room and introducing new digital equipment. A new comfortable seating area, with display cases highlighting the collections, has also been installed. A project to convert multiple classification systems currently being used to the more well-known Dewey Classification will be continued in 2017.

3. Preserving the City's documentary heritage

The Archives achieved an important new capability for preserving records this year. The Archives now has a commissioned cool-storage vault, permitting more effective storage of photographic and other records requiring cool temperatures.

The Archives began work over the year to inform City employees on mould prevention, so that their records last. Likewise, the Archives extended Pest Management training in 2016 to its partner organizations (Ontario Genealogical Society - Ottawa Branch, United Church of Canada, Robert C. Craig Memorial Library) to ensure the absence of insects and mould in the collections and to help the partners succeed in the preservation of their records. Finally, the Conservator answered many telephone and email requests for information on preservation from Ottawa citizens concerned about their preserving their own family photographs, documents and heirlooms.

Conservation work at the Archives in 2016 saw the protection of the important Andrews-Newton Collection (approximately 150,000 deteriorated photographic negatives, 1940s-1960s) by its removal into cold storage at -20C. The restoration of these badly degraded negatives will begin next year. The Archives conducted a full Risk Assessment of its Rideau Branch in 2016 in support of a facilities planning objective and will be working on a Global Conservation survey for that Branch Archives in 2017.

The Archives made a significant discovery this past year through close scrutiny of Historical Society of Ottawa materials, on deposit at the Archives since 2010. A mis-catalogued painting was found to be an unknown portrait of Bytown's first Mayor, John Scott, dating to 1848. Conservation treatments were begun.

4. Official Gifts

In 2017, the fortieth anniversary of the Mayor's Gifts (now Official Gifts) Collection, the Archives will evaluate approximately 4000 items, updating their descriptions and housing them in proper enclosures within appropriate vaults. This project will also facilitate the choosing of gifts for exhibitions, as currently there is an exhibit of Official Gifts near the Mayor's office in Ottawa City Hall. Two more cases of Official Gifts will be filled for display in 2017.

5. Ottawa Public Library

Historically important but somewhat muted over the past decade, the Archives also reinvigorated its engagement with colleagues at Ottawa Public Library (OPL) in 2016 through collaborative meetings, an archivist's presentation at OPL Main Branch, and several large transfers received over the course of the year, including the repatriation of some official business records formerly deposited with OPL in the days before the City had established its archival program. The Archives also partnered with OPL to present photographic displays at OPL Main Branch. Looking forward, the Archives is planning to further develop its closer relations with OPL as the Archives spearheads an Ottawa archives network initiative, aiming to provide for resource-sharing among local organizations involved in archives.

6. Underground tanks project

The Archives formed an innovative direct link with the Realty Initiatives & Development Branch this past year through two scanning projects, one to scan approximately 1200 Underground Fuel Tank plans to help identify tank locations, the other to scan approximately 300 hydro-geological and geotechnical reports for a Senior Geo-environmental Advisor with that branch, working closely with the GIS & Data Management Unit by piggy-backing on their processes.

7. Ozone Project

Greater familiarity with the Archives and its role in the corporation will result from a project begun in 2016 to create a collection of research guides uploaded to Ozone.

8. Routine Disclosure

The City of Ottawa adopted a Routine Disclosure / Active Dissemination Policy in 2013. Routine Disclosure (RD) is the regular or automatic release of certain types of administrative and operational records in response to requests made either informally or formally under the MFIPPA process. This pro-active disclosure releases general classes of records prior to a request or in its absence. To alleviate overburdening of the City's ATIP process, the Archives has initiated a project to open Ottawa Board of Control records under Routine Disclosure, negating access enquiries that would otherwise currently require individual review. Finalizing this initial engagement with the RD policy,

a 2017 report of recommendations to the City Clerk and Solicitor will set the stage for other projects to comprehensively locate and review archival records to be opened through RD. The Archives, ATIP and Information Management branches will also work together to integrate routine disclosure information into the Records Retention and Disposition By-law and Schedule 'A' approved by Council, as new classifications are analyzed and developed for the CDAs. This collaborative implementation of RD directly supports the Term of Council priority to promote measures supporting accountability and transparency by ensuring the regular and timely disclosure of information to citizens, improving City transparency.

9. Ottawa sports exhibits

In addition to acquiring hockey memorabilia from the community in 2016, the Archives partnered with the Ottawa Senators last year to curate displays commemorating four 2017 celebrations: the franchise's own 25th anniversary, the 100th anniversary of the National Hockey League, the 125th anniversary of the Stanley Cup, and the 50th anniversary of the Ottawa 67s. In the past year, the Archives has also loaned materials, with appropriate conservation support, to the Ottawa Sports Hall of Fame for exhibits on curling and hockey and to the Canadian Museum of History for their upcoming 2017 exhibit on hockey.

Document 5

City of Ottawa Archives Strategic Initiatives for 2017

Activity	Strategic Importance	Future Benefits
Routine Disclosure	Continuing work begun in 2016 to open qualified archival records, lessening ATIP request burden.	<ul style="list-style-type: none"> • Optimization
Ottawa archives network	Emerging out of collaborative discussions with Ottawa Public Library and several local historical societies, the Archives conceived of a major new project in 2016 to create a local network between archival institutions, libraries, museums, historical societies, and other heritage organizations maintaining archival records but lacking necessary resources or training, for the common advantage of all archival records in Ottawa - a fitting historical enterprise for the sesquicentennial year of Confederation.	<ul style="list-style-type: none"> • Possible synergies • Heightened profile in local heritage community
Compression projects	<p>The Archives will continue with more compression projects in 2017 to recoup more idle space in the archival vaults, including:</p> <ul style="list-style-type: none"> • Compression and re-boxing of Nepean records. • Compression and re-boxing of re-appraised archival legacy records. 	<ul style="list-style-type: none"> • Optimization

Activity	Strategic Importance	Future Benefits
Establishment adjustments	The Archives will address a current gap in the unit's establishment, which has led to workflow repercussions. The creation of an Assistant Archivist level will fill this gap by establishing a range of high-level paraprofessionals who will increase the array of the Archives' complement of workers.	<ul style="list-style-type: none"> • City Clerk priority EE1: Maintain a diverse, high-performing, client-centric workforce
Collections management application	Planning will commence concerning the archival collection management application (MINISIS) through careful lifecycle management. The process planning indicates that synergy between the software and RMS (or replacement application) would allow for tremendous advantages, including cost savings. Ramifications of the reorganization will also be considered.	<ul style="list-style-type: none"> • Optimization
Branch facility planning	Planning will continue on work begun in 2015 to resolve vault space issues at Rideau Branch.	<ul style="list-style-type: none"> • Optimization