

**7. 2018 INFORMATION MANAGEMENT AND ARCHIVES ANNUAL REPORT  
AND RECORDS RETENTION AND DISPOSITION BY-LAW 2003-527  
AMENDMENTS**

**RAPPORT ANNUEL DE 2018 SUR LA GESTION DE L'INFORMATION ET  
LES ARCHIVES ET MODIFICATIONS AU RÈGLEMENT SUR LA  
CONSERVATION ET LE DÉCLASSEMENT DES DOSSIERS (NO 2003- 527)**

**COMMITTEE RECOMMENDATION**

**That Council:**

- 1. Receive this report; 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, at 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 déclassé des dossiers, afin d'y intégrer les révisions à l'annexe A énoncées dans le présent rapport et décrites de façon plus précise dans le document 6.**

**DOCUMENTATION/DOCUMENTATION**

- 1. Manager's report, Legislative Services, Office of the City Clerk and Solicitor dated 22 March 2019 (ACS2019-CCS-GEN-0034).**

**Rapport du Gestionnaire, Services législatifs, Bureau du greffier municipal et de l'avocat général, daté le 22 mars 2019 (ACS2019-CCS-GEN-0034).**

**Report to  
Rapport au:**

**Finance and Economic Development Committee  
Comité des finances et du développement économique  
2 April 2019 / 2 avril 2019**

**and Council  
et au Conseil  
10 April 2019 / 10 avril 2019**

**Submitted on March 22, 2019  
Soumis le 22 mars 2019**

**Submitted by  
Soumis par:**

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**Ward:** CITY WIDE / À L'ÉCHELLE DE LA VILLE      **File Number:** ACS2019-CCS-GEN-0034

**SUBJECT: 2018 INFORMATION MANAGEMENT AND ARCHIVES ANNUAL  
REPORT AND RECORDS RETENTION AND DISPOSITION BY-LAW  
2003-527 AMENDMENTS**

**OBJET: RAPPORT ANNUEL DE 2018 SUR LA GESTION DE L'INFORMATION  
ET LES ARCHIVES ET MODIFICATIONS AU RÈGLEMENT SUR LA  
CONSERVATION ET LE DÉCLASSEMENT DES DOSSIERS (NO 2003-  
527)**

### **REPORT RECOMMENDATIONS**

**That the Finance and Economic Development Committee recommend Council:**

- 1. Receive this report; 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, at Document 6.**

### **RECOMMANDATIONS DU RAPPORT**

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

- 1. Prenne connaissance du présent rapport; et**
- 2. Modifie le Règlement no 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 dans le 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, summarizing the accomplishments and challenges of 2018 and describing some of the work planned for 2019 and beyond. The practice of reporting annually to Council on the Information Management (IM) program started in 2013, when the Office of the City Clerk and Solicitor assumed

responsibility for the IM Branch. The combined report on the IM and Archives programs started in 2016, when that Office took on the Archives Branch.

## **DISCUSSION**

In 2018, IM and the City of Ottawa Archives worked in a collaborative fashion on the lifecycle of business records. There is a technological renewal underway at the City of Ottawa, which includes the arrival of Office 365 and SharePoint. This creates an opportunity to re-examine processes, and ensure the better capture of electronic records.

### **Information Management: Changing Technologies, Unchanging Principles**

New technologies change how we work. Software systems move to the cloud, letting us access information everywhere. Bulky desktop computers are replaced with laptops, tablets, and phones. Paper processes become electronic. These changes make our work faster and more efficient.

What doesn't change are the fundamental principles guiding our work: Transparency, Impartiality, Respect, and Accountability. These core values of the City of Ottawa, laid out in the Employee Code of Conduct, stay in effect no matter what technology we use and robust recordkeeping is a foundational accountability mechanism to support these values.

Keeping a record of transactions is an essential part of complying with the Employee Code of Conduct. Official Business Records (OBRs) provide the history of decision-making, including who made the decision and what factors were weighed in making decisions. Without properly kept records, there can be no real public engagement. Without evidence of our work, we cannot have true integrity.

To put it another way, every business function creates information that needs to be captured as records. All these business functions make a difference to the community. Without the records, there is no evidence of that good work.

The City is in a time of great technological change. Office 365 is being rolled out across the corporation – which includes migrating files from shared drives to SharePoint. Multiple significant software applications are scheduled to roll out in the next year, including: the Land Management System, Ottawa Public Health's case management

system, an upgrade to SAP, a new water billing system, and a new recreational activity booking system (CLASS).

The role of IM in all of these changes is making sure the fundamental principles are kept front of mind. We should not lose sight of what this technology is for: improving services for residents, but also being transparent, accountable, impartial, and respectful (as stated in the Employee Code of Conduct).

### **EDRMS replacement project**

The City's current Electronic Document and Records Management System (EDRMS) is BIMS. It came online in 2007. In that first year, 13,459 files were loaded into the system. After more than a decade of service, BIMS now holds over 4.1 million files.

As with all applications, there have been issues along the way. The authorized destruction of electronic records has never worked properly. Search has been problematic. Users have noted that the security model is overly complex. Beyond these issues, there have been a lot of new technological developments in the marketplace. It is time for IM to find a new system.

Over the past 3 years, IM has worked to keep the existing system functional, while also conducting a due diligence process for replacing it. This work has included an upgrade to the existing BIMS system (in 2017 and 2018). Extended support from the vendor has been obtained, to keep BIMS operational. Support is now in place until 2020, giving IM ample time to find a replacement system.

An assessment of new systems included a Request For Information (RFI) issued in April of 2017. Eleven vendors responded. From that, seven vendors were asked to provide proof of concept demonstrations, which took place in January and February of 2018. IM staff travelled to key municipalities throughout the year (Calgary, Lethbridge, Toronto and Brampton) to gain insight into vendor selection and performance, as well as looking at ITS implementation factors.

In October of 2018, ITS began rolling out Office 365 – a cloud-based platform offering a suite of familiar tools (Word, Excel, PowerPoint), and many new tools, including SharePoint. SharePoint is a Microsoft application which allows for file storage and sharing. While impressive and constantly improving, SharePoint cannot adequately manage records on its own. IM is planning to leverage the investment in SharePoint

platform. In order to fulfill the recordkeeping function, IM would require an add-on piece of software, which can integrate with SharePoint.

SharePoint has long been an option in the records industry and IM staff have been monitoring it. For example, IM staff have taken SharePoint training through AIIM (the Association for Intelligent Information Management). Over half of the vendors looked at in the previous mentioned RFI process were SharePoint add-on applications, or integrate well with SharePoint.

As part of the Office 365 roll out, ITS started developing SharePoint sites for pilot groups. The goal: move staff from the shared drive system, to SharePoint. Based on ITS' experience with these initial groups, a more formal rollout process will be developed to use across the corporation. Throughout 2019, ITS will be working to move all of the City's network users to SharePoint. This is the perfect opportunity for IM to improve recordkeeping across the corporation.

IM has been working closely with ITS throughout this work. IM staff have participated in the SharePoint rollout meetings, and have served as "early adopters" by developing a SharePoint site of their own. IM staff are actively participating in the information governance process – that is, the rules around how information is managed and handled. (For example, what happens when a SharePoint site is decommissioned? How do we ensure the records are captured?) IM has also reviewed training documents and provided input on communications to the City.

BIMS is still the City's official electronic records repository. As SharePoint is adopted City-wide, and staff become accustomed to this new Office 365 work environment, IM will continue to pursue a BIMS replacement. This new software will integrate with SharePoint.

An RFP will be issued in Q4 2019. The BIMS replacement project will be consolidated in a broader IT / Digital modernization project, and funded through IT renewal.

Please note that the need for an EDRMS was previously communicated to Council through several IM annual reports: ACS2016-CMR-CCB-002, ACS2017-CCS-GEN-0004, and ACS2018-CCS-GEN-0010.

Access and preservation have formed the core of modern archival practice for two centuries. Archives, as we know them today, sprang in part from a democratic idea to allow citizens access to the records about them that were being created by increasingly document-centred governments. As volumes of records increased, the decision-making powers exercised by Archives regarding the preservation or destruction of records became a critical function, weighing public need against the expenditure of governmental resources. The responsibility for access and preservation relating to a municipal's records is enshrined in the *Municipal Act* as a function of the municipality's Clerk. The City of Ottawa Archives, as with many others in Canada, sees government records as only telling part of the local story and actively collects private records to allow for a more comprehensive view of this jurisdiction and of Ottawa's communities, balancing the official governmental story with the cultural voice of individuals. Through its regular reference services, and with the introduction of pro-active access measures such as Routine Disclosure, the Archives continues to keep the municipal government and its historical records closely linked to the citizens of Ottawa.

### **Appraising to Ensure Relevance**

Balancing the Archives need to provide access to relevant records is its accountability for ensuring that public money is not spent preserving records of no value to the City or its citizens. Archivists assess value through an initial process of appraisal and ensure the continued relevance of records through subsequent re-appraisal. This past year, Archives appraised and re-appraised records approximately 4,300 boxes of pre-amalgamation and post-amalgamation civic records relating to more than a dozen Archives and IM tasks.

The appraisal of records resulted in the acquisition by the Archives of interdepartmental records transfers in collaboration with the IM disposition team. The records, originally housed in over 2,500 boxes, were compressed and rehoused into less than 1,800 boxes by the Archives. When accessioned, this saved more than 700 box spaces in the City's vaults. The records acquired in 2018 included records of pre-amalgamation municipalities as well as post-amalgamation records. The records were comprised mostly of textual records, photographic images, plans and drawings. Amongst the official original records received were Council and committees minutes, by-laws, agreements, reports, assessment rolls, provincial vital statistics including marriage certificates, and the records of the Police Board and other local boards and arms-length entities.

About 90 per cent of archived municipal records are records of the City of Ottawa's former municipalities, created prior to 2001. In 2018, the Archives continued to analyse pre-amalgamation boxes and found that a large number contained transitory records with no archival value, misclassification and unclassified records. The re-appraisal of archived-status records contained in an additional 1,800 boxes allowed for the compression, reactivation, disposition, and reclassification, which decreased this number to just over 1,100 returning to the shelves. Re-appraisal of boxes housed in offsite storage allowed 132 boxes of vital civic records to be repatriated to the Archives vaults.

### **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 associated with 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 financial implications associated with this report.



## **ACCESSIBILITY IMPACTS**

RMS and BIMS will be replaced in the coming years. IM will ensure the new applications will be developed to meet accessibility standards, ensuring all City staff are accommodated.

## **ENVIRONMENTAL IMPLICATIONS**

There are no environmental implications associated with this report.

## **TECHNOLOGY IMPLICATIONS**

The technical implications are described throughout the body of this report and the supporting documents.

## **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 2018

Document 3 – IM Planned Activities for 2019 and Beyond

Document 4 – City of Ottawa Archives 2018 Results

Document 5 – City of Ottawa Archives Strategic Initiatives for 2019

Document 6 – Schedule A, Amendments Table *(Held on file with the City Clerk)*

Document 7 – Revised Schedule A (incorporating changes contained within the amendments table) *(Held on file with the City Clerk)*

Document 8 – Amending By-Law *(Held on file with the City Clerk)*

## **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.

Appendix 1

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

**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 in five locations across the City,
- Maintains the corporate Records Management Policy and Procedures, the Corporate Records Classification Scheme (CRCS), and the associated Records Retention and Disposition By-law 2003-527,
- Securely disposes of records in accordance with the Records Retention and Disposition By-law 2003-527,
- 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 records management systems,
- Trains staff on the records management applications and IM principles; and
- 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 2018:

- Over 4 million physical volumes were managed in the physical records system with 95,562 new volumes created in 2018,
- Over 4.1 million records were managed electronically in the Business Information Management System (BIMS), with 694,408 of those added in 2018,
- 427 staff took IM training courses on the records management systems and the fundamentals of records classification. In addition, the IM Training page had 1,700 unique visits, a 35% increase from 2017,

- 16,397 record volumes were transferred to the City Archives from commercial offsite storage. 56,321 record volumes were identified as past retention, approval was obtained from the appropriate business unit owner and the records were securely shredded. This resulted in the destruction of 3,570 record boxes and the transfer of 2,497 record boxes to the City Archives,
- 1,767 records boxes were condensed and reaccessioned, which freed-up 730 cubic feet of Archives vault space,
- 49 changes were made to the Corporate Records Classification Scheme to align with changes in business process, external legislation or industry best practice. Of those, 15 changes were made to the Continuous Disposition Authorities (CDA) related to final disposition,
- Over 9,345 new boxes of physical files were sent to commercial off-site storage,
- Approximately 28,000 physical files and 8,796 boxes were ordered back from commercial off-site storage for staff to consult, which is an average of 600 files per week; and
- 2,030 technical support calls were processed (e.g. metadata and security access control updates and organization changes).

### **IM 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, and

3. The Records Retention and Disposition By-law 2003-527 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.

### **IM Recordkeeping Systems**

The City uses two information management systems to manage its active and inactive 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.

### **Archives Program**

The Archives is mandated, under delegated authority, with carrying out the duties set out in sections 253 and 254 of the *Municipal Act*, 2001, to preserve and provide access to 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 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
- Culling of duplicates within the archived civic records

The measurable successes of the Archives program in 2018 included:

- Over 15,000 hours of specialized research, including over 5,000 research requests by City staff and the public processed by Reference Services staff

- Archival macro-appraisal to identify records of long term value which resulted in the issuing of 18 new Continuous Disposition Authorities (CDAs)
- Over 1.1 million unique webpage views of the *Ottawa Journal*, held by Archives and accessed by researchers online under agreement with Ancestry
- Over 17,000 hours of work contributed by 105 volunteers, a significant engagement with the community
- 392 new Facebook followers in 2018, for a total of over 1,600 followers, as well as 359 new page likes in 2018, for a total of over 1,600.

### **Archives Policy Instruments**

Archives is responsible for one policy instrument that direct City staff on how to manage their records:

1. The Official Gift Policy provides a framework defining and governing the receipt and disposition of official gifts as records of the corporation.

### **Archives Management Systems**

The City uses one information management systems to manage its archival records:

1. MINISIS controls some archived corporate records, as well as donated private records



## Document 2

### IM Results in 2018

#### **BIMS and System Integrations**

In 2012, SAP and Maximo were integrated with BIMS. This meant users of SAP and Maximo could check files into BIMS directly from within their own applications. The rationale for these integrations was that records should be managed and controlled in a recordkeeping application. The integration also resolved file storage issues in SAP and Maximo.

The results have turned out to be problematic:

- SAP and Maximo users may not have had any records management training,
- Improper classifications, security, and org structure are often applied, either through user error, changing org structures, or software issues,
- Disposing of an item in BIMS only removes a part of the entire record – with the remaining portion still in SAP or Maximo; and
- Looking at an SAP or Maximo item deposited inside BIMS gives no context for the file – for example, a photograph of an intersection, with little context of why this is a record.

For all of these reasons, IM has pursued disconnecting BIMS from SAP and Maximo. When BIMS is replaced with a new system in 2020, these integrations will not be carried over. This gives ITS the necessary time to develop an appropriate data storage strategy for this matter.

#### **Fire Services Review**

As part of IM's ongoing commitment to ensure they are meeting clients' needs, a comprehensive service review with Fire Services was conducted. IM reviewed the classifications Fire Services uses, their use of RMS and BIMS, and their use of their business-specific system, FDM. IM also looked for opportunities for improvement regarding accessioning physical records, file creation and labelling. The support being provided to senior management and their executive assistants was also assessed.

Some of the actions IM has taken as a result of the review include:

- Implementing a new labelling system and granting Fire Services administrative staff additional permissions in RMS to make file creation simpler and faster,
- Conducting a project to accession a significant number of records to off-site storage; and
- Committing to having a greater on-site presence at the Carling location.

### **Building Code Services Review**

As part of IM's ongoing commitment to ensure they are meeting clients' needs, a service review for Building Code Services (BCS) was conducted. The main focus of the review was the BCS Access to Building Permit Records service to the public. IM reviewed: staff roles and responsibilities, assessed information collections on various media and IM service deliverables.

Some of the actions IM has taken as a result of the review include:

- Migrating a paper collection of pre-amalgamation building permits (over 140,000 individual items) to digital official business records using the an Archives-certified digitization procedure. This work will improve the response time for searching for records and will create a second 'security copy'; and
- Reducing the complexity of IM deliverables to the BCS team.

In 2019, BCS has advised IM that they will be conducting a process review of the Access to Building Permit Records service. Once this work is complete, IM will work with BCS to define IM roles and responsibilities with regard to BCS local information collections.

### **Light Rail Supports**

IM continued to support the Stage 1 Office and began working with the Stage 2 Office. IM attended SharePoint meetings to provide guidance about managing records in SharePoint and sharing records between the two offices.

### **Two Renewed Contracts**

In 2018, two contracts ended:

- The Destruction (Shredding) of Temporary Records contract.
- The Records Storage and Destruction Services and Records Supplies contract.

IM worked closely with Supply Services and consulted with the City Archives to update the RFT for shredding services and to develop a new RFP for Records storage and handling services. Both contracts were awarded to Iron Mountain.

### **Coaching and Development our Staff**

Over the past several years, Senior Leadership have been supporting the new coaching model, and servant leadership to enable our staff to succeed. These are supporting elements of the new culture at the City and the new approach to performance management. In response, IM hosted several sessions on the coaching model with all IM staff so they recognize and understand what coaching is and can be active participants in the coaching conversations with their supervisors. The following intact team workshops were done in partnership with Human Resource staff:

- On February 13 and 14, Individual Development Plan clinics for IMA,
- On July 27, GROW Coaching Model session for supervisors and analysts; and
- On November 28 and 29, GROW Coaching model sessions for IMAs.

In addition, several ergonomic demonstration sessions were held with records office staff to review workplace practices. Staff have also started working on their Individual Development Plans with their supervisors and regular check-in conversations are being conducted. This work will continue throughout the 2019.

### **Giving Back to the IM Community**

Over the past several years IM has been actively supporting our local IM community. The Program Manager for IM volunteered with the 2018 ARMA National Capital Region, Fall IM Days conference held from November 14-16. The participation was as part of the conference steering committee and as a lead in a mentoring session. On September 27, IM hosted an orientation for Algonquin College, Library and Archives Program students. We walked the students through 'A day in the life of an IMA'. Lastly, in April we supported the College's co-op program by providing a work experience placement and several learning opportunities for a student.

### **Iron Mountain Facility Damage**

The City's commercial offsite secure records storage provider, Iron Mountain, experienced significant wind damage to the exterior walls of their Kenaston street location. News coverage showed images of records boxes exposed to the outside elements. The damage occurred on July 2<sup>nd</sup>. On July 3, a senior employee from the IM Branch met with Iron Mountain's on-site supervisor. Iron Mountain demonstrated to the City official that a security guard had been posted outside of the damaged area since the incident and would remain posted there until the facility-specific siding was replaced. No unauthorized persons were allowed on the property until a complete damage assessment was completed.

Over the following days, City staff maintained close contact with the vendor, including making site visits to obtain progress updates and to verify security measures. As soon as the area was stabilized, Iron Mountain conducted an audit for water damage on boxes in the affected areas and in the peripheral bays. On July 11, the vendor advised that no water damage of any box was found. They further provided the City with a list of 134 boxes that were located in the exposed area.

On July 19, staff from the City of Ottawa Archives and IM reviewed all 134 boxes. They confirmed that no City records were damaged. Throughout the recovery process, IM

provided regular updates to the Office of the City Clerk and Solicitor and in July produced a management bulletin summarizing the incident and response. These details were also communicated in a memo to council, dated July 24th, 2018.

### **AccessAbility Day and Elections**

On May 31, 2018, the IM Branch participated in 'AccessAbility Day', an annual public event. A member of IM staff worked with the City's Accessibility Office and contributed to the planning, set up and execution of the event. The theme was physical and mental health wellness. Highlights included special guest speakers: Tyrone Henry and Todd Nicholson, both multi-award winning para-athletes. There were also a number of break-out information sessions designed to support people with disabilities and their ability to fully and equitably participate in our society.

In addition, the IM Branch also supported the Elections Office during the 2018 municipal election period with volunteers and records services.

### **IM Communicating to City Staff**

The IM Branch is committed to supporting City staff with their records obligations and in conjunction with training and records services, IM maintains a sustained communications effort. In 2018, IM created over 18 separate items using a variety of media and channels. Items included: management bulletins, In the Loop articles (available to all City staff), targeted items for selected teams, information booths, partnering with client groups such as O-Train Construction and creating professional videos on the value of IM for the City's management team.

Document 3

### **Summary of IM Planned Activities for 2019 and Beyond**

#### **RMS renewal**

The physical records management system is RMS. First implemented shortly after amalgamation, this system is long overdue to be replaced. An in-house project to redevelop the application will commence in Q1 of 2019. This will include requirements definitions, technology planning, implementation, and training.

#### **BIMS renewal**

BIMS replacement work is well underway, with an RFP planned for Q4 2019. This new application will integrate well with SharePoint.

#### **SharePoint Online Project**

Working closely with ITS, IM will assist in establishing Information Governance rules for Office 365 and SharePoint. These rules will determine things such as:

- When is a new site created?
- What happens when a site is decommissioned?
- How are the metadata rules defined for libraries?
- Who creates new libraries on a SharePoint site?
- Who provides support for issues as they arise?

#### **Rail Implementation Office (RIO) Stage Two – IM support**

IM will assist with data migration to SharePoint sites, and other information management issues as they arise. IM will also work with the stage one office to ensure all records are captured as that phase closes.

#### **Communicating Disposition**

The timely authorizing of the destruction of physical records is essential. In 2019, IM will undertake a communication plan to help staff better understand their obligations in this area.

#### **Records operational review with two clients**

Every year, IM chooses two large clients to review how their records are managed and processed. In previous years this has included Fire Services, Ottawa Public Health and

Building Code Services. The goal is to improve efficiency, record security, and decrease cost.

Document 4

### **City of Ottawa Archives 2018 Results**

The following provides details on work done in support of items identified by the Archives in its 2017 annual report as strategic initiatives.

#### **Improve / streamline Continuous Disposition Authority (CDA) process**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

Continued appraisal work in 2018 yielded further information on the merits and faults of the CDA mechanism, details which will mean a better informed process review in the coming years.

#### **Cull non-archival material from Legacy transfer**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

#### **Working collaboratively with IM, process manual accessions**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

Work in these areas is reported in the “Appraising to Ensure Relevance” section of the 2018 IM/Archives Annual Report.

This year, the Archives staff were assisted in compression work by two part-time staff funded by Young Canada Works grant (Tom Markowski and Eric Nsisabira) and a field placement student (Leo Joy-Clark).

#### **Develop Archives consortium**

*HC4 – Support Arts, Heritage, and Culture*



*GP1 – Strengthen public engagement*

*+ Responding to 2014 Royal Society of Canada Expert Panel Report “The Future is Now”*

Exploratory queries toward the establishment of a local council of archivally-minded organizations found that interest in such a meta-group was not strong. Instead there seemed to be a preference for a possible expansion of the City of Ottawa Archives’ branch network, currently consisting of the existing Central Archives with Rideau and Gloucester Branches. This concept would see new Branches in the East and the West of the City and would achieve the same objectives as the Consortium: situating the Archives more closely to organizations needing assistance with archival issues. The Archives’ Rideau Branch, where eleven volunteers worked over 2,700 hours in 2018, would provide an excellent working model of a participatory archives, heavily engaged with the local communities, for developing new Branches.

**Engage under-represented communities through documentation planning**

*HC1 – Advance equity and inclusion for the city’s diverse population*

*HC4 – Support Arts, Heritage, and Culture*

The Community Archivist continued to develop an appropriate framework for analyzing the documentation situation and needs of the Archives. To optimize the usefulness of this endeavour, the intention is to develop a scheme agile enough to address not only core private records documentation needs but also those of civic records, while also serving reference and other corollary needs as well. The team therefore was broadened to include representatives from these areas in the planning process, aiming to achieve comprehensive coverage of the local documentary universe.

**Respond to Truth and Reconciliation Commission Report**

*HC1 – Advance equity and inclusion for the city’s diverse population*

The City of Ottawa Archives presented a statement responding to Call to Action #70 and Call to Action #77 of Truth and Reconciliation Commission (TRC) Report, regarding the role of the Archives and its relationship to community at a meeting of the Aboriginal Working Committee subgroup on 3 May 2018.

In developing the *Postcards from Ottawa: Traveller Tales* exhibit, which launched in August 2018 in the Barbara Ann Scott Gallery, the Archives collaborated extensively with Algonquins of Pikwàkanagàn First Nation and Kitigan Zibi Anishinabeg First Nation. In addition to artifacts loaned to the Archives for the exhibit, components of the exhibit were translated into Algonquin and Cree.

Discussions were held with Ron Bernard, Councillor, Algonquins of Pikwàkanagàn First Nation, concerning interest in the history of Golden Lake and unceded territory and connecting him with Library and Archives Canada to facilitate future research.

The Archives has also been working with the Association of Canadian Archivists TRC taskforce to help develop a Guide to assist First Nations in establishing archives.

### **Develop long-range plan for exhibitions**

#### *GP1 – Strengthen public engagement*

Opportunity arose in 2018 to re-orient a vacated position to bear direct responsibility for outreach and exhibit programming at the Archives. All necessary approval steps have been completed, and the position will be staffed in 2019.

### **Respond to display requests from Mayor's Office / Protocol**

#### *EP1 – Promote Ottawa*

#### *HC1 – Advance equity and inclusion for the city's diverse population*

#### *HC4 – Support Arts, Heritage, and Culture*

*GP1 – Strengthen public engagement*

The City of Ottawa Archives exhibition and outreach program supports the Mayor's Office initiative to make City Hall a “people” place. The Archives is responsible for programming the Barbara Ann Scott Gallery and a number of small displays at City Hall. One notable addition in 2018 was a sesquicentennial time capsule curated by City Council that was set into the wall at City Hall, with an accompanying plaque. In the Heritage Building, the Archives is responsible for the Mayor's Portrait Gallery, Mayor's Gifts display, and, as of late 2018, the Ottawa Sports Awards and the Ottawa Sports Hall of Fame. In total the Archives manages approximately 5,000 square feet of exhibit space at the two buildings.

The Archives works with the Office of Protocol supporting events and celebrations. In 2018, the Archives provided support for the inauguration of the new City Council, curated a display on the history of mayoral regalia for Doors Open, displayed selected Mayor's Gifts for visits of specific dignitaries, curated a photographic display for an event celebrating Ottawa service clubs, and provided historical research and digital images as requested.

**Develop and implement strategy to engage City staff / improve knowledge in the corporation of Archives products and services**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

Specific tools have been developed for Ozone and the City's web site to aid staff and residents alike in accessing and using resources available at the City Archives. These resources will be rolled out in 2019.

**Develop Archives Comprehensive Preservation Plan**

*HC4 – Support Arts, Heritage, and Culture*

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

The Conservator completed the “City of Ottawa Archives Preservation Assessment and Recommendations Project Plan” and submitted it in 2018 in compliance with the development of a comprehensive preservation program. This detailed proposal delineates project strategies for the assessment of archival preservation needs to recommend actions for the short and long for the preservation program. Amongst other actions, the project identified the preservation survey of pre-amalgamation corporate holdings as a strategic priority to coincide with the compression project. The project plan follows best practice as outlined by the Canadian Council for Archives Conservation Guidelines, and research supported by the Canadian Conservation Institute, the Canadian Association for Conservation, the American Institute for Conservation and the American Society of Archivists.

Existing core elements of the preservation program received their annual update. These include the Conservation policy, Preservation Policy, Emergency Response Plan for Collections, and the Emergency Response Plan for the Cool Vault. The conservator also created the following conservation related guidelines for review to assist staff with preservation advice in their daily work:

- Conservation Guidelines for Light Exposure
- Conservation Guidelines for Handling Degraded Negatives
- Preservation Guidelines for Storage of Audio Visual Materials
- Conservation Guidelines for Storage and Handling of Hard Drives

In support of the Archives’ Rideau Branch, the conservator completed the “Rideau Branch Preservation Assessment and Recommendations,” involving a thorough review of preservation conditions and activities at the Branch, followed by recommendations for the short and long term, in the aim of preserving their valuable holdings for future generations.

**Donors of cultural property acquired by the City of Ottawa Archives in 2018**  
(Reported under Delegation of Authority By-law 2016-369, Schedule C, Article 36)

Alexander Books, Ancaster, ON

Mary E. Armstrong, Ottawa, ON

Auxiliary of the Ottawa Humane Society, Ottawa, ON

Betty Bergin, Ottawa, ON

Bruce Bracken, Ottawa, ON

Clive Branson, Ottawa, ON

British American Bank Note Company Ltd, Ottawa, ON

Lois Brownlee, Ottawa, ON

Mary Brownlee, Ottawa, ON

Busting Out Dragon Boat Team, Ottawa, ON

Canadian Nordic Society, Ottawa, ON

Canadian Tribute to Human Rights Inc, Ottawa, ON

Owen Cooke, Ottawa, ON

Debra Davey, Ottawa, ON

Friends of the Rideau Township Archives, Ottawa, ON

Elizabeth Helene Grant, Ottawa, ON

Evelyn Goulet, Ottawa, ON

Valerie Knowles, Ottawa, ON

Knox Presbyterian Church, Ottawa, ON

Estate of Coral Lindsay, Ottawa, ON

Manotick Book Club, Ottawa, ON

Emilie Moodie, Perth, ON

Doug Orr, Ottawa, ON

Ottawa Amateur Radio Club, Ottawa ON

Ottawa Municipal Chapter, Imperial Order of Daughters of the Empire, Ottawa, ON

John Patton, Ottawa, ON

Rideau Township Historical Society, Ottawa, ON

Sons of Scotland Camp Argyle No. 26, Ottawa, ON

Unitarian Universalist Fellowship of Ottawa, Ottawa, ON

Pandora Weller, Ottawa, ON

Joan I. Wilson, Ottawa, ON

Alex Wyse, Ottawa, ON

Zonta Club of Ottawa, Ottawa, ON

**Document 5**

**City of Ottawa Archives Strategic Initiatives for 2019**

Overall, while directly contributing to one long-term sustainability goal of the city – that of Culture and Identity – the Archives by its very nature indirectly supports all twelve goals by keeping and providing access to information potentially of aid to the City in pursuing these goals.

Beyond this general applicability, the Archives seeks to support the corporate direction of the City by furthering specific Term-of-Council Priorities, where it is able. At the time this report was drafted, the new Council had not yet selected its Term-of-Council Priorities. Archives planning work, therefore, remains attuned to the existing City Strategic Plan but will be revised once the new one is issued in summer 2019. Note that The Office of the City Clerk and Solicitor does not currently oversee any of the City's Strategic Initiatives.

**Improve / streamline CDA process**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

Work will continue on this in 2019, with archives staff reaching out to the departments to talk to the employees at the ground level of records creation.

**Cull non-archival material from Legacy transfer**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

The Archives will carry on with its task of identifying duplicates and copies in pre-amalgamation records. This objective is now integrated into IM tasks, attached to Workstreams as a re-appraisal of archived records.

### **Working collaboratively with IM, process manual accessions**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

The Archives will be continuing this important corporate records process as well. For example, permanent records previously sent to the Archives through internal mail will be prepared for integration into RMS. Since these processes involve post-amalgamation records, the civic government archivists will be working together with IM.

### **Develop network of participatory archives hubs**

*HC4 – Support Arts, Heritage, and Culture*

*GP1 – Strengthen public engagement*

*+ Responding to 2014 Royal Society of Canada Expert Panel Report “The Future is Now”*

The Archives looks forward to acting on its initial groundwork for developing a network of heritage hubs, where the Archives can directly engage with local citizens in developing and putting forward its archival processes, in the West (Stittsville) and perhaps also the East (Cumberland Ward) of the City, principally modelled on its very successful Rideau Branch, since amalgamation operating as a hub in Ottawa’s rural South.

### **Engage under-represented communities through documentation planning**

*HC1 – Advance equity and inclusion for the city’s diverse population*

*HC4 – Support Arts, Heritage, and Culture*

The documentation planning team will complete work on an analytical framework and will engage in preliminary analyses aimed at representing both the make-up



of the archival collections and the areas of interest for collecting strategy, both necessary for identifying the level and nature of under-representation of local communities.

### **Respond to Truth and Reconciliation Commission Report**

#### *HC1 – Advance equity and inclusion for the city’s diverse population*

More effort will be directed toward this goal in the coming year, including organizing a thank-you event for Algonquins of Pikwàkanagàn First Nation and Kitigan Zibi Anishinabeg First Nation for their support of our exhibits program (Spring 2019).

### **Develop long-range plan for exhibitions**

#### *GP1 – Strengthen public engagement*

The new Exhibits and Outreach Officer position will be staffed in 2019. Once filled, the new Exhibit and Outreach Officer will make it a priority to develop long-range plans.

### **Respond to display requests from Mayor’s Office / Protocol**

#### *EP1 – Promote Ottawa*

#### *HC1 – Advance equity and inclusion for the city’s diverse population*

#### *HC4 – Support Arts, Heritage, and Culture*

#### *GP1 – Strengthen public engagement*

The City of Ottawa Archives will continue to support the Mayor's Office through its responsibility for Barbara Ann Scott Gallery and for displays at City Hall and the Heritage Building. It will also continue to work with the Office of Protocol supporting events and celebrations.

**Develop and implement strategy to engage City staff / improve knowledge in the corporation of Archives products and services**

*GP2 – Advance management oversight through tools and processes that support accountability and transparency*

The new Exhibits and Outreach Officer position will develop additional tools to aid staff throughout the Corporation to use and take advantage of Archives products and services to aid their work.