

January 3, 2001

Chairperson and Members of Executive Policy Committee
2nd Floor
Council Building
510 Main Street
Winnipeg, MB
R3B 1B9

Your Worship:

Section 8(2) of By-law 6875/96 states:

8. In addition to the duties under Section 4, the Records Committee shall:

(2) submit an annual report to Council.

On behalf of the Records Committee, I am therefore pleased to submit the Record Committee's first annual report. The report provides information on the Records Committee and its members, identifies meetings that have been held, outlines initiatives that have been undertaken through the end of 2000 and examines future directions for 2001 and beyond.

Yours respectfully,

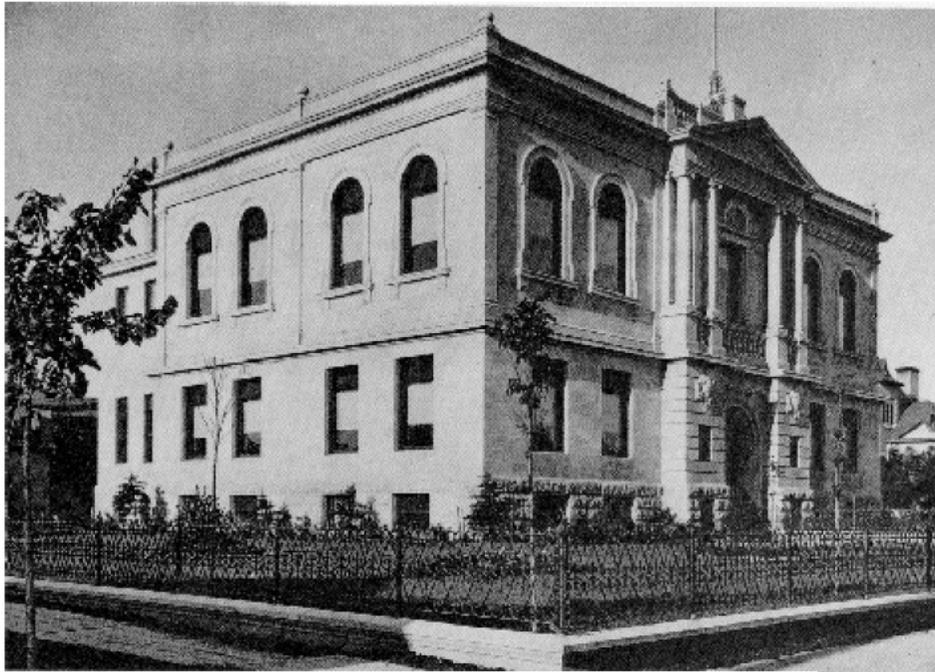
Marc Lemoine
Records Manager / Archivist
Chairperson - Records Committee

Enclosures



The City of Winnipeg

Records Committee



CITY OF WINNIPEG ARCHIVES & RECORDS CENTRE
380 WILLIAM AVENUE

ANNUAL REPORT
2000

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INTRODUCTION

Section 80(5) of the City of Winnipeg Act calls for Council to establish a committee to oversee the records management process in all Civic departments. To that end, Council passed by-law 6875/96 appointing the Records Committee and defining its mandate and duties.

Sections 7 and 8 of said by-law state:

7. *Council, by resolution, shall appoint a Records Committee which shall be comprised as follows:*
 - (1) *the city archivist, or designate, who shall be the Chairman of the Committee;*
 - (2) *the City Clerk or designate;*
 - (3) *the city treasurer or designate;*
 - (4) *the city auditor or designate;*
 - (5) *the city solicitor or designate;*
 - (6) *two citizens who shall not be employees of the city and whose term shall be for not more than 3 years.*
8. *In addition to the duties under Section 4, the Records Committee shall:*
 - (1) *make recommendations to Council, and implement policies and procedures approved by Council, for the management, retention, safe-keeping, disposition and destruction of records in all departments; and*
 - (2) *submit an annual report to Council.*

The Records Committee has met on a regular basis, dealing with subjects such as records management issues, corporate administrative procedures and individual department concerns. This report provides an overview of the committee, its members and its accomplishments to date. It also examines initiatives that are to be undertaken over the coming year.

MEMBERS OF THE RECORDS COMMITTEE

The Records Committee, in accordance with section 80 of the City of Winnipeg Act and by-law 6875/95 is comprised of seven members, each of whom brings a unique and critical knowledge set to the committee. This varied knowledge is required due to the complexity of the issues that must be considered when dealing with corporate records management procedures. For example, standard records management practice calls for administrative, legal, financial and historical concerns to be considered when developing records schedules.

The Records Committee members are:

- City Archivist (Chairperson)
Acts as the committee chair; brings knowledge and skills surrounding records management and archival issues.
- City Clerk or designate
Provides knowledge and skills on record keeping, civic government and administrative procedures
- City Treasurer or designate
Provides knowledge and skills on financial matters and the financial requirements surrounding record usage and retention
- City Auditor or designate
Provides knowledge and skills on audit matters and audit requirements surrounding record usage and retention
- City Solicitor or designate
Provides knowledge and skills on legal matters and legal requirements surrounding record usage and retention
- Two Citizen Members
Provide community and academic perspectives on the importance of records management and archives in relation to City of Winnipeg records

Our current citizen members are:

Dr. DeLloyd Guth is a professor of Law and Legal History at the University of Manitoba in the Faculty of Law

Dr. Tom Nesmith is a professor at the University of Manitoba in the Faculty of Arts, where he directs the Masters of Archival Studies program

MEETINGS

The Records Committee has met on a regular basis since its initial meeting on January 27, 1997. Meetings take place in the Council building of City Hall at 510 Main Street. Meetings often include other parties, including delegations from departments or experts providing information to the committee on a particular issue. Topics of discussion have included record retention setting, policy development, the role of the City Archives and an examination of corporate record management practices and procedures. A listing of the dates of meetings held follows.

1. June 18, 1997
2. September 3, 1997
3. October 1, 1997
4. November 6, 1997
5. December 10, 1997
6. January 7, 1998
7. March 4, 1998
8. April 1, 1998
9. June 10, 1998
10. July 24, 1998
11. December 16, 1998
12. January 20, 1999
13. March 10, 1999
14. April 21, 1999
15. June 14, 1999
16. August 18, 1999
17. September 15, 1999
18. November 24, 1999
19. April 5, 2000
20. May 17, 2000
21. June 26, 2000
22. September 27, 2000
23. December 6, 2000

INITIATIVES

(a) The Access Guide To City Records

The creation of the Access Guide began with the passage of Provincial Bill 32 in 1989. This bill included a section dealing with the establishment of an Access to Information process to facilitate citizen access to records held by the City. As a result, by-law 6420/94 was adopted by City Council and came into effect on January 1, 1996. The by-law called for the creation of an Access Guide as stated:

- (1) The Chief Commissioner of the City shall cause an access guide to be compiled by January 1, 1998 containing:*
 - (a) instructions on exercising a right of access, including a summary of the procedures for requesting access and making appeals;*
 - (b) a complete description of the organization and functions of each department; and*
 - (c) a complete description of the types of records of each department, including retention and disposition provisions.*

The Records Committee, in 1997, assisted in the development of the first comprehensive listing of all City records held by all departments, entitled the Access Guide to City Records. While its initial purpose was to provide the public with a source for understanding what records the City possessed and what departments controlled them, the Access Guide soon became an indispensable tool for all departments. Today it is used by departments as a means of understanding where records are located and as a record retention schedule listing for how long records need to be retained. Requests for copies of the guide from other municipalities are frequent, for use as a model for their own similar projects.

The Records Committee's role in this initiative was to approve the content of the Access Guide, ensuring that record listings are complete and that retention values are consistent and meet the administrative, legal, financial and historical needs of the City.

A sample page from the Access Guide has been included as Addendum B to this report

On September 9, 1998, by-law 7272/98 was adopted, repealing the Access to Information by-law 6420/94, and replacing it with the Provincial Freedom of Information and Protection of Privacy Act. This act also requires that the City produce an Access Guide.

(b) Consultant's Report on Records Management

In the Public Trust: A Strategic Plan for Archives and Records Management Services in the City of Winnipeg – Dr. Terry Cook

Through the hearing of departmental delegations, the Records Committee found that while improvements had been made in the area of records management, many departments were still struggling with this function. This was due to many factors including recent reorganizations, loss of staff and inadequate resourcing of the records management function. In order to shed further light on these problems, the Records Committee, with the approval of Executive Policy Committee, commissioned Dr. Terry Cook, former director of the National Archives to undertake a study of the records management and archival processes at the City of Winnipeg.

Under the Record Committee's direction, Dr. Cook delivered a report that identifies the pressing issues and concerns surrounding the records management and archival functions at the City of Winnipeg. The report includes a series of 71 recommendations to address the identified issues both at the departmental and corporate levels. The recommendations are laid out in an eight-year time line for implementation. The study was delivered to the Records Committee by Dr. Cook in late 1999 and was subsequently approved by Executive Policy Committee and adopted by Council at its meeting of January 26, 2000. The following is a list of recommendations that were adopted by council in regards to the Cook report:

1. That the Cook Report (attached as Appendix A) be adopted in principle, and that the Archives and Records Control Branch of the City Clerk's Department be authorized to develop a phased-in strategic implementation plan, based upon the findings and recommendations of the Cook Report, for the improvement of records management and archival functions across the City of Winnipeg.

2. That the City Clerk be directed to prepare an implementation plan, focussing on a strategy for changes to the staff establishment of the Archives and Records Control Branch of the City Clerk's Department (within the existing complement) to help prepare and implement "Phase One" dealing with records management and archives as part of the continuing restructuring of the City Clerk's Department.

3. That “Phase One” of the strategic implementation plan begin in the year 2000 and focus on both records management and archival issues as follows:

Records Management:

- (a) Establishment of a new records management infrastructure, across departments;**
- (b) Development of improved records policies, throughout city government;**
- (c) Setting up pilot projects within volunteer departments to test new approaches to managing and disposing of records; and,**
- (d) Investigation and planning for the creation of a Records Management Forum, to oversee records management functions and share best practices.**

Archives:

- (e) Clarification of mandate issues, within Manitoba’s new Freedom of Information and Protection of Privacy Act (FIPPA);**
- (f) Restructuring the City Archives operations to ensure that it is capable of participating in a revitalized appraisal and disposition of City records; and,**
- (g) Addressing outstanding file description and preservation concerns.**

4. That the Chief Administrative Officer explore the implementation of a Records Management Forum, with one representative from each department of the City of Winnipeg being delegated responsibility for records management functions within each department, as a member of the Forum, which will report back to Executive Policy Committee with suggested implementations within one year. A draft version of the potential roles, duties and responsibilities of the Records Management Forum and its members is attached as Appendix “A” to this report.

The executive summary of the Cook Report is included as Addendum A to this report.

(c) Development of the City Archives

The Records Committee recognises that the City Archives plays an important role in the records management life cycle. The City Archives acts as an authority and resource to all City departments by providing advice and direction in regards to records management procedures. It also acts as the City’s corporate memory, by preserving records with long

term historical value. The Cook report also stresses the importance of the City Archives in the areas of records management and archives

The duties of the City Archives as listed in the City of Winnipeg act, section 80(4), are:

80(4) The city archivist shall

- (a) establish and administer a system of record management to serve the current and long-term requirements and interests of the city;*
- (b) organize and administer the archives of the city to preserve records that are designated by the records committee to be of enduring significance;*
- (c) acquire, preserve and make available, subject to the agreement of donors, documents relating to the history of the city;*
- (d) encourage, promote and conduct research into the history of the city through programs of information for employees of the city, organizations, persons with an interest in certain aspects of the history of the city, and the general public; and*
- (e) prepare, publish, maintain and update a guide and index to records, and make the guide and index available to the general public in all city departments.*

As such, the Records Committee has examined and made recommendations on both the current practices and long-term direction of the City Archives. These include examinations of methodologies for public access to the archives of the City and concerns surrounding the affect of increased usage on fragile one of a kind records. Discussions on fundraising organizations and the setting up of special interest groups have taken place in order to increase the City Archive's visibility and funding opportunities. The City Archives was visited by the Records Committee and discussions took place around the physical facilities and how these could be modified to improve the City Archives both for the public and for health of the records stored therein. The Records Committee has also examined the role that the City Archives plays in terms of directing corporate records management policy, and has made recommendations regarding the delivery of this service. The goal is to ensure a standardised approach to records management in every department, directed by the City Archives, and overviewed by the Records Committee.

(d) 1999 Pan Am Games Records Project

As part of the 1999 Pan American Games agreement, the City of Winnipeg agreed to set up an archives of Pan Am Games records to form a lasting legacy of the event. In September of 1999, some 800 boxes of paper records along with CD-ROMs, videotapes and information in various other mediums was delivered to the City Archives. The Records Committee provided advice on the setting up the project and long term deliverables arising out of this and similar future acquisitions. As well, during the games, members of the Committee participated in presentations to and meetings with the Pan Am Games Society on the importance of records management and the value of the records they were creating as a historical memory of the event.

(e) Records Management Procedure and Guideline Development

The Records Committee recognizes that many departments are looking to revitalize their records management programs, but that expertise in this regard may not exist within the department. As such, the need exists for written guidelines and direction in terms of records management issues, especially for corporate records, which departments can look to as a starting point. Recognizing that the City Archives and Records Centre acts as a resource to departments in regards to records management advice, the Records Committee has worked with the City Archives to assist in the creation of written policies and guidelines. Policies created as the result of individual department needs can thus be shared across the corporation by the City Archives.

Policies that have been examined by the Records Committee include corporate record issues faced by all departments. These include the creation of guidelines for the retention of Personnel records, a record created and maintained by all departments. The goal of the guidelines are to ensure standardization across departments so that the Personnel records of each department will contain similar information. As well, the Committee is working with corporate and departmental information technology representatives to develop usage and retention policies for electronic mail and other electronic records. The Committee also continues to hear departmental delegations on specific record issues and provides advice and recommendations back to departments in this regard. Through the creation and distribution of written records management policies and guidelines, as well as other written documents such as the Access Guide, a body of knowledge is built up that provides consistency in records management operations across the corporation.

FUTURE DIRECTION

(a) Phased Implementation of the Cook Report

The Records Committee, working in conjunction with the City Archives, is currently developing and reviewing plans for a phased implementation of the recommendations contained in the Cook report.

The Records Committee recognizes the need to provide direct assistance to departments in the area of Records Management and Archives. This has been difficult to achieve in the past due to current resource restrictions at the City Archives. These restrictions will be addressed with two initiatives in 2000. Firstly, new staff will be brought on board at the City Archives who will be devoted to working directly in and with departments on their records management programs and initiatives. Secondly, a new records centre will be developed, providing more storage for departments to move records out of valuable office space, thus providing them with greater flexibility.

As well, the Records Committee recognizes that department's concerns must be heard and observed when creation of records management procedures and guidelines takes place. To that end, the Committee will be further examining the requirements for creation of a Records Management Forum as recommended in the Cook report. The creation of a Records Management Forum is currently under consideration by Chief Administrative Officer. This forum, which would be composed of Records Managers from each department, would act as a users group for presenting departmental needs, creating common solutions and would act as a forum for networking. The Records Committee will be developing high level strategies how this committee can best function, its mandate and role, and its relationship to other bodies such as the Records Committee.

Finally, the Records Committee will be examining its own role, as recommended by the Cook report. This examination will be to ensure that the committee operates as effectively as possible, providing advice to council as statutorily required and remaining responsive to departmental needs.

(b) Continued Procedure and Guideline Development

The Records Committee recognizes that the City has traditionally been weak in terms of creating written procedures and guidelines in the area of records management. The need for standardized procedures across the corporation is greater than ever. This is due to many factors including new technologies which are causing records to be created in many different formats besides traditional paper and new legislation such as the Freedom of Information and Protection of Privacy act, which has dramatically increased the City's statutory responsibilities

in regards to records. The Records Committee will continue with corporate areas and line departments to develop new written procedures and regulations be put in place. The goal is to create both efficiency and consistency across the organization. The initial focus will be to look at corporate records and record keeping systems that will benefit the greatest number of departments. The Committee will focus especially on policies for electronic records and record-keeping systems, where very little exists in terms of procedures or experience.

(c) **Publication of the Revised Access Guide**

The 1998 Access Guide to City Records has proven to be a valuable tool to both City departments and the general public. However, due to reorganization of departments into new configurations, the Access Guide now no longer reflects the City structure in all cases and must be updated. As well, the Freedom of Information and Protection of Privacy Act requires that the City update the Access Guide on a regular basis. In keeping with the recommendations of the Cook report, the Access Guide will be updated and reissued in 2001 and every three years thereafter.

Departments will be contacted in the fall of 2000 in regards to the commencement of this endeavour. Members of the City Archives will assist departments in the production of their individual listings and will co-ordinate the production of the overall document.

Once prepared, department representatives will appear before the Records Committee to receive approval of their listings. The role of the Committee will be to ensure completeness and consistency across departments. Once all listings are approved, the 2001 Access Guide to City Records will be published in both paper and on the City of Winnipeg Internet site.

(d) **Departmental Assistance and Direction**

The Records Committee will continue to assist departments with the development of their records management programs through the hearing of departmental delegations, the development and approval of specific procedures and guidelines for individual record series as requested by departments, through the issuing of generalized procedures governing the treatment of corporate records, and through feedback provided by the Records Management Forum.

The Committee will also recommend to Council an update to the current records management by-law 6875/96, with schedules of this by-law being updated to conform with the new Access Guide entries. This will facilitate department operations by providing one standard set of corporate retention and disposition schedules to abide by.

ADDENDUMS

ADDENDUM A

EXTRACT FROM THE EXECUTIVE SUMMARY OF THE COOK REPORT

Winnipeg is in danger of losing its memory.

This memory loss touches two dimensions: the poor management of current records in departments necessary for efficient public administration and effective delivery of services to citizens, and an incomplete programme for historical records so that citizens may, through a shared past, find roots for the present and imagine together a better future. Without sharpened memory, collective senility in public bodies is no less pleasant than in the personal sphere, and the results similarly impair healthy functioning and clear perspective. On the occasion of the City's 125th anniversary and its prestigious hosting of the Pan-Am Games (with their many records now needing care), the Records Committee felt the time was right to address these memory issues and so commissioned this report.

This study suggests strategic directions to enhance the management of both current records and historical archives. It seeks to respect the Mayor's recently articulated vision of giving Winnipeg leaner and smarter government with better services to citizens and his emphasis on heritage preservation and the unique historical character of the Gateway City. It attempts as well to respect the current limited resource base of the City, as well as the need to observe the legal requirements of the *City of Winnipeg Act*.

The proposed strategic plan has short-, medium-, and long-term phases, of roughly three years each (the first is shorter to get the infrastructure and guiding policies in place as quickly as possible). This three-phased approach recognizes the reality that all the needed work cannot be done at once, even with the resource increases that are recommended. The most pressing priority is building an effective and accountable records management infrastructure for administrative efficiency, increased productivity, better service, and cost savings, as well as producing better future archival records. It is important to view the archival programme as much for its integrated and essential participation in the records management life cycle as for its important heritage and cultural role in civic life. Two parallel (though often interrelated) streams of invigorated activity are therefore recommended in this report for the City's archival and records management programmes.

In the first phase of the strategic plan, for the years 2000-2002, the recommended focus is on establishing a new records management infrastructure, developing records policies, and testing the new recommended approaches to managing and disposing records through pilot projects; and, for the Archives itself, on clarifying mandate issues and getting the present Archives and Records Centre operations ready to participate in a revitalized appraisal and disposition of City records, and on addressing some

outstanding description and preservation concerns. In the second phase, 2002-2005, the emphasis is on launching multi-year disposition plans with one-half of the City departments and on managing electronic systems; and on expanding the Archives' activities to include all City departments' records in all media, and some private-sector records. In the third phase, 2005-2008, the emphasis is on launching multi-year disposition plans with the other half of the City departments and instituting records audits; and on extending the Archives' reach to the full extent of its mandate with private records, more aggressive outreach activities (web-site, educational, and reference services), and resolving the question of a city museum.

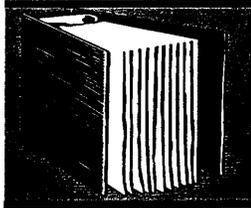
This strategy establishes important roles for a formally designated and accountable senior official for records management in each department, a new Records Management Council of those officials and Archives' staff, a more autonomous and renamed Winnipeg City Archives and Records Centre, and a renamed Records and Archives Committee. Several changes will require Senior Management and City Council approval, and formal codification in bylaw.

The strategy recommends a mutually beneficial partnership between senior management, line departments, and the Winnipeg City Archives rather than central regulation or command-and-control models. With such decentralized empowerment, however, comes the need for accountability frameworks and programme compliance audits to ensure implementation. The strategy also builds on the City Archives' tradition of seeking partnerships with others heritage and archival entities, and suggests additional ways through partners that may get work done at lower cost than investing directly in infrastructure and human resources.

The study will form the basis for additional reports by officials to make its findings compatible with City priorities and its strategic directions, once approved, part of the City's planning, budgetary, and operational cycles.

ADDENDUM B

EXTRACT : 1998 ACCESS GUIDE TO CITY RECORDS



January 1, 1998

ACCESS GUIDE TO CITY RECORDS

COMMUNITY SERVICES

FINANCE AND ADMINISTRATION
280 William Avenue, Wpg. R3B 0R1

Access to Information Coordinator
Phone: (204) 986-7959
Fax: (204) 986-3706

RECORD TITLE	RECORD DESCRIPTION	RETENTION PERIOD
Accounts	Financial records including invoices, receipts, purchase orders, requests for payment, current general contracts, medical contracts, telephone transactions, supplies, staff training and courses, general ledger, open purchase orders, year end payables. Also includes monthly car allowance payables, electronic letters, memos, spread sheets regarding accounts payable, accounts receivable and purchases, subscriptions, and book files.	6 years
B.T. 201/72 & Taxicabs	Correspondence pertaining to License By-law 201/72 and Taxicabs.	6 years
Bicycles	Bike auction and miscellaneous correspondence including files related to the One Time Bicycle Registration Program.	6 years
Budget	Files and information related to the department's Budget process.	Permanent
Committee Reports	Various reports sent to Committee on Finance.	Permanent
Complaints	Complaints made and results for people operating under General License By-law No. 6551/95.	6 years
Computer Files	Letters, By-laws, extracts, pamphlets and forms.	6 years
Director's Files	Files related to the operations of the Community Services Department and the City of Winnipeg.	2 years
Equipment	Vehicle reports, accident reports, and correspondence.	6 years
Enforcement	Prosecution files, enforcement training files, Common Offence Notices, Badges, Wallets, certified By-laws, I.D. Camera, film and blanks.	Permanent
Home Occupation	Home Occupation Licenses, complaints and Development permits.	6 years
Human Resources	Reports, memoranda, periodicals, and case histories.	Permanent