

Electronic Records Disposition Procedure

Overview

Disposition is the final stage of a business record's lifecycle. It ensures that when records meet the end of their retention period, they are:

- a. Destroyed in an appropriate manner, or
- b. Transferred to City of Toronto Archives, or
- c. Retained, if a legal hold is applied as a result of a current or anticipated investigation that suspends the normal disposition or processing of records.

The disposition of business records, regardless of format, is an essential step in maintaining a reliable and effective records management program.

Purpose

The purpose of this procedure is to outline roles, responsibilities, required documentation, and steps for Records Services (RS) staff when engaging their Divisional clients through the electronic records disposition process.

Scope

This procedure applies to Divisional electronic business records in systems not managed by Records Services, e.g., shared network drives, business-specific software, etc. Divisional business records in T-Recs, the OpenText Content Server system jointly managed by RS and the Technology Services Division (TSD), are addressed in a separate procedure.

Roles & Responsibilities

Divisions are responsible for:

- a. Deciding on, with assistance from Records Services, the classification and retention period of their electronic business records
- b. Identifying when electronic business records are eligible for disposition including the identification of any records that are subject to a current or anticipated claim, litigation, investigation, legal hold, Freedom of Information (FOI) request, audit or program review that warrant postponing their disposition;
- c. Informing Records Services of the intent to disposition records;
- d. Authorization for the disposition of records (Division Head or delegate);

- e. Undertaking and documenting the disposition of eligible records after authorizations are complete, by either:
 - a. Completely destroying records authorized for destruction;
 - b. Coordinating archival transfer of eligible records that have been appraised to warrant continued preservation at the City Archives;
- f. Maintaining a copy of the disposition documentation and providing Records Services, CIMS with a copy of their disposition documentation, including a Certificate of Destruction.

Records Services is broadly responsible for leading and maintaining the City's corporate-wide disposition program.

Records & Information Analysts (RIAs) are responsible for working with their divisional clients to prepare Records Disposition Lists of eligible records.

Senior Records & Information Analyst (SRIA) is responsible for:

- a. Assembling and managing the Electronic Records Destruction Authorization packages (eRDAs) and Electronic Archival Records Transfer Authorization packages (eARTAs);
- b. Coordinating disposition reviews and authorization signatures;
- c. Logging and maintaining authoritative CIMS copies of disposition packages, including Certificates of Destruction.

Senior Project Managers (SPMs) are responsible for:

- a. Providing management oversight of the records disposition program within Records Services and initiating standardization and updates to the program;
- b. Providing overall supervision of Records Services staff participating in the disposition process;
- c. Conducting final reviews and signing off on disposition packages for Records Services.

Toronto Archives is responsible for:

- a. Conducting the archival appraisal of eligible records to determine if any warrant long-term preservation by the Toronto Archives;
- b. Reviewing eRDAs to ensure that records to be destroyed have no archival value;
- c. Accepting and coordinating the transfer of electronic records with archival value into the custody of Archival Services.

Review & Authorization Signatures

eRDAs and eARTAs must include confirmation of review signatures from:

- a. Senior Records & Information Analyst, Records Services;
- b. Senior Project Manager, Records Services, responsible for the Division;
- c. City Archivist;

An authorization signature from:

- d. Division Head, or their assigned delegate with signing authority, for records disposition.

Procedure

Disposition Package Creation & Review

1. When a Division has determined that they have electronic business records that are eligible for disposition, they will contact their RIA to begin the disposition process.
2. The RIA will provide the [Records Disposition List \(RDL\) template](#), and assist the Division in completing it, including identifying the records classifications, retention periods, and disposition values.
 - a. If the Division identifies that they will be decommissioning, converting, or migrating their records or data, advise them of CIMS' relevant guidelines to ensure they are following best records management practices and maintain the authenticity of their records:
 - i. [Digital Records Conversion and Migration Guideline](#)
 - ii. [Decommissioning Business Applications Guideline](#)
3. The RIA will, if necessary, split the RDL into separate lists for series that have a disposition of 'Destroy' (RDA) or records that have a disposition of 'Archival Review' (ARTA).
4. The RIA will forward the completed Records Disposition List to the SRIA, cc'ing their SPM.
5. The SRIA will:
 - a. Assign a Disposition ID to the request and log it in the [SRIA Task Tracker](#)
 - b. Review it for accuracy (see eDisposition Checklist in [Appendix B](#)) and assemble the draft Electronic Records Destruction Authorization (eRDA) or Electronic Archival Records Transfer Authorization (eARTA) ([Appendix B](#)) package as a PDF and place the documents in the [T-Recs Disposition](#) folder.
 - c. The PDF will be named with the Disposition ID and use either the eRDA or eARTA code as applicable. The draft disposition package includes:
 - Records Destruction or Archival Records Transfer Authorization cover page;
 - Review and Authorization Signatures page;
 - Records Classification list (Including RSI, Title & Description, Retention, and Disposition);
 - Records Disposition List.

6. The SRIA will send the PDF draft disposition package to the RIA and the divisional representative, along with the eDisposition Checklist, for review and validation.
 - a. [See email templates in [Appendix B](#)]
 - b. The SRIA will ensure that the Division understands that the Archives may acquire or allow destruction of the records at their sole discretion, and that the Division will no longer own any records acquired by the Archives.
7. The RIA, and Divisional representative update the package with any feedback or required changes, then send it to the SPM.
8. The SPM will review the package, as per the eDisposition Checklist, and consult with the RIA or SRIA if any changes are needed. Once all changes are made, the SPM will notify the SRIA, cc'ing the RIA, that the package has been reviewed.
9. The SRIA will finalize the package.
10. The SRIA will send the final disposition package to Archival Services for the archival review & disposition recommendation.
11. Archival Services will review the package and provide a recommendation on disposition. If applicable, they will create and sign an Archival Memorandum listing any records that they have decided to accession, if the series has a disposition of "Destroy";
12. The SRIA will append the Archival Memo to the disposition package.

Disposition Package Authorizations

13. The SRIA will sign the Review and Authorization page and then send the eRDA/eARTA to the SPM.
14. The SPM will sign the Review and Authorization page and return the eRDA/eARTA to the SRIA.
15. The SRIA will send the eRDA/eARTA to the City Archivist.
16. The City Archivist will sign the Review and Authorization page and return the eRDA/eARTA to the SRIA.
17. The SRIA will send the eRDA/eARTA to the [divisional signatory](#)
18. The divisional signatory will sign the Review and Authorization page and return the eRDA/eARTA to the SRIA.

Implementing & documenting disposition

19. The SRIA will send signed package, accompanied by the Certificate of Destruction ([Appendix B](#)) for Electronic Records template (if disposition is destroy), to the divisional

representative to implement the final disposition (destroy or transfer to archives). If there are records to be transferred to the City Archives, they will be cc'd, in order to coordinate the transfer.

20. The Division will carry out the destruction, and once destruction is completed will send a copy of the completed Certificate of Destruction for Electronic Records to the SRIA. If an external vendor was used for the destruction, a copy of the destruction documentation provided by the vendor should also be included.
21. The SRIA will file the eRDA/eARTA package and the Certificate of Destruction for Electronic Records in the designated Disposition folder, arranged by year.
22. If there are records for archival transfer, it is the responsibility of the Division to arrange electronic records transfer with the City Archives.

Appendix A – Definitions

Archival Records: Records designated by the City Archivist that warrant continued preservation.

Certificate of Destruction: A document stating that identified records were destroyed in accordance with the City's Records Retention Schedule.

Disposition: The actions taken to implement the final stage of records retention, i.e. destruction, or transfer to the City Archives.

Disposition ID: Assigned by the Senior Records & Information Analyst-Retention (SRIA-R), the Disposition ID will include either 'eRDA' or 'eARTA'.

Electronic Records Destruction Authorization package (eRDA): An official document that identifies records that have reached the end of their retention period and authorizes their destruction pursuant to *Toronto Municipal Code Chapter 217, Records, Corporate (City)*. The eRDA package should only include record series with a disposition of 'Destroy'. It includes the following:

- a. Records Destruction Authorization cover page;
- b. Archival memorandum, if applicable, listing any records that they have decided to accession;
- c. Review and Authorization Signatures page;
- d. Records Classification list (Including RSI, Title & Description, Retention, and Disposition);
- e. Records Disposition List (RDL).

Electronic Archival Records Transfer Authorization package (eARTA): An official document that identifies records that have reached the end of their retention period and authorizes their transfer to the City Archives pursuant to *Toronto Municipal Code Chapter 217, Records, Corporate (City)*. The eARTA package should only include record series with a disposition of "Archival Review". It includes the following:

- a. Archival Records Transfer Authorization cover page;
- b. Review and Authorization Signatures page;
- c. Records Classification list (Including Record Series Identifier (RSI), Title & Description, Retention, and Disposition).
- d. Records Disposition List (RDL).

Records Disposition List (RDL): Lists the electronic records identified for disposition, including:

- a. **RSI (code) & Title:** Record Series Indicator (i.e., the 'Code' in TMC Ch. 217, Schedule A, and Records Title);
- b. **Unique Identifier:** System- or manually-generated identifier that marks that particular record as unique from every other record, e.g., case number, URI;
- c. **Records Description:** Brief description of the records;
- d. **File Size:** Volume of the records, in MB, GB, TB, etc.;
- e. **Format:** Format of the records, e.g., Word docx, PDF, MPEG, etc.;

- f. **Start Date:** Earliest year represented in the records, or the earliest date the records were created;
- g. **End Date:** Latest year represented in the records, or the latest year the records were closed;
- h. **Record Owner:** Division, section, or unit that created or is responsible for the identified records;
- i. **System:** Name of the system or application where the electronic records are stored, e.g., T-Recs, SharePoint, shared network drive;
- j. **Location:** Location of the records or information on the City's server. This may include server name, file path, or other such information that identifies where this information can be found in City's electronic infrastructure;
- k. **Disposition:** Destroy or Archival Review.

Records Retention Schedule: An authority comprising of a description of a body of records, a retention period for those records and a disposition rule stating whether, at the expiry of the retention period, the records are to be destroyed or preserved by the City Archives.

Record Series Indicator (RSI): The alphanumeric code used to identify records retention classes/series.

Appendix B – Templates & Checklist

[Electronic Records Archival Transfer Authorization package \(eARTA\)](#) template, including:

Word template for use by the SRIA:

- a. Disposition Authorization cover page
- b. Review and Authorization Signatures page

Excel template for use by the RIA & the Division

- c. Electronic Records Disposition List (eRDL)
- d. Records Classification list

[Electronic Records Destruction Authorization package \(eRDA\)](#) template, including:

Word template for use by the SRIA:

- a. Disposition Authorization cover page
- b. Review and Authorization Signatures page

Excel template for use by the RIA & the Division

- c. Electronic Records Disposition List (eRDL)
- d. Records Classification list

[Certificate of Destruction for Electronic Records](#) template

[Electronic Records Disposition Review Checklist](#)

[Electronic Records Disposition List \(eRDL\)](#)

[Email Templates for Records Services Staff](#)