



*The Corporation of the Municipality of Wawa
Staff Report*

Clerk

Prepared For: Council	Report No.: CC 2021-09
Agenda Date: October 19, 2021	File No.: 1.5

Subject

The purpose of this report is to obtain Council's approval to apply for funding through the MMAH Modernization Intake 3 Implementation Stream for up to \$152,000 to undertake a needs assessment (audit); schedule roll out for the implementation of the TOMRMS system, implement an electronic records management system including Change Management and Workflow, e-Forms design; backfiling and scanning of current paper records, including the purchase of one high speed scanner; and ensure quality control through the review of the backfiling / scanning project.

List of Stakeholders

The list of Stakeholders includes:

The Municipality of Wawa
All Departments within the Municipality of Wawa
Mayor and Council

Summary of Recommendation

RESOLVED THAT the Council of the Municipality of Wawa hereby:

1. Receive the Clerk's Report No. CC 2021-09: Records Management Implementation Project.
2. Direct staff to apply to the MMAH Modernization Fund Intake 3 Implementation Stream for up to \$152,000 in order to implement the Records Management Program (paper and electronic) as recommended by the Municipal Government Wayfinders Transformational Review dated August 2021 and Staff Report CC 2021-009.

Respectfully Submitted By: Cathy Cyr Clerk	Reviewed By: Maury O'Neill CAO-Treasurer
Name/Signature/Title 	Supervisor's Name/Signature/Title 

Background

The current Records Retention by-law is in excess of 40 years old. Proper municipal record keeping is not only essential for effective day-to-day municipal operations but it is a statutory requirement as defined in the *Municipal Act, 2001*:

- Section 254 (1) states that a municipality shall retain and preserve the records of the municipality and its local boards in a secure and accessible manner;
- Section 255 (1) states that except as otherwise provided, a record of a municipality or local board may only be destroyed in accordance with this section.
- Section 255 (2) states that despite Section 254, a record of a municipality or local board may be destroyed if a retention period for the record has been established under this section and,
 - The retention period has expired; or
 - The record is a copy of the original.

It is estimated that an approximate range of 25% - 40% of office worker time is spent searching for records. A staggering statistic but not unimaginable if we take into account of what is considered a record today. Records are typically thought simply as paper copies of documents although the actual definition is significantly more extensive. The word “record” today includes not only those typical paper documents but also emails, digital files such as Word documents, website content, amongst numerous other items.

The Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) requests depend heavily on a municipality’s ability to locate records in a timely manner. In order to perform the task of locating records, it is essential to have a system and processes in place.

In January, 2021, the Municipality of Wawa purchased the Ontario Municipal Records Management System (TOMRMS) and annual subscription from *The Information Professionals*.

What is TOMRMS?

TOMRMS is a universal coding/file classification system which is utilized by many Ontario municipalities and supported by the AMCTO (Association of Municipal Managers, Clerks and Treasurers of Ontario (AMCTO)).

The TOMRMS subscription provides the Municipality a broad set of criteria for which the various types of municipal records are to classified under. Each classification has a defined retention schedule associated based upon provincial, federal and other legislative requirements.

The annual subscription to the yearly retention schedule updates with TOMRMS is \$350.00 per year, as is a common practice for most municipalities using TOMRMS.

Legislative Compliance

The Municipality of Wawa is currently non-compliant with legislation. With the adoption of *Bill 68: Modernizing Ontario's Municipal Legislation Act, 2017*, Section 254 and 255 (1)(3) of the *Municipal Act, 2001*, required that the municipality shall retain and preserve its records in a secure and accessible manner and provides that the municipality may establish retention periods, **subject to the approval of the municipal auditor.**

With the enactment of Bill 68, the wording, "subject to the approval of the municipal auditor" has been removed; which means that the municipal auditor is no longer required to approve the Records Retention By-Law.

A Records Management Program will also be developed to assist Municipal Staff in understanding the records management principles applicable to the information they create and receive, and will also assist municipal staff to manage their information in a secure and efficient manner. An employee records management handbook and Council approved policies related to records management will also be developed.

The impact of the proposed project will create increased efficiencies and significantly improve levels of service but will also prevent brain drain along with the loss of critically important information. Many of the senior management staff are nearing retirement age and there is currently no means to ensure the knowledge transfer required to maintain continuity when those individuals leave. The expected cost savings will increase as a result of the efficiencies that process automation will bring and will come from staff wages/ salaries as automation are fully operational.

Analysis

The Municipality purposed the TOMRMS Records Retention program for \$4,000 plus its annual subscription for \$350.00 plus HST. This will be an annual budgeting expense and maintained through the administrative operational budget.

The Municipality of Wawa has relied heavily on manual process related to records management, and individual electronic records storage whereby staff file the electronic records on a main server accessible to either themselves only or shared with a select few staff members.

Much time is spent searching for information, especially pertaining to MFIPPA inquires; however, with a new automated system, it's anticipated its search time would be considerably lowered for each search, allowing staff to focus on higher value and more productive services. These types of searches could be reduced to minutes.

The public would see tangible benefits from increased levels of service, ie. online forms for such things like building permits, marriage licences, etc. or even e-commerce options for account inquiries and payments. These additions to the services would save staff time. Other internal efficiencies can be created by automation of Wawa's internal based processes, including mileage claims, application tracking, and requests for time off. The Modernization funding would be instrumental in allowing Wawa to provide added value to its residents and allow staff to become more productive, allowing it to succeed in the long-term. The necessary improvements would allow Wawa to focus its resources where they really need to be.

Further the Municipality requires outside expertise in records management to assist in the development of the records management infrastructure and the consulting services would develop a strategy to identify the needs and ensure it is compatible with the strategic initiatives. The process would allow for sound decisions and establish future direction in records and information management to ensure timely and effective classification, retention, retrieval and confidentiality of the business records and information. The development of a needs assessment will establish the future direction to address requirements for all records (paper and digital) within the Municipality.

The main objectives of the project would be to:

- Assess the current methodology for managing records with its challenges and deficiencies (gap analysis);
- Identify the challenges staff face in finding information since records can be located in more than one location with various names used for the same record;
- Review current policies and practices for managing the records;
- Evaluate the potential of scanning physical records particularly member records for online retrieval and enhanced customer service;
- Recommend specific action steps and the resources required to achieve the project objectives in order for the Municipality to manage its information assets efficiently and to ensure that business, legislative and regulatory requirements are met; and

- Identify the potential risks to the organization if the information is not managed in a systematic, compliant way.

Council developed and adopted its record retention schedule, and it would be used with the Electronic Records Management System. The Municipality of Wawa would benefit by:

- Controlling the growth of records volume
- Demonstrating compliance with regulatory record-keeping requirements
- Enforcing the consistent implementation of record-keeping policies
- Reducing litigation risks
- Improving its overall utilization of resources
- Improving ability to locate and retrieve records, when required

The Electronic Management System can help the Municipality of Wawa:

- Use intelligent search methods that support searching with any criteria
- Reduce labour and clerical mistakes with automated optical character recognition and indexing
- Better manage organizational archives from a desktop computer
- Minimize lost documents

The Workflow and eForms Automation would:

- Streamline document distribution with automated workflow routing and notification, improving accountability;
- Create copies and distribute documents as simply as sending an email.

It would automate all internal paper-based processes to allow municipal staff to work more efficiently and get answers more promptly. It would allow Wawa residents to easily get access to publicly available information without relying on municipal staff. Wawa businesses and residents will be able to remotely apply for Building permits and licenses remotely, when needed instead of rushing to the municipal office and engaging municipal staff during regular office hours.

Employee Training would be undertaken, and the impacts definitely benefit both the Municipality and the ratepayers by:

- Increased job satisfaction and morale among employees
- Increased employee motivation
- Increased efficiencies in processes, resulting in financial gain
- Increased capacity to adopt new technologies and methods
- Increased innovation in strategies and products
- Reduced employee turnover
- Enhanced municipal image

With respect to Risk Management, there would be minimal loss of employee productivity. By having a plan in place beforehand, the municipality would be prepared for increase cost-efficiency and see potential for large savings in the future. Further, the electronic records management would provide internal IT back-up to ensure the continuity of operations.

Scanning/Backfiling of Municipal physical (paper records)

Purchase of a departmental level scanner and hiring a student for a 2 or 3 year contract to digitize and index critically important Municipal physical records. This would aid the prevention of the loss of critically important paper records in the event of fire, theft, vandalism, flooding, etc. With the scanning of these records, the Municipality would allow for a more efficient, audited access to its municipal records.

The Municipality of Wawa received funds under the MMAH Municipal Modernization Program Intake 2 Funding for the completion of a Service Delivery/Transformation Review. Municipal Government Wayfinders were engaged to complete the review and the Transformation Report included a number of recommendations for the implementation. Recommendation AT-001: Electronic Records Management can be achieved through the implementation of a proper records management program with the guidance from records management professionals. Many of the efficiencies were previously identified in this report. The cost to implement the Records Management Program (paper and electronic) is estimated to be between \$133,300 and \$151,700 based on the following:

	Minimum	Maximum
TOMRMS Consulting & Training	\$2,000	\$2,000
Records Mgt Needs Analysis Audit & Implementation	\$38,000	\$44,600
Laserfiche Software	\$8,400	\$8,400
Laserfiche Implementation, training, e-forms, workflow design	\$48,800	\$60,600
High speed scanner	\$6,100	\$6,000
Employee Contract-Backfiling (2 years)	\$30,000	\$30,000
Total	\$133,300	\$151,700

Following the implementation of the electronic records management program, there will be an annual license fee commencing in the year 2024 in the amount of \$4,200.

Attachments

1. Wayfinders Transformational Review August 2021

Administration - Technology

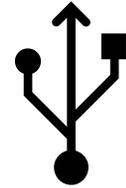
Topic: AT-01 Electronic Records Management

Benefits: Compliance with privacy laws. Speedy access to records. Staff who use electronic records management systems could increase productivity from an estimated 5 to 10% **freeing up a potential of as much as 200 or more person days per year** if used properly. Realized staff time savings can be redirected to other service delivery priorities. Optical character recognition ensures records are AODA compliant.

Estimated Possible Costs: Variable depending on the provider and number of users. Estimate \$20,000 to purchase and \$2,200/yr. license/maintenance (includes training, set up - excludes HST, cloud storage and travel). Student \$10,000/year for 3 years. Scanning strategy to scan priority records \$15,000/year for 3 years.



Administration - Technology



Topic: AT-02 IT Consultant

Issue/Concerns/Risks: COVID-19 has placed a spotlight on the criticality of having robust and secure IT services. The Municipality has recently retained a qualified consultant to coordinate its IT needs. This is common with smaller municipalities. When seeking clarification about the consultant's deliverables, the staff rep was unsure. On reviewing the terms of engagement, we believe that greater clarity regarding critical daily, weekly and monthly steps and deliverables is needed to ensure the parties are clear on contractual expectations. NOTE: This is not a criticism of the consultant's ability to provide high caliber services to the Municipality. Instead, we are identifying gaps in what the key deliverables are. The heightened reliance on IT as a result of COVID-19 and cyber threats requires that all risks and threats are mitigated to the highest extent possible. Without of a clear set of deliverables, the Municipality could be exposed to weaknesses and threats.