

THE CORPORATION OF THE CITY OF PETERBOROUGH

BY-LAW NUMBER 12-156

BEING A BY-LAW TO PROVIDE A SCHEDULE OF RETENTION PERIODS FOR THE RECORDS OF THE CORPORATION OF THE CITY OF PETERBOROUGH AND TO REPEAL BY-LAW 1991-55

WHEREAS Section 255 of the Municipal Act 2001, S.O. 2001, c. 25, as amended, provides that a municipality may, subject to the approval of the municipal auditor, establish retention periods during which the records of the municipality must be retained, preserved and destroyed in accordance with Section 254 thereof;

AND WHEREAS the Council of The City of Peterborough deems it desirable to establish retention periods for the records of the municipality by enactment of this by-law (cited as the Records Retention By-law);

AND WHEREAS all records generated or received by staff and elected officials of the Municipality in connection with the transaction of public business are the express property of the Corporation of the City of Peterborough;

NOW THEREFORE the Council of the City of Peterborough enacts as follows:

1. DEFINITIONS

- a) “Auditor” means the person or firm appointed by the Council of The City of Peterborough from time to time to perform the annual audit of the records of The City of Peterborough.
- b) “City” means The Corporation of the City of Peterborough.
- c) “Classification” means the systematic identification and arrangement of records into categories according to logically structured conventions, methods, and procedural rules, represented in a classification scheme.
- d) “Destruction” means the process of eliminating or deleting data, documents and records so that the recorded information no longer exists. NOTE: See also the definition for expungement.
- e) “Disposition” means the documented process that changes the status of a record, including retention; destruction; loss; or transfer of custody or ownership.
- f) “Expungement” means a process to eliminate completely, to wipe out, to destroy, or to obliterate a record. NOTE: See also the definition for

destruction.

- g) “Files” has the same meaning as “records” and may be used interchangeably.
- h) “Medium/media” means the physical material which serves as a functional unit, in or on which information or data is normally recorded, in which information or data can be retained and carried, from which information or data can be retrieved, and which is nonvolatile in nature.
- i) “Official records” means recorded information in any format or medium that documents the City's business activities, rights, obligations or responsibilities or recorded information that was created, received, distributed or maintained by the City's staff or elected officials in compliance with a legal obligation.
- j) “Orphan Data” means data that is not machine readable because the data exists with no identifiable computer application or system that can retrieve it, or the data is machine readable but does not have sufficient content, context or structure to render it understandable.
- k) “Records” means information however recorded or stored, whether in printed form, on film, by electronic means or otherwise, and includes documents, financial statements, minutes, accounts, correspondence memoranda, plans, maps, drawings, photographs and films. This includes, but is not limited to: e-mail and records stored on laptops or other personal electronic devices, CDs, DVDs, and USB keys. Records created or in the custody of consultants, contractors or volunteers performing work for the City may be under the control of the City and subject to the *Municipal Freedom of Information and Protection of Privacy Act*.
- l) “Retention period” means the period of time during which records must be kept by the City before they may be disposed of.
- m) “Retention schedule” means a control document that indicates the length of time that each record shall be retained before its final disposition. It specifies those records to be preserved for their archival or legal values, and authorizes, on a continuing basis, the destruction of the remaining records at the end of a specified retention period or the occurrence of specified actions or events. Records retention schedules serve as the legal authorization for the disposal of the City's records.
- n) Transitory documents are those kept solely for convenience of reference and of limited value in recording the planning or implementation of City policy or programs, such as:

- i) copies of miscellaneous notices or memoranda concerning routine administrative matters or other minor issues;
- ii) information copies of widely distributed materials, such as minutes, agendas and newsletters, unless the information copy has been annotated to reflect significant input or for other program purposes;
- iii) preliminary drafts of letters, memoranda or reports and other informal notes which do not represent significant steps in the preparation of a final record and which do not record decisions;
- iv) duplicate copies of documents in the same medium which are retained only for convenience or future distribution;
- v) voice-mail messages;
- vi) e-mail messages and other communications that do not relate to City business;
- vii) copies of publications, such as, published reports, administration manuals, telephone directories, catalogues, pamphlets or periodicals;
- viii) duplicate stocks of obsolete publications, pamphlets or blank forms;
- ix) unsolicited advertising materials, including brochures, company profiles and price lists.

2. RETENTION SCHEDULE

- a) The Records Retention Schedule attached hereto as Schedule "A", forms part of this by-law.
- b) The Clerk or Designate shall administer this by-law and shall ensure that the retention periods set out in Schedule "A" attached hereto comply with all relevant legal requirements for records retention.
- c) In determining the retention periods for any records, the Clerk shall consider, in consultation with other City employees where appropriate:
 - i) The operational nature of the records, including the period of time during which the City uses the records to perform its functions;
 - ii) The legal nature of the records, including the period of time necessary to comply with statutory or regulatory requirements or requirements imposed by agreements, permits or similar documents, or to ensure that the records are available in case of investigation or litigation;
 - iii) The fiscal nature of the records, including the period of time necessary for audit or tax purposes; and,
 - iv) The historical nature of the records, as determined by the City's Archivist in consultation with the appropriate divisional manager.

3. RESPONSIBILITIES OF STAFF AND ELECTED OFFICIALS

All City employees, part-time and contract staff and elected officials who create, work with or manage records shall:

- a) Comply with the retention periods as specified in Schedule “A” attached hereto;
- b) Ensure that official records in their custody or control are protected from inadvertent destruction or damage; and,
- c) Ensure that transitory documents in their custody or control are destroyed when they are no longer needed for short-term reference.

Records created or accumulated by elected officials outside of Council business are not corporate records where these records are stored and managed separately from City records using non-City equipment and not handled by City staff.

4. CLERK OR DESIGNATE

The Clerk shall:

- a) Develop and administer policies and establish and administer procedures for the City’s Records Management program;
- b) Amend Schedule “A” as required, and obtain approval of the changes from the municipal auditor;
- c) Ensure that official records are preserved and disposed of in accordance with Schedule “A” attached hereto; and,
- d) Ensure that all disposition notices prepared pursuant to Subsection (a) of Section 5 of this by-law and all certificates of disposition prepared pursuant to Subsection (f) of Section 5 of this by-law are preserved.
- e) Include the current Records Retention Schedule in Council’s orientation information at the beginning of each term.

5. DISPOSITION OF RECORDS

- a) The departments, in conjunction with the City Clerk’s office, will identify records scheduled for disposition, and prepare a notice of disposition list. If there are any records that need to be retained beyond the disposition date, notice must be provided by the division manager to the City Clerk’s

office in writing and include the reasons for which further retention is requested.

- b) Prior to destruction of an information database or orphan data, the following documents are required:
 - i) a written description containing, to the extent that such information is available, the following:
 - a) the title of the system;
 - b) the identification of the business unit responsible for the creation or use of the data;
 - c) a brief description of the system's purpose;
 - d) where possible, a contents list of the information being destroyed; or
 - e) a brief description of any sub-systems, their purpose and relationship to the main system or other sub-systems; and
 - f) the name of the technical contact person who is responsible for documenting the system;
 - ii) the written approval of the manager of the division; and
 - iii) where applicable to satisfy the provisions of the *Federal Income Tax Act*, *Excise Tax Act*, *Employment Insurance Act* or Canada Pension Plan, an exemption from the Minister of National Revenue from the requirement to keep records in an electronically readable format.
 - iv) After the destruction of an information database or orphan data, the signing authority must provide a destruction certificate to the Clerk's office to provide an audit trail.
- c) Where appropriate and taking into account the principles governing the disposition of official records, the Clerk shall re-schedule the disposition of any records listed in the notice referred to in Subsection (a) of this Section for up to one year later than the scheduled disposition date.
- d) Re-scheduling the disposition of any records beyond a one year period requires written notice from the division manager to the Clerk for each additional year.
- e) If no notice is received under Subsection (d) of Section 5 of this by-law before the scheduled disposition date, the records shall be deemed to be authorized for disposition by the division manager.
- f) When official records have been disposed of pursuant to this by-law, the

Clerk shall obtain written confirmation of such disposition.

- g) Certain records identified for permanent retention based on enduring evidential, fiscal, or historical value and upon approval by the City Archivist may be transferred to the municipality's corporate archives located within the Peterborough Museum and Archives. The Archivist shall review schedule "A" changes on a regular basis and discuss these with the Clerk.

6. PRINCIPLES GOVERNING THE DESTRUCTION OF OFFICIAL RECORDS

- a) The following principles govern the destruction of official records:
 - i) When there are no further business or legal reasons for retaining official records, they shall be destroyed or expunged as appropriate;
 - ii) Official records pertaining to pending or actual investigation or litigation shall not be destroyed;
 - iii) Official records disposed of at the end of a retention period, as well as drafts and copies of records disposed of on a regular basis, shall be destroyed in a way that preserves the confidentiality of any information they contain.
- b) Official records in the custody or control of the City shall not be destroyed unless such records are older than the retention period set out in Schedule "A" attached hereto and have been identified in a disposition notice prepared pursuant to Subsection (a) of Section 5 of this by-law.
- c) Copies of official records may be destroyed at any time if the original records are being retained in accordance with Schedule "A" attached hereto.

7. PREVIOUS BY-LAWS RESCINDED

By-laws 1991-55, 1972-63, and 1967-11 and resolutions and parts of by-laws and resolutions inconsistent with the provisions of this by-law, are hereby repealed.

8. AUDITOR'S APPROVAL

The City Auditor's letter of approval of this by-law is attached as Schedule B.

9. EFFECTIVE DATE

This by-law shall take effect upon the day of passing.

By-law read a first, second and third time this 13th day of November, 2012.

(Sgd.) Daryl Bennett, Mayor

(Sgd.) John Kennedy, City Clerk

Approval of the Auditor:

Pursuant to the *Municipal Act, 2001*, S. O. 2001, c. 25, as amended, the undersigned Joanna Park, Collins Barrow Kawarthas LLP, Chartered Accountants – Peterborough Office, duly authorized auditors of The Corporation of the City of Peterborough, approve By-law Number 12-156 passed by the Council of The Corporation of the City of Peterborough on the 13th day of November, 2012.

Dated this _____ day of _____, 2012.

Per: _____
Joanna Park, Partner, Collins Barrow Kawarthas LLP

CITY OF PETERBOROUGH RECORDS RETENTION SCHEDULE

Classification

All official records of the City of Peterborough are categorized within the following Primary Headings as follows:

Administration

Council, Boards and By-laws

Development and Planning

Environment Services

Finance and Accounting

Human Resources

Justice

Legal Affairs

Media and Public Relations

Protection and Enforcement Services

Recreation and Culture

Social and Health Care Services

Transportation Services

Vehicles and Equipment

Under each Primary Heading in the Retention Schedule are several Secondary Headings. The retention periods are defined at the secondary level. The following legend defines the terms used in the schedule:

Legend

All numbers in retention columns refer to years unless otherwise specified.

C Current Year: Retention period indicated begins at the end of the current calendar year.

E Event: Retention period indicated begins after an event, explained in the Remarks column.

P Permanent: A file with this retention limit is never destroyed. It has permanent value and is to be properly stored in the department or records centre.

S Superseded: A file with this retention limit is transferred or destroyed when it has been replaced.

A Archival: The archivist must be notified before these records are moved out of the division. These records have been identified as archival, and will be stored in the Archives.

AA Subject to Archival Appraisal: These records have been designated as having potential historical and research value to the municipality when their other values have ended. These

records are to be set aside for review and culling by an archivist prior to their destruction. Digital records will also be appraised.

* **Maximum Copy Retention:** Records of any subject of which copies are retained by other departments have a total retention limit of no greater than the Responsible Division's value in the "Keep in Division" column.

PIB Personal Information Bank contains a collection of like/similar information; the personal information is organized; the information is linked to an identifiable individual; and the personal information is capable of being retrieved through the use of a personal identifier such as name, number or symbol.

Vital Records essential to the resumption and/or continuation of operation, the re-creation of the legal and financial status of the organization, and the fulfilment of obligations to stakeholders, employees and/or outside interests.

Responsible Division: "Originating" applies if the record is created in the division and the division is responsible for the official record.

Transitory Documents: Transitory documents are those kept solely for convenience of reference and of limited or temporary value in recording the planning or implementation of City policy or programs. They may be destroyed once their usefulness has ended. These include:

- i) copies of miscellaneous notices or memoranda concerning routine administrative matters or other minor issues;
- ii) information copies of widely distributed materials, such as minutes, agendas and newsletters, unless the information copy has been annotated to reflect significant input or for other program purposes;
- iii) preliminary drafts of letters, memoranda or reports and other informal notes which do not represent significant steps in the preparation of a final record and which do not record decisions;
- iv) duplicate copies of documents in the same medium which are retained only for convenience or future distribution;
- v) temporary documents needed for a short time to initiate the completion of actions (e.g. phone messages that have been dealt with)
- vi) e-mail messages and other communications that do not relate to City business;
- vii) copies of publications, such as published reports, administration manuals, telephone directories, catalogues, pamphlets or periodicals;
- viii) duplicate stocks of obsolete publications, pamphlets or blank forms;
- ix) unsolicited advertising materials, including brochures, company profiles and price lists.

City of Peterborough - Records Retention Schedule

Administration

Includes records regarding routine administration and office services functions.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
A00	Administration – General		
A01	Associations and Organizations	C+1	
A02	Departmental and Divisional Staff Meetings	C+4	
A03	Administrative Staff Committee and Steering Committees	P A	
A04	Conferences and Seminars	C+1 AA	Only those conferences sponsored by the City and/or attended within the City or County are subject to archival appraisal. City Archivist must sign off on records before disposal.
A05	Consultants	C+2	
A06	Inventory Control	C+6	
A07	Office Equipment and Furniture	E	E = Disposal of item
A08	Office Services	C+1	
A08a	Mail Logs	C+5	
A09	Policies and Procedures	P A	
A09a	Information Bulletins	S	
A10	Records Management	S	
A11	Records Disposition	P	
A12	Telecommunication Systems	S	
A13	Travel and Accommodation	C+1	
A14	Uniforms and Clothing	C+1	Contact the Museum Curator to appraise retired uniforms.
A15	Vendors and Suppliers	C+2	

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
A16	Intergovernmental Relations	C+5	
A17	Accessibility of Records (Freedom of Information)	C+2	
A18	Security	C+5	
A19	Facilities Construction and Renovations	E+2 AA	E = Project Finished
A19a	Facilities Construction and Renovations – Permanent Records	P AA	Originals of architectural and engineering drawings are permanent and archival. Remaining records in this category are subject to archival appraisal.
A19b	Facilities Construction and Renovations – Warranties	E+1	E = End of Warranty
A20	Building and Property Maintenance	S	Retain Setup tests and manuals = Equipment removed +1 year
A21	Facility Bookings	C+3	
A22	Accessibility of Services	C+5	
A23	Information Systems Production Activity and Control	C+4	
A24	Access Control and Passwords	S + 2	
A25	Computer Software	C+6	
A26	Computer Hardware	C+5	
A27	Computer Data Security	C+1	
A28	Systems Development and Project Management	C+6	
A29	Statistics and Tracking	S AA	

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
A30	Video Surveillance Data	7 days or less	Regular retention is determined by the equipment in use at each facility. In the event of police investigation, other investigation, Freedom of Information request, or potential claim or litigation, retention becomes minimum C+1. Disposal forms are not required for regular destruction of data.
A30a	Video Surveillance Inspections	C+7	
A30b	Camera Locations	P	
A31	Performance and Asset Management	C+7	

City of Peterborough - Records Retention Schedule

Council and By-Laws

Includes records regarding the establishment of policy and by-laws, and the operations of Council and of Boards for which Council is responsible.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislative Citations
C00	Council and By-laws		
C01	By-laws	P A	
C03	Council and Standing Committee Agendas and Minutes – Working Notes	C+1	
C04	Council and Standing Committee Agendas and Minutes	P A	
C05	Council Advisory Committees Agendas and Minutes – Working Notes	C+1	
C06	Council Advisory Committees Agendas and Minutes	P A	
C07	Elections	E+4	E = Day action took effect or Voting Day
C07a	Election Results	P	
C07b	Election Ballots	E	E = 120 days after voting or resolution of recount Destruction of ballots must be completed by the City Clerk, in the presence of two witnesses.
C08	Corporate Strategic Planning	S AA	
C10	Motions and Resolutions – Other Municipalities	C+1	
C11	Reports to Council	P A	
C12	Citizen Appointments to Boards and Committees	C+5	Names are retained permanently in Council reports.
C13	Accountability, Transparency & Governance	E+2	E = Day claim discovered

City of Peterborough - Records Retention Schedule

Development and Planning

Includes records regarding municipal development and planning. Includes general studies as well as official plans, zoning, etc. Subjects are grouped according to long range vs. developmental planning.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
D00	Development and Planning		
D01	Demographic Studies	C+10 AA	
D02	Economic Development	S	
D03	Environmental Planning	S AA	If there is an offence records must be kept for E+5, where E = Expired or Later of: date of offence <u>OR</u> day evidence of offence first came to the attention of the person appointed under s. 5
D04	Residential Planning	C+10 AA	
D05	Natural Resources	C+5 AA	
D06	Tourism Development	C+10 AA	
D07	Condominium Plans	P	
D08	Official Plans	P A	
D09	Official Plan Amendment Applications	P	
D10	Committee of Adjustment	P	
D11	Site Plan Control	P	
D12	Subdivision Plans	P	
D13	Planning Issues – Other Municipalities	P	
D14	Zoning	P	
D15	Easements	P	E = Final decision

C=Current year; E=Event; P=Permanent; S=until Superseded; A=Archival; AA=subject to Archival Appraisal (City Archivist sign-off required)

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
D16	Encroachments	E+6	E = Termination of right
D17	Annexation and Amalgamation	P AA	
D18	Community Improvement Projects	S	E = Completion of project
D19	Municipal Addressing	P AA	
D20	Reference Plans Includes Registered Deposit Plans (RD Plans), site plans, property surveys plans as received from Registry Office. May include correspondence.	P AA	
D21	Industrial and Commercial Development	P	
D22	Digital Mapping	S A	Only original pdfs and maps not in digital format are archival.
D23	Urban Agriculture Development Includes records for Food Security, Urban Agriculture Development and Community Gardens.	E+10	E = Year community garden, program, or service becomes inactive
D24	Background Reports for Official Plan	E+5	E = Final decision
D25	Communication Towers	C+10	
D26	Development Charges Background Study	15 AA	
D27	Part Lot Control	E+5	E = Final decision
D28	Deeming Process	E+2	E = Final decision

City of Peterborough - Records Retention Schedule

Environmental Services

Includes records regarding provision of public works and other environmental services other than roads. Includes water works, sewers, treatment plants, waste management and environmental monitoring. Also includes tree removal and pruning.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
E00	Environmental Studies		
E01	Sanitary Sewers	C+15	
E02	Storm Sewers	C+15	
E03	Treatment Plants	C+5	Plans = cease to apply + 2
E03a	Treatment Plant and Sewer Specifications	P	
E04	Trees	5	
E05	Air Quality Monitoring	E+5	E = Later of: date of the offence <u>OR</u> day evidence of offence first came to attention of person appointed under s. 5
E06	Utilities – Maps and Location Drawings	S AA	
E06a	Locates	5	
E07	Waste Management Operations	C+10	Dispose of annual landfill operations report and Hazardous waste sites records when depot ceases to operate + 2 years
E09	Drains	5	
E09a	Drains – Specifications	P	
E10	Environmental Management	P	
E11	Nutrient Management	C+5 Or expiry of plan +2 years	
E13	Water and Waste Water Monitoring	E+15	E = created, approved or plan no longer in force

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
E14	Water and Waste Water Sampling	E+15	E = created, approved or plan no longer in force
E15	Chemical Sampling of Water and Waste Water	E+15	E = created, approved or plan no longer in force
E16	Backflow Prevention and Cross Connection Control	C+15	
E17	Energy Management	E+7	E = End of reporting period to which the record relates
E18	Protection of Environmentally Sensitive Areas	C+7	
E19	Renewable Energy	E+50	E = created, approved or facility no longer in force
E20	Water Management	C+5	
E21	Source Water Protection	E+15	E = created, approved or plan no longer in force
E22	Ministry of the Environment (MOE) Environmental Compliance Approvals	E + 2	E = Cease to apply

City of Peterborough - Records Retention Schedule

Finance and Accounting

Including records regarding the management of funds.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
F00	Finance and Accounting		
F01	Accounts Payable	C+7	
F02	Accounts Receivable and Cash Collection	C+7	
F03	Audits	C+6	
F04	Banking	C+6	
F04a	Purchasing Cards	E+7	E = Card expiry, cancellation, replacement, or termination of employee
F05	Supporting Documents for Budgets and Estimates	C+2	
F06	Tangible Capital Assets	C+7	
F07	Cheques	C+6	
F08	Debentures and Bonds	E+7	E = Expiry of debentures
F08a	Debt Book	P	
F09	Employee and Council Expenses	C+7	
F10	Audited Financial Statements and Published Budget Documents	P AA	
F11	Grants and Loans	E+7	E = Final report issued
F12	Investments	E+6	E = Closure of account
F13	Journal Vouchers	C+7	
F14	Subsidiary Ledgers, Registers, and Journals	C+7 AA	
F14a	Payroll Registers	C+40	
F15	General Ledgers and Journals	P	
F16	Payroll	C+6	
F17	Purchase Orders and Requisitions	E+7	E = Closure of Purchase Order

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
F18	Formal Bid Solicitation	C+	
F18a	Formal Bid Solicitation – Unsuccessful Submissions	E+1	E = Bid awarded
F19	Receipts Issued	C+6	
F19a	Receipts Issued – Supplementary Documents	1	To be destroyed after 1 calendar year, on a rolling basis.
F20	Reserve Funds	C+6	
F21	Revenues – Source Documentation	C+6	
F21a	Mortgages	C+10	
F22	Property Taxes and Records	P A	
F22a	Property Taxes and Records – Supplementary Documents	C+1	
F22b	Property Taxes and Records – Ownership Changes	C+6	
F23	Write Offs and Tax Adjustments	C+6	
F24	Trust Funds	P A	E = Closure of account
F25	Security Deposit	E+6	E = Closure of account
F26	Working Papers for Financial Statements	E+6	E = After completion of audit
F27	Social Housing Financials	E+7	E = Termination of service provision
F28	10 Year Donations	C+12	

City of Peterborough - Records Retention Schedule

Human Resources

Includes records regarding the municipality's relationship with its employees. Includes records regarding general staff programs as well as information on specific employees.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
H00	Human Resources		
H01	Employee Scheduling and Vacation	C+2	E-mails and notes confirming time off or carry-over of vacation may be discarded after the next year's LTM banks are flooded with new allotments, and verified as accurate.
H02	Benefits	P	
H03	Employee Records	E+7	E = Employee is no longer employed by the City or after the Employee's 18 th birthday, whichever occurs later
H03a	Employee Records of Retirees	E+6	E = Year of death of retired employee where employee purchased life insurance <u>OR</u> termination of health benefits at age 65
H03b	Employee Records of Firefighters.	P	E = Firefighter is no longer employed by the City
H04	Health and Safety	C+5	Accident reports for construction projects retained 1 year after project completion
H05	Human Resources Planning	C+5	
H06	Job Descriptions	S A	
H07	Labour Relations	P	E = Expiry of contract period
H08	Organization	S AA	
H09	Salary Planning	P	
H10	Pay Equity Records	P	

C=Current year; E=Event; P=Permanent; S=until Superseded; A=Archival; AA=subject to Archival Appraisal (City Archivist sign-off required)

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
H11	Recruitment	C+3	
H11a	Recruitment – Unsuccessful	C+1	
H12	Training and Development	S AA	E = Date when that particular course ceases to be offered Only courses developed and presented by the Municipality are subject to archival appraisal. City Archivist must sign off on records before disposal.
H13	Workplace Safety and Insurance Board (WSIB) Claims	P	Records related to exposure to airborne Acrylonitrile, benzene, lead, mercury, silica, vinyl chloride, arsenic, ethylene oxide or asbestos must be kept the longer of: a) 40 years from the time such records were first made with respect to the worker; <u>OR</u> b) 20 years from the time the last of such records were made with respect to the worker.
H13a	Long-Term Disability Claims	E+1	E = Employee is no longer employed by the City
H14	Grievances	P	E = Final resolution of grievance
H15	Harassment and Violence	E+7	E = Employee is no longer employed by the City Once employee is no longer employed by the City, include records in Employee Record.
H16	Criminal Background Checks	S	
H17	Employee Medical Records – Hazardous Materials	P	
H18	Employee Attendance and Medical Records	E+3	E = Employee is not longer employed by the City

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
H20	Confined Spaces	E+1	E = Longer of: date the document is created <u>OR</u> the period that is necessary to ensure that at least the two most recent records of each kind that relate to a particular confined space are retained.

City of Peterborough - Records Retention Schedule

Justice

Includes records regarding POA and Court activities.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
J00	Justice		
J01	Certificates of Offence (Parts I and II – Non-Accident Related)	C+7	From date of completion.
J02	Certificates of Offence Part I (Accident-Related MVC) and Part III – Informations	C+6	From date of completion.
J03	Certificate Control List	C+3	
J04	Court Dockets	C+3	
J05	Records of Court Proceedings	P	
J06	Enforcement and Suspensions	C+3	
J08	Statistics and Management Reports	C+3	Note: ICON is the Province of Ontario database. Retention and purging of data is managed by the Province. Printed and online reports are referenced by Courts staff regularly and are kept permanently. Open cases are never purged.
J09	Disclosure	C+6	Originating Divisions are responsible for keeping records in their care for 1) the retention period specified here OR 2) the retention period specified for the record's class OR 3) a period requested by Legal, whichever is the longest.
J10	Court Tapes – Intake	P	
J11	Certificates Requesting Conviction – Parking Infractions	E+3	E = Termination of an event
J12	POA Sign-in Logs	P	

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
J13	POA – Exhibits	E + 40 days	E = Case adjudicated Records are returned to originator. Region is temporary custodian only.
J14	POA – Search Warrants	E+40	E = Paperwork filed with court office

City of Peterborough - Records Retention Schedule

Legal Affairs

Includes records regarding legal matters as well as contracts and agreements, insurance and real estate matters.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
L00	Legal Affairs		
L01	Property-Related Appeals and Hearings	P	E = Resolution of appeal
L02	Claims Against the Municipality	E+1	E = Resolution of claim and all appeals
L02a	Claims Against the Municipality – On Behalf of Children	E+2	E = 18 th birthday of child
L03	Claims By the Municipality	E+1	E = Resolution of claim and all appeals
L04	Contracts and Agreements – Under Seal	P A	Signed paper originals must be retained permanently.
L05	Insurance Appraisal	E+15	E = Act or omission on which claim in based took place
L06	Insurance Policies	E+15	E = Expiry of policy
L07	Land Acquisition, Sales and Temporary Acquisition for Re-sale	P AA	Renewable energy projects agreements terms may not be more than 50 years.
L08	Opinions and Briefs	S	
L09	Precedents	S	
L10	Federal Legislation	S	
L11	Provincial Legislation	S	
L12	Vital Statistics – Registers	P	Early records sent to the Archives of Ontario.
L12a	Vital Statistics – Background Documents	C+2	
L13	Prosecutions	E+7	E = Delivery of judgement
L14	Contracts and Agreements – Simple	E+2	E = Expiry of contract
L15	Cultural Property Accession Records (Transfer of Ownership)	P	

City of Peterborough - Records Retention Schedule

Media and Public Records

Includes records regarding the municipality's relationship with the media and the general public.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
M00	Media and Public Relations		
M01	Advertising	C+1	
M02	Ceremonies, Events, Commendations and Awards	C+5 AA	
M03	Charitable Campaigns and Fundraising	E+2	E = End of campaign
M04	Complaints, Compliments and Inquiries	C+1	Library may keep longer as per Board decision.
M05	News Clippings	0	
M06	Media Releases	P A	
M07	Publications	S AA	S+3 if publication is subject to copyright or trademark
M08	Speeches and Presentations	C+3 AA	
M09	Visual Identity and Insignia	S+5 AA	Corporation insignia (coat of arms), seals of office and flags are archival. All other records are subject to archival appraisal. City Archivist must sign off on records before disposal.
M10	Website & Social Media Content	S	Social media sites are not repositories for corporate records. Posts from the public are considered transitory unless action is required.
M11	Public Relations and Public Awareness Campaigns	C+5 AA	
M12	Promotional Campaigns	C+7	

City of Peterborough - Records Retention Schedule

Protection and Enforcement Services

Includes records regarding the operational functions of law enforcement, licensing, public protection and fire prevention within the community.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
P00	Protection and Enforcement Services		
P01	Enforcement	E+6	E = Closure date of file
P01a	Property Files	P	
P02	Daily Occurrence Logs	P AA	Only Fire Service logs are subject to archival appraisal.
P03	Emergency Management	S	
P04	Hazardous Materials	S+5	
P05	Incident and Accident Reports	P	Retain reports for 1 year, but ensure permanent retention of 2 most recent records only
P05a	Minor Incident and Accident Reports	C+2	
P06	Building and Structural Inspections	P	
P07	Health Inspections	C+3	
P08	Investigations	E+20	E = End of investigation and appeals period
P09	Licences	E+2	E = Expiry of licence or closure of business
P10	Building Permits	P	
P11	Permits, Other	E+2	E = Expiry of permit
P12	Emergency and Disaster Response	E+7	E = End of year of Emergency Operations Centre activation
P13	Prohibitions and Notices	C+15	
P14	Animal Control	E+2	E = Date animal was last in pound

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
P15	Community Protection Program	S+2 AA	Surveillance video 72 hours unless requisitioned for use. If requisitioned for use (MFIPPA or other investigation) = S+2
P16	Emergency Services	S+2	

City of Peterborough - Records Retention Schedule

Recreation and Culture

Includes records regarding the provision of recreational and cultural services to the community.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
R00	Recreation and Culture		
R01	Heritage Preservation	E AA	E = Removal of designation
R02	Library Services	C+5	
R03	Museum, Archives and Art Gallery Collections Management	P AA	
R04	Parks Management	C+5 AA	
R05	Recreation and Cultural Facilities	S AA	
R06	Recreational and Cultural Programming	C+1 AA	
R07	Research Services	C+5 AA	
R08	Cultural Exhibitions, Monuments, and Public Art	C+5 AA	
R09	Heritage Property Tax Relief Program (HPTRP)	E+7	E = End of enrolment in HPTRP
R10	Cultural Site Assessments	P A	
R11	Playground Equipment Maintenance	P	

City of Peterborough - Records Retention Schedule

Social Services

Includes records regarding social services and health care programs.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
S00	Social Services		
S01	Children's Services	E+2	E = Expiry of license Water testing and reporting records = retain 6 years
S02	Seniors	C+2	
S03	Community Development	C+2	
S04	Social Assistance Programs	C+5	
S05	Ontario Works Case Records	E+5	E = Client is no longer receiving Ontario Works services E applies to an applicant or recipient's case file in total and the documentation contained in the case file. Retain outstanding family support issues = E+10
S05a	Income Reporting Cards	C+5	
S06	Ontario Works Case Records – Overpayments	E	E = Overpayment is paid in full OR Client is over 70 and has been off Ontario Works for over 5 years
S07	Homemakers Services Case Records	E+5	E = Client is no longer receiving homemaker services
S08	Homelessness	E+5	E= Client is no longer receiving services Homelessness Individuals and Families Information System (HIFIS) = P
S09	Cemetery Records	P A	
S10	Child Care Case Records	E+3	E = Last participation date

City of Peterborough - Records Retention Schedule

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
S10a	Children's Services Fee Subsidy Client Files	E+7	E = Closure date of file
S11	Management of Social Housing System	S	

City of Peterborough - Records Retention Schedule

Transportation

Includes records regarding the development and improvement of transportation systems (roads and public transit).

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
T00	Transportation		
T01	Illumination	E+6	E = Removal of equipment
T02	Parking	E+6	E = Closure of lot or space
T03	Public Transit	E+1 AA	E = Closure of route, shelter, or stop
T04	Road Construction	E+1 AA	E = Project finished
T04a	Road Construction - Specifications	P	
T05	Road Design and Planning	E+1 AA	E = Project finished
T06	Road Maintenance	E+6	E = Project or maintenance completed
T07	Signs and Pavement Markings	E+3	E = Removal of sign or pavement marking
T08	Traffic	E+3 AA	E = Project finished
T08a	Accident Statistics	C+5	
T09	Roads and Lane Closures	E+1 AA	E = Project finished
T10	Field Survey and Road Survey Books	E+1 AA	E = Project finished
T11	Bridges	E+1 AA	E = Project finished
T12	Traffic Signals	S+3	
T13	Crossing Guard Program	S+1	
T14	Specifications	P	E = Project finished

City of Peterborough - Records Retention Schedule

Vehicles and Equipment

Includes records regarding municipal vehicles and equipments. Includes records on fleet management, mobile equipment, and protective equipment and related maintenance activities.

Class Code	Secondary Heading	Total Retention in years	Remarks/ Legislation Citations
V00	Vehicles and Equipment		
V01	Fleet Management	E+2	E = Termination of lease or ownership Daily Inspection Logs = 6 months from last entry
V02	Mobile Equipment	E+1	E = Disposal of equipment
V03	Transportable Equipment	E+1	E = Disposal of equipment
V04	Protective Equipment	E+1	E = Disposal of equipment
V05	Ancillary Equipment	E+1	E = Disposal of equipment Set-up tests = until superseded Minimum 5 years for small water system equipment