

BY-LAW NUMBER 65-2017
OF
THE REGIONAL MUNICIPALITY OF DURHAM

BEING a by-law to establish retention periods for records of The Regional Municipality of Durham

WHEREAS Subsection 254(1) of the Municipal Act, 2001 (the "Act") provides that a municipality shall retain and preserve the records of the municipality and its local boards in a secure and accessible manner and, if a local board is a local board of more than one municipality, the affected municipalities are jointly responsible for complying with this subsection. 2001, c. 25, s. 254(1);

WHEREAS Subsection 255(1) of the Municipal Act, 2001, S.O. 2001, c.25 (the "Act"), as amended provides that except as otherwise provided, a record of a municipality or local board may only be destroyed in accordance with this section. 2001, c. 25, s. 255 (1);

WHEREAS Subsection 255(2) of the Act states that despite Section 254, a record of a municipality or a local board may be destroyed if a retention period for the record has been established under this section and, a) the retention period has expired; or b) the record is a copy of the original record. 2001, c. 25, s. 255 (2); 2006, c. 32, Sched. A, s. 109 (1); and

WHEREAS in accordance with Subsection 255(3) a municipality may, subject to the approval of the municipal auditor, establish retention periods during which the records of the municipality and local boards of the municipality must be retained and preserved in accordance with section 254. 2001, c. 25, s. 255 (3).

NOW, THEREFORE, BE IT ENACTED AND IT IS HEREBY ENACTED as a by-law of The Regional Municipality of Durham through its Council thereof as follows:

1. Definitions:

1.1 In this by-law:

- A) "active record" means a record that is referred to frequently and is commonly stored in the office area within departments;
- B) "archival record" means a record of enduring cultural, historical and evidentiary value that is permanently maintained;
- C) "archives" means a repository of archival records;
- D) "copy" means records retained for information purposes only and may be destroyed after use;
- E) "corporate classification scheme" means a systematic method of coding and categorizing records into subject groups;
- F) "disposition" means the final phase of a record's life cycle, either destruction or permanent preservation;
- G) "inactive record" means a record that is referenced infrequently but must be maintained for administrative needs or legal compliance;
- H) "life cycle" means the life span of a record from its creation or receipt through to its preservation or final disposition;
- I) "Manager, Records and Information Management (RIM)" means the Region's Manager of Records and Information Management, or his or her designate;

- J) “metadata” means data that describes other data and is used to aid the identification, description, location or use of information systems, resources and elements;
- K) “Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)” means Ontario legislation which, with some limitations, provides the public with right of access to records held by the Region and protects the privacy of personal information;
- L) “official copy” means the version of a regional record deemed as the master record which is not a convenience or duplicate copy;
- M) “official record holder” means the Regional department/division with primary responsibility for retaining official records;
- N) “official record” means a record in the Region’s custody or control that supports regional business such as program delivery or policy development, documents the result of a decision, certifies a transaction, commits the Region to an action, becomes a receipt or provides evidence and is required to support a financial, operational or legal audit;
- O) “personal information” means recorded information about an identifiable individual, including the following 8 things:
- information relating to the race, national or ethnic origin, colour, religion, age, sex, sexual orientation or marital or family status of the individual;
 - information relating to the education or the medical, psychiatric, psychological, criminal or employment history of the individual or information relating to financial transactions in which the individual has been involved;
 - any identifying number, symbol or other particular assigned to the individual;
 - the address, telephone number, fingerprints or blood type of the individual;
 - the personal opinions or views of the individual except if they relate to another individual;
 - correspondence sent to an institution by the individual that is implicitly or explicitly of a private or confidential nature, and replies to that correspondence that would reveal the contents of the original correspondence;
 - the views or opinions of another individual about the individual; and
 - the individual’s name if it appears with other personal information relating to the individual or where disclosure of the name would reveal other personal information about the individual.
- P) “Personal Health Information Protection Act (PHIPA)” means an Ontario law that governs the collection, use and disclosure of personal health information within the health sector;
- Q) “record” means any record of information, including a transitory record, however recorded, whether in printed form, on film, by electronic means or otherwise, and includes:
- (1) correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine readable record (metadata), any other documentary material, regardless of physical form or characteristics, and any copy thereof; and
 - subject to any regulations (made under the Municipal Freedom of Information and Protection of Privacy Act), any record that is capable of being produced from a machine readable record under the control of an institution (the Region) by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution (ordinarily used by the Region);

- R) “record series” means a group of related records categorized as a unit for the purposes of establishing classification efficiencies and applying retention controls;
- S) “records management” means the process of planning, organizing, directing and controlling all the steps involved in a records life cycle;
- T) “retention schedule” means the schedule prescribing retention periods for records as set out in Schedule “A” to this by-law;
- U) “signing authority” means the department head or Commissioner of the responsible department, or his or her designate; and
- V) “transitory record” means a record that is required for a limited time to complete a routine action, is used in the preparation of final records, or is retained as information or a convenience copy by offices or individuals who do not have the primary responsibility for them.

2. Corporate Classification Scheme

- 2.1 The Corporate Classification Scheme as set forth on Schedule “A” attached to this by-law is hereby approved as the classification scheme for the records as described therein.
- 2.2 The Corporate Classification Scheme as set forth on Schedule “A” attached to this by-law is hereby approved as the schedule establishing the retention periods and destruction schedule for the records as described therein.

3. Summary of Changes

- 3.1 The Summary of Changes for Council Approval Corporate Classification Scheme (CCS) 2016-2017 will be as set forth in Schedule “B” attached to this by-law.

4. Legal Citations

- 4.1 The listing of legal citations referenced in the Corporate Classification Scheme will be as set forth in Schedule “C” attached to this by-law.

5. Records Management Procedures

- 5.1 The procedures for the management of records will be as set forth in Schedule “D” attached to this by-law.

6. Repealed

- 6.1 By-law Number 41-2016 is hereby repealed.

7. Schedules

- 7.1 Schedule “A” forms part of this by-law.
- 7.2 Schedule “B” forms part of this by-law.
- 7.3 Schedule “C” forms part of this by-law.
- 7.4 Schedule “D” forms part of this by-law.

This by-law comes into effect upon its approval by the Council for The Regional Municipality of Durham.

BY-LAW read and passed this 8th day of November, 2017.

R. Anderson, Regional Chair and CEO

R. Walton, Regional Clerk/Director of Legislative Services



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Administration

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A00	Administration - General Includes: Records of a general nature for which no specific classification exists. Includes briefing notes and chronological files.	Originator	C+1	-	C+1	C+1	-
A01	Associations and Organizations Includes: Minutes, notes, correspondence, notices, brochures and reports from/to government agencies, boards, provincial/federal/municipal/regional governments, professional organizations, chambers of commerce, community agencies, coalitions, companies, consulates, committees, task forces and working groups. Excludes: Hydrogeologic - General - E16.	Originator	C+4	-	C+4	C+1	Specific topics should be filed by subject.

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: **Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.**

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A02	<p>Surveys/Questionnaires</p> <p>Includes: Surveys/questionnaires and evaluations developed for internal or external use. Used primarily to provide feedback or for statistical purposes.</p>	Originator	C+1	-	C+1	C+1	Paper records may be shredded if information is captured electronically and procedures are in place to manage the electronic records.
A03	<p>Directory of Records</p> <p>Includes: Directory of general records and personal information banks.</p> <p>Excludes: Freedom of Information - A20; Freedom of Information - Administration - A25.</p>	Corporate Services - Legislative Services - RIM	E+1	-	E+1	-	Vital #46 E=directory updated
A04	<p>Staff Committees and Meetings</p> <p>Includes: Agendas, minutes and any attachments for internal meetings.</p> <p>Excludes: Associations and Organizations - A01; Information Management Projects - A28; Standing Committee Agendas, Minutes and Reports - C07, C08, C09; Health and Safety - H05; Health Programs and Committees - P20.</p>	Originator	C+4	-	C+4	C+1	Vital; Archival

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A05	<p data-bbox="275 212 554 245">Instruction Manuals</p> <p data-bbox="275 272 785 451">Includes: Computer hardware and software manuals, equipment manuals for photocopiers, fax machines, microfilm reader/printers, etc.</p> <p data-bbox="275 479 800 548">Excludes: Policies and Procedures - A14.</p>	Originator	E+1	-	E+1	E	<p data-bbox="1780 212 1927 282">E=manual updated</p> <p data-bbox="1780 310 1969 857">Existing manuals for software are not to be destroyed until the updated software has been received, installed and tested in the computer operating environment.</p> <p data-bbox="1780 885 1969 1279">Existing manuals for hardware are not to be destroyed until the related hardware is sold or formally scrapped.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A06	<p>Computers - General</p> <p>Includes: Correspondence of a general nature. Also includes request form for PC Hardware/Software and Network support.</p> <p>Excludes: Instruction Manuals - A05; Information Technology - Hardware/Software Administration - A07; Information Technology - Standards - A09.</p>	Originator	C+1	-	C+1	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A07	<p>Information Technology - Hardware/Software Administration</p> <p>Includes: System specifications and requirements and LAN/WAN, Network administration such as acquisitions, installation, licensing and upgrades. Also includes Network Operations including accounts, backup, restore and tuning, mainframe, midrange and PC programming information and packaged product information, system specifications and system development documentation. Also contains documentation of changes made due to changes in the legislation.</p> <p>Excludes: Instruction Manuals - A05; Computers - General - A06; Information Technology - Standards - A09.</p>	Corporate Services - Information Technology/ Departmental Information Technology	E+1	-	E+1	C+1	<p>E=until discontinuation of hardware/ software.</p> <p>All historical data related to the discontinued program is to be either converted to be "new software compatible" or it is confirmed by management that such historical information will no longer be required for reference purposes.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A08	<p>Application Development/ Implementation/Operation</p> <p>Includes: G.I.S., intranet/Internet and Tracking Systems. Also includes Database Administration such as Schema, Accounts, Privileges, Maintenance and Modelling. Also includes incident reports that pertain to application errors and/or configuration problems.</p>	Corporate Services - Information Technology/ Departmental Information Technology	E+1	-	E+1	C+1	Vital; Archival E=until application is no longer in use.
A09	<p>Information Technology - Standards</p> <p>Includes: Region-wide approved standards for hardware and software. Also includes standards for security, access, data backup and disaster recovery.</p>	Corporate Services - Information Technology/ Departmental Information Technology	E+1	-	E+1	E	Vital; Archival E=standard updated
A10	<p>Conferences and Seminars</p> <p>Includes: Invitations, approvals, agendas, conference papers and proceedings. Also includes any other records relating to conferences, conventions, seminars, trade shows and special functions attended by staff or Council, or sponsored by the Region.</p> <p>Excludes: Speeches and Presentations - M08.</p>	Originator	C+1	-	C+1	C+1	Only those sponsored by the Region are subject to archival review.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A11	<p>Printing and Mailing</p> <p>Includes: Records regarding rates and services for courier, mail, postage, inter-office mail and printing. Includes mail and fax logs, mailing lists, printing job requisitions and tracking of lost or damaged mail.</p> <p>Excludes: Accounts Payable - F01.</p>	Originator	C+2	-	C+2	C+1	-
A12	<p>Equipment, Furniture and Supplies</p> <p>Includes: Records relating to the design, maintenance and operation of equipment such as photocopiers, microfilm readers and printers, telephone systems and fax machines. Also includes service records.</p> <p>Excludes: Instruction Manuals - A05; Accounts Payable - F01; Inventory Control - F30.</p>	Originator	E	-	E	C+1	E=renewal or replacement of equipment.
A13	<p>Forms Management</p> <p>Includes: Records associated with the design, production, form review and requests.</p> <p>Excludes: Blank forms.</p>	Originator	S	-	S	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A14	<p>Policies and Procedures</p> <p>Includes: All policies and procedures for the Region including operating procedures manuals, guidelines and directives. Records include Council manual, operating manuals for plants, safety procedures and training manuals.</p> <p>Excludes: Instruction Manuals - A05; Freedom of Information - A20; Freedom of Information - Administration - A25; Information Management Projects - A28; Emergency Management Program - P02; Social Services Programs - S06.</p>	Originator	S	-	S	S	<p>Archival</p> <p>#2</p> <p>Retain one copy only.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A15	<p>Information Management Program</p> <p>Includes: Records relating to information management such as program studies, IM assessments and incidents, general guidance and recommendations, industry best practices, file plan development, audits, work plans, digital imaging, filing equipment standards, project management planning, space planning and program statistics.</p> <p>Excludes: Information Disposition - A16; Information Classification and Retention - A26; Regional Archives - A27; Information Management Projects - A28.</p>	Corporate Services - Legislative Services - RIM	C+5	5	C+10	C+5	Archival #2, #46
A16	<p>Information Disposition</p> <p>Includes: Information disposition such as file, media and box destruction reports, records retention hold reports, statistics, trackers, certificates of destruction and approvals.</p> <p>Excludes: Information Management Program - A15.</p>	Corporate Services - Legislative Services - RIM	P	-	P	C+1	<p>PIB; Vital; Archival #2, #46</p> <p>Includes electronic records destruction.</p> <p>All destruction lists should be sent to RIM.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A17	<p>Travel and Accommodation</p> <p>Includes: Correspondence, itineraries of bookings, car rental agencies, hotel reservations and hotel brochures.</p> <p>Excludes: Accounts Payable - F01; Expenses - Employee and Council - F12.</p>	Originator	C+1	-	C+1	C+1	-
A18	<p>Uniforms and Clothing</p> <p>Includes: Records regarding uniforms and special clothing used by Regional staff.</p>	Originator	C+3	-	C+3	-	-
A19	<p>Vendors and Suppliers</p> <p>Includes: Correspondence, brochures, catalogues, price lists and services for equipment, supplies and consultants solicited to the Region.</p> <p>Excludes: Equipment, Furniture and Supplies - A12; Security - A21; Accounts Payable - F01; Contracts and Agreements - Simple - L05.</p>	Originator	C+4	-	C+4	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A20	<p>Freedom of Information</p> <p>Includes: Formal access requests/correction of information under the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) and the Personal Health Information Protection Act (PHIPA). Also includes privacy complaints, breaches and investigations.</p> <p>Excludes: Directory of Records - A03; Policies and Procedures - A14; Freedom of Information - Administration - A25; Provincial/Federal Legislation - L14; Complaints and Inquiries - M03.</p>	Corporate Services - Legislative Services/ Public Health - Privacy Office	E+1	5	E+6	C+1	<p>Access/ Correction Request - PIB; Vital; Archival</p> <p>#24, #46</p> <p>E=request and all appeals completed</p>
A21	<p>Security</p> <p>Includes: Building security, security system, reports, requests, logs and correspondence or reports for existing security systems. Also includes vault/cage sign in sheets.</p> <p>Excludes: Office Guest Sign In Sheets - A23; Emergency Management Program - P02.</p>	Originator	C+4	-	C+4	C+1	-
A22	<p>Facilities Bookings</p> <p>Includes: Bookings for individual meeting rooms within and outside the Region.</p>	Originator	C+1	-	C+1	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A23	Office Guest Sign In Sheets Includes: Sign in sheets of length of time guest at office and reason for visit.	Originator	C	-	C	-	PIB
A24	Accessibility Program Includes: Records relating to obligations under the Accessibility for Ontarians with Disabilities Act, including programs, projects and plans involving the accessibility of Regional buildings, services and information by disabled persons. Excludes: Strategic and Operational Policy and Planning - C13.	Originator	C+1	5	C+6	C+1	#66
A25	Freedom of Information - Administration Includes: Informal requests, third party notifications to the Region from other institutions, IPC reporting and other general correspondence. Excludes: Directory of Records - A03; Policies and Procedures - A14; Freedom of Information - A20; Provincial/Federal Legislation - L14; Complaints and Inquiries - M03.	Corporate Services - Legislative Services/ Public Health - Privacy Office	C+2	-	C+2	C+1	#24, #40

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A26	<p>Information Classification and Retention</p> <p>Includes: Corporate classification scheme and records retention schedule, retention change documentation and approvals, legislative and industry research surrounding record retention, legal advice and correspondence with auditor with respect to retention scheduling.</p> <p>Excludes: Information Disposition - A16; Information Management Program - A15; Regional Archives - A27.</p>	Corporate Services - Legislative Services - RIM	P	-	P	C+1	Vital #2, #46
A27	<p>Regional Archives</p> <p>Includes: Repository for records of enduring value and objects of historical significance worthy of a permanent retention. May include information on special archival projects and displays, copies of transfers, authorizations for archival custody, research, archives usage reports, trackers, statistics and correspondence.</p> <p>Excludes: Information Management Program - A15; Information Disposition - A16; Information Classification and Retention - A26.</p>	Corporate Services - Legislative Services - RIM	P	-	P	C+1	Vital #2, #46

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
A28	<p>Information Management Projects</p> <p>Includes: Records relating to the evaluation, analysis, design and implementation of information management business systems and processes. Records include supporting documentation such as workflow analysis, improvement strategies, project charter, surveys, status reports, meeting minutes, inventories, project planning and tasks, findings and recommendation reports and audit reports.</p> <p>Excludes: Staff Committees and Meetings - A04; Policies and Procedures - A14; Information Management Program - A15; Information Disposition - A16; Information Classification and Retention - A26; Regional Archives - A27.</p>	Corporate Services - Legislative Services - RIM	E+1	9	E+10	E	<p>Vital</p> <p>#2</p> <p>E=updated business system</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Council and By-laws

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C00	Council and By-laws - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
C01	By-laws - Originals Includes: Original signed by-laws. Excludes: By-laws - Working Papers - C02; By-law Infractions - P01.	Corporate Services - Legislative Services - Council Services	P	-	P	S	Vital; Archival #2
C02	By-laws - Working Papers Includes: Working papers, correspondence and memos. Excludes: By-laws - Originals - C01.	Originator	C+4	-	C+4	C+1	Vital; Archival #2

Legend: C - Current Year; P - Permanent; S - Superseded; E - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C03	By-laws - Other Municipalities Includes: Copies of other municipalities by-laws.	Originator	C+1	-	C+1	C+1	-
C04	By-laws - Regional Approvals - Discontinued	-	-	-	-	-	-
C05	Council Agendas Includes: Notices of meetings and agenda of Council, which contains Committees Reports to Council. Excludes: Council Minutes - C06.	Corporate Services - Legislative Services - Council Services	C+1	5	C+6	C+1	Vital; Archival #2
C06	Council Minutes Includes: Minutes of proceedings of Council and inaugural meetings. Excludes: Minutes for Standing Committees, Ad Hoc (Special) and official openings of tenders - C08.	Corporate Services - Legislative Services - Council Services	C	P	P	C+1	Vital; Archival #2, #46
C07	Standing Committees Agendas Includes: Agendas for Standing and Ad Hoc (Special) Committees. Excludes: Council Agendas - C05; Standing Committees/ Commissioners' or Staff Reports - C09.	Corporate Services - Legislative Services - Council Services	C+1	5	C+6	C+1	Vital; Archival #2

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C08	<p>Standing Committees Minutes</p> <p>Includes: Minutes of proceedings of Standing Committees, Ad Hoc (Special) Committees, and minutes of official openings of tenders.</p> <p>Excludes: Council Minutes - C06; Standing Committees Agendas - C07 Land Division Committee Minutes - C19.</p>	Corporate Services - Legislative Services - Council Services	C	P	P	C+1	Vital; Archival #2, #46
C09	<p>Standing Committees/Commissioners' or Staff Reports</p> <p>Includes: Commissioners' or staff reports to all Standing Committees and Ad Hoc (Special) Committees. Also includes Development Charges Complaint Committee.</p> <p>Excludes: Standing Committees Agendas - C07; Health Program Planning and Evaluation - P21.</p>	Corporate Services - Legislative Services - Council Services	C+1	P	P	C+1	Vital; Archival #2
C10	Inaugural Meeting - Obsolete - Amalgamated with C20	-	-	-	-	-	-
C11	<p>Motions</p> <p>Includes: Signed motions as presented to Regional Council. Also includes signed copies of committee reports to Council, recorded votes and notice of motions.</p>	Corporate Services - Legislative Services - Council Services	C+1	5	C+6	C+1	Vital; Archival #2

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C12	Boards and Authorities Includes: Records such as minutes of meetings, information relating to the establishment, organization and composition of the various Boards and Authorities on which Council has representation or affiliation. Excludes: Associations and Organizations - A01; Appointments - C14.	Originator	C+4	-	C+4	C+1	#2
C13	Strategic and Operational Policy and Planning Includes: Strategic and operational policies and plans, reviews of organization, re-engineering activities, functional responsibilities, employee suggestions, benchmarking and evaluation of programs and projects. Excludes: Policies and Procedures - A14; Accessibility Program - A24; Annexation/ Amalgamation/Restructuring - D09; Strategic Policy Analysis and Development - L35.	Originator	C+4	6	C+10	C+1	Vital; Archival
C14	Appointments Includes: Records regarding appointments by Council to Committees, Conservation Authorities, Hospital Boards, etc.	Corporate Services - Legislative Services - Council Services	C+1	5	C+6	C+1	PIB; Vital; Archival #2, #43

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C15	<p>County of Ontario (Up to and including 1973)</p> <p>Includes: All records that form part of the history of the County of Ontario; records on the administrative and operational function of the County such as financial statements and records, annual reports, auditor reports, agreements, by-laws, deeds, easements, minutes, building plans and specifications, land acquisition and sale, properties, roads, restructuring, ceremonies and events such as official openings, tax sales and arrears, payroll, benefits and pensions and all other records of historical significance. See also Books and Reports - O26.</p>	Originator	-	P	P	P	Vital; Archival #2
C16	Council and Standing Committees Minutes - Working Copies and Directives - Discontinued	-	-	-	-	-	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C17	<p>Accountability, Transparency and Governance</p> <p>Includes: Records relating to Council Code of Conduct, closed meeting complaints and investigations, Integrity Officer and Commissioner Reports, Ombudsman investigations and reports on closed meeting or Regional services complaints. Records may include complaint and investigation submission forms and correspondence.</p> <p>Excludes: Accountability Program - C24; Complaints and Inquiries - M03; Complaints/Service Requests - P15.</p>	Corporate Services - Legislative Services - Council Services	E+6	-	E+6	C+1	Complaints/ Requests/ Reports - PIB #1, #2, #43, #46, #96 E=completion of investigation
C18	Council Minutes - Electronic Recordings - Obsolete - Amalgamated with C06	-	-	-	-	-	-
C19	<p>Land Division Committee Minutes</p> <p>Includes: Minutes and decisions from proceedings of Land Division Committee.</p> <p>Excludes: Council Minutes - C06; Standing Committees Agendas - C07; Standing Committees Minutes - C08.</p>	Planning - Land Division Committee	C+15	P	P	C+1	Vital; Archival #7

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C20	<p>Election - Administration</p> <p>Includes: Records relating to administration of the Region's municipal elections including policy and procedure development, guidelines, communications materials, election budget, advertising, maps, election supplies and suppliers and election officials' information. Also includes candidate nomination process, completed nomination and withdrawal forms, supporting correspondence and information on election campaign finances, certificate of permitted expenses, campaign financial statements and auditor's reports, supplementary reports and notification of extension of campaign periods and documentation related to planning the first Inaugural meeting of Council.</p> <p>Excludes: Policies and Procedures - A14; Election - Results - C21; Election - Appeals - C22; Voters' Lists - C23.</p>	Corporate Services - Legislative Services - Council Services	E+1	4	E+5	-	<p>PIB</p> <p>#85</p> <p>E=election of next council</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C21	<p>Election - Results</p> <p>Includes: Voting day results and other statistical information. Declarations of Election Results and Oaths of Office.</p> <p>Excludes: Election - Administration - C20; Election - Appeals - C22; Voters' Lists - C23.</p>	Corporate Services - Legislative Services - Council Services	E+1	-	P	-	<p>PIB #85</p> <p>E=completion of election</p>
C22	<p>Election - Appeals</p> <p>Includes: Investigations, audits and legal actions arising from alleged contraventions of the Elections Act. Includes original application for compliance audit and decision of Compliance Audit Committee, Auditor's report and legal proceedings.</p> <p>Excludes: Standing Committee Minutes - C08; Election - Administration - C20; Election - Results - C21; Appeals and Hearings - L01.</p>	Corporate Services - Legislative Services - Council Services	E+1	5	E+6	-	<p>PIB #85</p> <p>E=resolution of appeal</p>
C23	<p>Voters' Lists</p> <p>Includes: Voters' lists obtained from local area municipalities, tabulation testing documentation and non-reusable documents and forms related to the election.</p> <p>Excludes: Election - Administration - C20; Election - Results - C21.</p>	Corporate Services - Legislative Services - Council Services	E+120 days	-	E+120 days	-	<p>PIB #85</p> <p>E=completion of election</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
C24	<p>Accountability Program</p> <p>Includes: Standards of practice regarding code of conduct and closed meeting complaints and related investigations. Records may include guidance, initiatives, communication, program implementation standards including terms of reference, yearly program audits, complaint tracking data and operational reviews. May also include Integrity Officer or Ombudsman tracking data and operational reviews. May also include Integrity Officer or Ombudsman appointments.</p> <p>Excludes: Accountability, Transparency and Governance - C17.</p>	Corporate Services - Legislative Services - Council Services	C+4	-	C+4	C+1	#96



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Development and Planning

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D00	Development and Planning - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
D01	Growth Management Includes: Records and studies regarding trends in population, employment and household growth, land budget analysis, statistics, census reports, density studies. Also includes records regarding employment and unemployment. Excludes: Strategic and Operational Policy and Planning - C13.	Planning and Economic Development	C+5	5	C+10	C+5	Vital; Archival #7, #57

Legend: C - Current Year; P - Permanent; S - Superseded; E - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D02	Economic Development Includes: Programs relating to promotion of Durham to businesses, recreational development and strategic alliance.	Planning and Economic Development	C+4	-	C+4	C+2	Recreational Development - Vital; Archival #2
D03	Economic Studies Includes: Records regarding the growth of the economy such as studies, statistics, reports, building permits and activity reports.	Planning and Economic Development	E+4	-	E+4	C+2	Archival E=study completed
D04	Environmental Planning Includes: Records related to the monitoring of environmental policies and regulations. Also includes records regarding general types of environmental and waste management studies with long range planning emphasis such as storm drainage, flood control and waste management planning. Excludes: Environmental Monitoring - E02; Environmental Assessments - E03; Inspection Reports - Site and Environmental - E04.	Planning and Economic Development/ Works - Originating Division	C+5	5	C+10	C+5	Vital; Archival #2, #7, #35, #36, #50

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D05	<p>Engineering/Technical Studies</p> <p>Includes: Working papers, technical information, reports and plans.</p> <p>Excludes: Engineering Planning and Studies - Development Review - D32; Environmental Assessments - E03; Source Water Protection - Technical Studies and Information - E19.</p>	Works - Originating Division	E+2	8	E+10	E+2	Archival E=study completed
D06	<p>Residential Development</p> <p>Includes: Housing policy, statements, studies, statistics and CMHC Housing Reports. Also includes social housing.</p> <p>Excludes: Engineering Planning and Studies - Development Review - D32.</p>	Planning and Economic Development/ Social Services - Housing Services	C+5	5	C+10	C+2	Vital; Archival #6, #7, #8, #11
D07	<p>Natural Resources</p> <p>Includes: Aggregate resource material, records relating to Oak Ridge Moraine, forests, watersheds, waterfronts, water courses and conservation lands. Also includes studies.</p>	Planning and Economic Development	C+5	5	C+10	C+2	Vital; Archival #7, #35, #36, #37, #39, #44, #59, #61

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D08	<p>Tourism Development</p> <p>Includes: Programs relating to the development of Durham as a tourist destination. Also includes studies and Retail Holiday Business Act applications.</p>	Economic Development and Tourism	C+4	-	C+4	C+2	Archival #2
D09	<p>Annexation/Amalgamation/Restructuring</p> <p>Includes: Records relating to the annexing and amalgamation of area or adjoining municipalities and the restructuring of government (GTA and "Who Does What").</p> <p>Excludes: Strategic and Operational Policy and Planning - C13.</p>	Originator	C+5	5	C+10	C+2	Vital; Archival #2
D10	<p>Registered Plans/Reference Plans/Aerial Photographs</p> <p>Includes: Registered plans (40M/10M)), reference plans (40R), condo plans (DCP) and expropriation plans (D and DR) illustrating survey boundaries and dimensions of lots, the location of streets and other blocks to be developed. Includes aerial photography of Durham Region.</p> <p>Excludes: Mapping - D25; Land Acquisition, Sale and Easements - L10; Drawings - O01; Traffic Signal Drawings (Mylar) - T06.</p>	Planning and Economic Development	C+4	P	P	-	Archival #41

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D11	<p>Land Division</p> <p>Includes: Correspondence, application, comments from agencies and severance record.</p> <p>Excludes: Land Division Comments - Complex Applications - D26; Land Division Comments - Minor Applications - D29; Appeals and Hearings - L01.</p>	Planning and Economic Development - Land Division	E+5	5	E+10	C+2	<p>PIB; Vital; Archival</p> <p>#7, #8</p> <p>E=file closed</p>
D12	<p>Official Plans and Amendment Applications - Region</p> <p>Includes: The Regional Official Plan (master document) and supporting documentation, along with applications, related agency comments, advertising and correspondence relating to Regional Official Plan and Amendments (ROPAs).</p>	Corporate Services - Legislative Services - Council Services/ Planning and Economic Development/ Works - Engineering Planning and Studies	E+1	P	P	E+1	<p>Vital; Archival Amendments - Archival; Review - Archival</p> <p>#7</p> <p>E=new plan or amendment approved and decision final.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D13	<p>Official Plans and Amendment Applications - Local Area Municipalities</p> <p>Includes: Copy of approved official plans, amendments, certificates of approval and community/development plans and supporting documentation, along with applications, related agency comments, advertising and correspondence relating to Local Official Plan Amendments (LOPAs).</p>	<p>Corporate Services - Legislative Services - Council Services/ Planning and Economic Development/ Works - Engineering Planning and Studies</p>	E+1	P	P	E+1	<p>#7</p> <p>E=new plan or amendment approved and decision final</p> <p>Corporate Services - Legislative Services is the official record holder for appeals/OMB matters only.</p> <p>Region By-law No. 11-2000, which provides for the exemption of certain local area municipal official plan amendments, was passed on Feb. 23, 2000 and came into force on March 1, 2000. All LOPAs prior to this were approved by the Region and under the custody and control of Corporate Services - Legislative Services/Planning and Economic Development. The Region will continue to process those adopted amendments, which have been determined to be not exempt.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D14	Provincial Secondary Land Use Program Includes: Comments on secondary land use on Hydro corridor lands and Municipal Planning Waivers.	Planning and Economic Development	E+1	3	E+4	C+1	#7 E=final province policy direction
D15	Non-Potable Groundwater Requests Includes: Environmental site assessments (ESA's), reliance agreements, surveys, risk assessments, site contamination reports, site remediation and Brownfield's and related agency comments. Excludes: Environmental Planning - D04; Groundwater Exploration Program - E17.	Planning and Economic Development/ Works - Engineering, Planning and Studies	E+1	6	E+7	E	#7, #35, #39, #40 E=date accepted or closed by the Region

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D16	<p>Subdivision/Condominium Plans/Part-Lot Control</p> <p>Includes: Correspondence, original applications, "Conditions of draft approval" document, "final approval" documentation, related agency comments, and hydrogeological studies.</p> <p>Excludes: Appeals and Hearings - L01; Contracts and Agreements - Under Seal - L04.</p>	<p>Planning and Economic Development/ Public Health - Environmental Health/Works - Originating Division/ Corporate Services - Legislative Services - Council Services</p>	E+1	P	P	E	<p>Vital; Archival #6, #7, #9, #35, #36</p> <p>E=last registration of plan, plan closed or denied</p> <p>Subdivision/ Condominium Plans becomes a Registered Plan upon approval.</p> <p>Corporate Services - Legislative Services is the official record holder for appeals/OMB matters only.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D17	Minor Variances (Committee of Adjustment) Includes: Copies of notices of hearings, minutes from local municipalities, related agency comments, notes, correspondence and memos.	Planning and Economic Development/ Public Health - Environmental Health/Works - Originating Division	E+3	-	E+3	C+1	Vital; Archival #2, #7 E=decision date
D18	Zoning Includes: Copy of the notice of hearing and passing of by-laws, correspondence and memos. Also includes related agency comments.	Planning and Economic Development/ Works - Originating Division	E +1	5	E +6	C+1	Vital; Archival #7 E=decision final
D19	Community Improvement Projects Includes: Review of plans from municipality and correspondence.	Originator	C+1	-	C+1	C+1	Vital; Archival #2, #7
D20	Street Naming Includes: Records regarding requests for and assignment of new subdivision street names and the renaming of roads.	Planning and Economic Development	E+5	5	E+10	C+1	#2, #7 E=registration

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D21	<p>Transportation/Traffic Planning</p> <p>Includes: In-house and external studies relating to the planning of the Region's transportation network (bicycle, vehicle, transit and pedestrian) including working papers, technical reports and plans. Also includes development files and traffic studies.</p> <p>Excludes: Traffic Development Review - D27; Transportation Master Plan - D28; Environmental Assessments - E03; Traffic - T02; Transportation Monitoring - T03; Transit - T05.</p>	Planning and Economic Development/ Works - Transportation Infrastructure/ Durham Region Transit	E+5	10	E+15	C+1	Vital; Archival #2, #7, #34, #52 E=study completed
D22	<p>Financial Studies</p> <p>Includes: Records regarding rates studies such as water and sewer servicing and rates reports and financing reports. Also includes bond rating requests.</p>	Originator	C+5	5	C+10	C+2	Archival #2
D23	<p>Agriculture Development</p> <p>Includes: Records regarding the use of agricultural land including studies, reports, correspondence and Ministry of Agriculture and Food guidelines.</p> <p>Excludes: Biosolids Site Records - E24.</p>	Planning and Economic Development	C+5	5	C+10	C+2	Vital; Archival #7, #62

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D24	<p>Industrial/Commercial Development</p> <p>Includes: Industrial/commercial land inventory, studies and policy initiatives.</p> <p>Excludes: Engineering Planning and Studies - Development Review - D32.</p>	Planning and Economic Development/ Works - Originating Division	C+5	5	C+10	C+2	Vital; Archival #7
D25	<p>Mapping</p> <p>Includes: Maps pertaining to regional base information (boundaries, roads, easements, etc.); plotting and maintenance of background data related to various planning activities including, but not limited to, subdivisions, OPA's, transportation planning, studies and land use.</p> <p>Excludes: Registered Plans/Reference Plans/Aerial Photography - D10; Land Acquisition, Sale and Easements - L10; Drawings - O01; Traffic Signal Drawings (Mylar) - T06.</p>	Planning and Economic Development/ Works - Originating Division	S	-	S	S	Vital; Archival #7

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D26	<p>Land Division Comments - Complex Applications</p> <p>Includes: Correspondence, comments regarding entrances to regional roads for properties abutting regional roads, water and sanitary sewer connections, frontage charges and requirements. Payments made and final clearance letters and reference plans.</p> <p>Excludes: Land Division - D11; Land Division Comments - Minor Applications - D29; Appeals and Hearings - L01.</p>	Planning and Economic Development/ Public Health - Environmental Health/Works - Originating Division	C+2	P	P	C+1	#7, #8
D27	<p>Traffic Development Review</p> <p>Includes: Review of traffic/transportation studies, engineering drawings, development plans (e.g. subdivision, site application, rezoning). Evaluation of traffic analysis and the impact of the development on regional roads.</p> <p>Excludes: Transportation/Traffic Planning - D21; Engineering Planning and Studies - Development Review - D32; Traffic - T02.</p>	Works - Traffic Engineering and Operations	E+10	-	E+10	C+1	#2, #7, #34, #52 E=development approved

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D28	<p>Transportation Master Plan</p> <p>Includes: Background information, project correspondence and public consultation records used in the development and approval process for the Durham Mobility Study and Durham Region Transportation Master Plan. Contains steering committee minutes, working papers, guidelines and procedures.</p> <p>Excludes: Transportation/Traffic Planning - D21; Traffic Development Review - D27; Environmental Assessments - E03; Traffic - T02; Transportation Monitoring - T03; Transit - T05.</p>	<p>Planning and Economic Development/ Works - Transportation Design</p>	E+5	P	P	E	<p>#2, #7, #52</p> <p>E=study completed</p>
D29	<p>Land Division Comments - Minor Applications</p> <p>Includes: Correspondence, comments regarding entrances to regional roads for properties abutting regional roads, water and sanitary sewer connections, frontage charges and requirements. Payments made and final clearance letters and reference plans.</p> <p>Excludes: Land Division - D11; Land Division Comments - Complex Applications - D26; Appeals and Hearings - L01.</p>	<p>Planning and Economic Development - Current Planning/ Public Health - Environmental Health/Works - Originating Division</p>	C+2	-	C+2	-	<p>#7, #8</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D30	<p>Economic Development - Proposal Requests</p> <p>Includes: Project details pertaining to investment inquiries within Region. Also includes third party financial plans and commercial/industrial real estate proposals and projections, lots, maps building details, permit requests, utility information, press releases, correspondence and final proposal package.</p> <p>Excludes: Freedom of Information - A20; Economic Development - D02; Economic Studies - D03; Tourism Development - D08; Agriculture Development - D23; Industrial/Commercial Development - D24; Tenders and Quotations - F28.</p>	Economic Development and Tourism	E+2	2	E+4	E	<p>PIB; Vital #46</p> <p>E=final decision to invest or not</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D31	<p>Pit and Quarry Licences</p> <p>Includes: Ministry of Natural Resources (MNR) site plan, annual compliance assessment report, MNR letters/licence and related correspondence.</p> <p>Excludes: Natural Resources - D07; Official Plans and Amendment Applications - Region - D12; Official Plans and Amendment Applications - Local Area Municipalities - D13; Property History - O18; Site Plan Applications/Serviceing - O21.</p>	<p>Planning and Economic Development - Current Planning/ Works - Engineering Planning and Studies</p>	E+1	9	E+10	C+1	<p>#2, #7, #35, #37, #44, #76, #77</p> <p>E= abandonment of pit and quarry operation</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D32	<p>Engineering Planning and Studies - Development Review</p> <p>Includes: Records relating to development proposals for water and sanitary sewer servicing requirements. May include documentation such as site specific engineering plans, assessment reviews, engineering proposals, studies, copies of agreements, soil reports, technical data, design criteria, surveys, plan approvals, correspondence and reports.</p> <p>Excludes: Engineering/Technical Studies - D05; Residential Development - D06; Industrial/Commercial Development - D24; Traffic Development Review - D27.</p>	Works - Environmental Services - Engineering Planning and Studies	E+2	8	E+10	E+2	<p>#2, #35, #36, #60</p> <p>E= development completed/ approved</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D33	<p>Utility Applications and Plans</p> <p>Includes: Records relating to applications for the installation of utilities in regional rights of way. This includes the routing of fibre-optics, phone lines, cable, power, and gas lines and local municipal features. Documents include construction reference drawings, applications and approvals.</p> <p>Excludes: Regulatory Approvals - L08; Utilities - O14; Utilities - Locates - O32.</p>	Works - Transportation and Field Services - Transportation Infrastructure	E	-	E	E	#2, #7 E=utility renewed or replaced
D34	<p>Development Applications - Outside of Region</p> <p>Includes: Copy of official plan amendments, zoning by-laws, plans of subdivisions and condominiums, consents and minor variances for areas outside of the Region of Durham.</p>	Planning and Economic Development	E+1	4	E+5	C+5	E=decision final

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
D35	<p data-bbox="258 212 552 245">Local Improvements</p> <p data-bbox="258 272 741 711">Includes: All records relating to local improvements, such as special assessment rolls, certificates of the Regional Clerk, notices of intention, correspondence, distribution lists, petitions, applications, reports, and notices of special assessment. Types of Local Improvement Project records available are for sewer, water and noise attenuation walls.</p> <p data-bbox="258 738 699 911">Excludes: Community Improvement Projects - D19; Capital Expenditures - F11; Design Projects - O02; Capital Projects - O04.</p>	Works - Development Approvals	E	5	E+5	C+1	<p data-bbox="1761 212 1814 245">PIB</p> <p data-bbox="1761 272 1814 305">#97</p> <p data-bbox="1761 332 1955 472">E=closure of project/ completion of construction</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Environment and Public Safety

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E00	Environment and Public Safety - General Includes: Records for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
E01	Trees and Weed Control Includes: Complaints and record of tree trimming and brush and weed removal. Also includes applications for cutting trees under the tree cutting by-law and related comments. Excludes: By-laws - Originals - C01; Permits - L07; Complaints and Inquiries - M03.	Planning and Economic Development/ Works	C+1	5	C+6	C+1	PIB #2, #37

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in **red** are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E02	<p>Environmental Monitoring</p> <p>Includes: Records regarding the routine monitoring of water/waste, water quality/quantity and air quality such as stack analysis. Also includes non-compliance annual reports for municipal water/wastewater systems related to quality and quantity. May also include water quality electronic data such as microbiological and chemical samples and tests of streams, lakes, springs and wells.</p> <p>Excludes: Environment Planning - D04; Environmental Assessments - E03; Private Well Interference/Complaints - E07; Municipal Wells - E13; Hydrogeological Modelling - E15; Water Treatment Facilities - O11; Sewage Treatment Facilities - O12.</p>	Health - Environmental/ Works - Originating Division	C+1	9	C+10	C+2	<p>Air Quality - Vital; Archival</p> <p>#25, #35, #36, #39, #40, #80</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E03	<p>Environmental Assessments</p> <p>Includes: Records relating to Municipal Class Environmental Assessments, including Master Plans and Individual Environmental Assessments. These assessments are required by legislation to plan proposed municipal infrastructure, are required to assess the state of the current environment and the impacts that the proposed works may have on it, and to develop appropriate mitigation measures. Environment includes Natural Environment, Social and Cultural Environment, Technical considerations and Economic analysis. Documents include studies and reports, environmental planning records, engineering plans, records of stakeholder consultations and correspondence.</p> <p>Excludes: Environment Planning - D04; Environmental Monitoring - E02; Inspection Reports - Site and Environmental - E04; Environmental Compliance Reporting - E05; Water Treatment Facilities - O11; Sewage Treatment Facilities - O12.</p>	Works - Originating Division/ Planning and Economic Development	E+5	10	E+15	E+1	<p>Vital</p> <p>#35, #36, #81</p> <p>E=completion of assessment</p> <p>Final EA Report maintained in Technical Library and/or Archives.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E04	<p>Inspection Reports - Site and Environmental</p> <p>Includes: Site safety inspection reports and safety/environmental logs.</p> <p>Excludes: Environmental Assessments - E03; Environmental Compliance Reporting - E05; Inspection Reports - Building and Structural - O06; Public Health Inspections - Premises - P13.</p>	Originator	C+3	E+2	E+2	C+3	<p>#35, #36</p> <p>E=disposal or replacement of facility</p>
E05	<p>Environmental Compliance Reporting</p> <p>Includes: Compliance reporting for environmental municipal services. Includes fire, water, wastewater, noise, soil, ambient air, gaseous emissions, ash, metals, odour and temperature compliance reports and logs as required under provincial and federal legislation.</p> <p>Excludes: Environmental Assessments - E03; Inspection Reports - Site and Environmental - E04.</p>	Originator	C+10	P	P	C+5	<p>Vital</p> <p>#1, #2, #35, #36, #39, #50</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E06	<p>Hazardous Materials/Waste</p> <p>Includes: Records on PCB material storage.</p> <p>Excludes: Waste Disposal - E08.</p>	Originator	E+6	-	E+6	C+2	<p>#36, #38</p> <p>E=PCB removed from site</p>
E07	<p>Private Well Interference/Complaints</p> <p>Includes: Private well complaints and impact assessments related to the Region's activities (dewatering, pump tests, de-icing of municipal roads. Regional landfill plume migration, etc.) or other activities not related to Durham Region (non-Regional pump tests, de-icing of non-Regional roads, contamination migration, climatic changes, etc.) May also include stakeholder complaints, well records, logger data, hydrographs, case specific maps, photos and correspondence.</p> <p>Excludes: Environmental Monitoring - E02; Municipal Wells - E13; Complaints and Inquiries - M03.</p>	Works - Environmental Services - Engineering Planning and Studies	E+2	3	E+5	E+2	<p>Archival Review</p> <p>#39, #40</p> <p>E=assessment completed or complaint resolved</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E08	<p>Waste Disposal</p> <p>Includes: Information related to the disposal of various waste materials including final location and correspondence. Also includes transportation of hazardous materials/waste such as asbestos, liquid waste such as motor oils, paints, Spill Response Reports and copies of manifests from the pick-up carrier.</p> <p>Excludes: Hazardous Materials/Waste - E06; Sewage Treatment Facilities - O12.</p>	Originator	C+1	5	C+6	C+1	#36, #38
E09	<p>Landfill Sites</p> <p>Includes: Information on active and inactive/perpetual care sites such as agreements, reports such as annual report sent to the Ministry of the Environment and Energy (MOEE), consultant reports, correspondence, drawings, plans, lab results and scale information.</p> <p>Excludes: Regulatory Approvals - L08.</p>	Works - Waste Management	C+4	P	P	C+4	#36, #38, #50

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E10	<p>Microbiological Analytical Reports</p> <p>Includes: Microbiological results for water and wastewater treatment, distribution and storm sewer. Also includes Microbiological adverses and corrective actions.</p> <p>Excludes: Chemical Analytical Reports - E11.</p>	Works - Technical Support	C+2	4	C+6	C+1	#36, #39, #40, #60, #80
E11	<p>Chemical Analytical Reports</p> <p>Includes: Chemical, analytical and radiological reports for water and wastewater treatment, distribution, collection system and storm sewer. Also includes spill events, sewer use by-law monitoring results and adverses and corrective actions.</p> <p>Excludes: Microbiological Analytical Reports - E10.</p>	Work - Technical Support	C+2	13	C+15	C+1	#36, #39, #40, #60
E12	<p>Waterworks Compliance Monitoring</p> <p>Includes: Summary Reports, Annual Reports, and Operational Checks - Log Sheets.</p>	Works - Technical Support	C+1	4	C+5	C+3	#39, #40

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E13	<p>Municipal Wells</p> <p>Includes: Records include geodetic surveys of Regional wells, GUDI (Groundwater Under Direct Influence) studies, municipal well complaints, Hydrogeologic reports, maintenance and de-commissioning records. Also includes any other studies or reports relating to the Municipal Water Supply Wells.</p> <p>Excludes: Environmental Monitoring - E02; Private Well Interference/Complaints - E07.</p>	Works - Engineering Planning and Studies	E+1	14	E+15	E+1	#36, #39, #40 E=completion of survey, report, complaint or study.
E14	<p>NPRI/ONT Reg. 127/01 Reporting</p> <p>Includes: National Pollutants Registry Inventory (NPRI) and Ontario Regulation 127/01 submission reports.</p>	Works - Technical Support, Waste Management	C+1	6	C+7	C+1	#36, #63

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E15	<p>Hydrogeological Modeling</p> <p>Includes: Records relating to the development and refinement of regional (York Peel Durham Toronto-Conservation Authorities Moraine Coalition YPDT-CAMC) and local (Durham rural communities) Hydrogeologic models that are used to assess water budgets, Wellhead Protection Areas (WHPA), cone of influence delineation, and vulnerable areas, etc. Also includes electronic records and data collection for Hydrogeologic modelling and reporting of final results.</p> <p>Excludes: Environmental Monitoring - E02; Hydrogeologic - General - E16; Groundwater Exploration Program - E17.</p>	Works - Environmental Services - Engineering Planning and Studies	C+5	10	C+15	C+5	Archival Review #39, #40, #59

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E16	<p>Hydrogeologic - General</p> <p>Includes: Hydrogeologic studies, reports and assessments from external sources requiring comments. Also includes general correspondence with agencies, associations, consultants, the public and other municipalities. May also include comments on legislation, guidelines and manuals.</p> <p>Excludes: Associations and Organizations - A01; Hydrogeological Modeling - E15.</p>	Works - Environmental Services - Engineering Planning and Studies	C+2	3	C+5	C+2	Archival Review #36, #39
E17	<p>Groundwater Exploration Program</p> <p>Includes: Records relating to the compilation of geochemical, geophysical and geological data to predict optimal locations for drilling and construction of municipal water supply wells. Includes test locations and background information for drilling of municipal water supply wells, well and driller records, permissions to enter, maps and photos.</p> <p>Excludes: Non-Potable Groundwater Requests - D15; Municipal Wells - E13.</p>	Works - Environmental Services - Engineering Planning and Studies	E+2	3	E+5	E+2	Archival Review #36, #39, #40 E=after exploration completed

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E18	<p>Source Water Protection - Administration and Annual Reports</p> <p>Includes: Copies of council reports, Risk Management Official and Inspector appointment certificates, by-laws and fee schedules for risk management applications, plans, issuing of notices or the acceptance of an assessment. May also include funding information, inter-municipal agreements, source protection plans and comments, and the Risk Management Official's Annual Report.</p> <p>Excludes: Source Water Protection - Technical Studies and Information - E19; Source Water Protection - Risk Management Plans - E20; Source Water Protection - Risk Assessments and Prescribed Instruments - E21; Source Water Protection - Notices and Orders - E22; Contracts and Agreements - Simple (Not Under Seal) - L05.</p>	Works Environmental Services - Technical Support	C+5	10	C+15	C+5	<p>Archival Review</p> <p>#60; By-law #37-2013 appointing Risk Management Officials under the Clean Water Act.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E19	<p>Source Water Protection - Technical Studies and Information</p> <p>Includes: Modeling analysis, vulnerability assessments, source protection area assessment reports and comments, technical studies and Significant Drinking Water Threat (SDWT) verification surveys.</p> <p>Excludes: Engineering/Technical Studies - D05; Environmental Assessments - E03; Source Water Protection - Administration and Annual Reports - E18; Source Water Protection - Risk Management Plans - E20; Source Water Protection - Risk Assessments and Prescribed Instruments - E21; Source Water Protection - Notices and Orders - E22.</p>	Works Environmental Services - Technical Support/ Engineering, Planning and Studies	C+5	10	C+15	C+5	Archival Review #60

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E20	<p>Source Water Protection - Risk Management Plans</p> <p>Includes: Risk Management Plans (RMPs) and supporting documentation, expert/consultant reports, as well as specific orders and notices related to RMPs.</p> <p>Excludes: Source Water Protection - Administration and Annual Reports - E18; Source Water Protection - Technical Studies and Information - E19; Source Water Protection - Risk Assessments and Prescribed Instruments - E21; Source Water Protection - Notices and Orders - E22.</p>	Works Environmental Services - Technical Support	E+5	10	E+15	E+1	<p>Archival Review</p> <p>#60</p> <p>E=from the date the Risk Management Plan ceases to be in effect.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E21	<p>Source Water Protection - Risk Assessments and Prescribed Instruments</p> <p>Includes: Risk assessments as required under Section 60 of the Clean Water Act and background technical work such as groundwater or vulnerability studies. Also includes prescribed instruments detailing conformance with associated source protection plan.</p> <p>Excludes: Environmental Assessments - E03; Source Water Protection - Administration and Annual Reports - E18; Source Water Protection - Technical Studies and Information - E19; Source Water Protection - Risk Management Plans - E20; Source Water Protection - Notices and Orders - E22.</p>	Works Environmental Services - Technical Support/ Engineering, Planning and Studies	E+5	10	E+15	E+1	<p>Archival Review</p> <p>#60; By-law #37-2013 appointing Risk Management Officials under the Clean Water Act.</p> <p>E=from the date of acceptance of the risk assessment.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E22	<p>Source Water Protection - Notices and Orders</p> <p>Includes: Building code or planning applications and associated letters, notices or orders and correspondence related to prohibition.</p> <p>Excludes: Water Protection - Administration and Annual Reports - E18; Source Water Protection - Technical Studies and Information - E19; Source Water Protection - Risk Management Plans - E20; Source Water Protection - Risk Assessments and Prescribed Instruments - E21; Decisions/Orders - L16.</p>	Works Environmental Services - Technical Support	E+5	10	E+15	E+1	<p>Archival Review</p> <p>#60; By-law #37-2013 appointing Risk Management Officials under the Clean Water Act.</p> <p>E=from the date the record is acquired or created.</p>
E23	<p>Fuel Pipelines</p> <p>Includes: Records relating to oil/multiproduct and natural gas pipelines such as environmental and safety plans, notifications, inspection results, correspondence, and project updates for pipeline upgrades, changes, integrity digs, flow reversals and new pipeline locations/routes from distributors. May also include copies of Council reports, National Energy Board submissions and decisions.</p> <p>Excludes: Utilities - O14.</p>	Works - Environmental Services - Technical Support; Planning and Economic Development - Policy Planning and Special Studies	C+5	10	C+15	C+5	#83 O. Reg. 210/01; #95

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
E24	<p data-bbox="258 212 583 245">Biosolids Site Records</p> <p data-bbox="258 272 747 565">Includes: Records regarding agricultural land application of treated municipal wastewater (biosolids). Includes copies of applications by licensed land owners, land application schedules, site visit checklists and haulage slips.</p> <p data-bbox="258 592 674 696">Excludes: Agriculture Development - D23; Sewage Treatment Facilities - O12.</p>	<p data-bbox="781 212 989 391">Works - Environmental Services - Plant Operations</p>	E+2	-	E+2	C+1	<p data-bbox="1778 212 1976 245">#36, #39, #98</p> <p data-bbox="1778 272 1955 418">E=expiry of plan or non-registered application</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Finance and Accounting

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F00	Finance and Accounting - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
F01	Accounts Payable Includes: Original invoice from vendor, copy of purchase order, packing slip, copy of cheque and purchase requisition. Also includes petty cash, witness payout, quarterly statement from province, Bell telephone bill detail listings, WSIB payments and Utility Finance refund cheques and detail.	Finance - Accounting/ Corporate Services - Legal Services - POA Office/Works - Traffic Engineering and Operations	C+1	5	C+6	C+1	PIB #3, #4, #51, #53 Works - Traffic maintains all monthly back-up of Bell Canada Equipment invoices.

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in **red** changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F02	<p>Payables Reporting</p> <p>Includes: Computer reports and ledgers including cheque registers, Ontario Works (OW) reports and other monthly/annual summaries of payables.</p>	Finance - Accounting	C+1	5	C+6	C+1	#3, #4
F03	<p>Accounts Receivable</p> <p>Includes: Paid and unpaid invoices, collection notices and payment arrangement forms.</p>	Finance - Accounting, Utility Finance/ Social Services - Long-Term Care and Services for Seniors, Family Services/ Works - Financial Services	C+1	5	C+6	C+1	#3, #4, #16
F04	<p>Receivables Reporting</p> <p>Includes: Computer reports and ledgers such as daily deposit summaries, aging reports, cash receipt journals, billing registers, cash reconciliations, miscellaneous charges for water billing and any other monthly/annual reporting of receivables.</p>	Finance - Accounts Receivable, Utility Finance/Social Services - Long-Term Care and Services for Seniors	C+1	5	C+6	C+1	#3, #4, #16

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F05	<p>Social Services Payments</p> <p>Includes: Form 5's, client repayments, vouchers, SDMT computer records, income reporting statements and financial reports.</p>	Social Services - Business Affairs and Financial Management, Income and Employment Support	C+2	4	C+6	C+1	<p>Vital</p> <p>#29, #45</p> <p>The electronic copy is the official record.</p>
F06	<p>Letters of Credit</p> <p>Includes: Original Letters of Credit.</p> <p>Excludes: Contracts and Agreements - Under Seal - L04.</p>	Finance - Accounting	E+1	5	E+6	C+1	<p>Vital</p> <p>#3, #4</p> <p>E=end of agreement or contract.</p>
F07	<p>Budgets and Estimates</p> <p>Includes: Council approved budgets.</p> <p>Excludes: Financial Studies - D22.</p>	Finance - Budgets and Economic Studies	P	-	P	C+1	<p>Vital; Archival</p> <p>#2</p> <p>Committee review budgets and departments working papers, retained for copy retention.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F08	<p>Fixed Assets</p> <p>Includes: Inventory of large capital items owned by the Region such as trucks, owned buildings, computers, etc.</p> <p>Excludes: Inventory Control - F30.</p>	Originator	E+1	5	E+6	E+1	<p>Vital; Archival #4</p> <p>E=disposal of asset</p>
F09	<p>Returned Cheques</p> <p>Includes: Original cheques returned from the bank for payables, payroll, NSF for Utility Finance and Ontario Works (OW). Also includes cash query database.</p> <p>Excludes: Trust Accounts - F34.</p>	Finance - Accounting, POA Collections, Utility Finance	C+1	5	C+6	-	#3, #4, #51, #53
F10	<p>Debentures and Bonds</p> <p>Includes: Records regarding debentures and bonds issued such as ledger books, initial issuance as well as records of payments to investors.</p>	Finance - Accounting	E+1	5	E+6	C+1	<p>Vital; Archival; PIB</p> <p>#2, #23, #46</p> <p>E=debentures surrendered for exchange/cancellation.</p>
F11	<p>Capital Expenditures</p> <p>Includes: Records relating to the expenditure of capital funds by the Region.</p> <p>Excludes: Reserve Funds - F31.</p>	Finance - Accounting	E+1	5	E+6	E	<p>Vital</p> <p>#2</p> <p>E=closure of project account.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F12	Expenses - Employee and Council Includes: Expense claim form and receipts such as mileage, hotel accommodations, meals, advance reconciliations and vehicle allowance.	Finance - Accounting, Payroll	C+1	5	C+6	C+1	#2, #3, #4
F13	Invoice Requisitions Includes: Requisitions for invoices to bill customers. Excludes: Purchase Orders and Requisitions - F27.	Finance - Accounts Receivable/ Social Services - Long-Term Care and Services for Seniors	C+1	5	C+6	C+1	#16
F14	Bank Account Records and Reconciliations Includes: Cheque matching documents and bank statements for all bank accounts. Includes monthly municipal reconciliation and security deposit reconciliation. Also includes deposit books.	Finance - Accounting, Utility Finance/ Health - Originating Division/ Corporate Services - Legal Services - POA Office/Social Services - Originating Division	C+1	5	C+6	C+1	#3, #4

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F15	Financial Statements and Audit Includes: Balance sheet, income statements, financial statements, annual trial balances, aged arrears, year-end accruals and year end working papers.	Finance - Accounting	C+25	P	P	C+1	Vital; Archival #2, #3, #4
F16	Subsidy Claims Includes: Records regarding revenue generated in the form of grants-in-lieu, provincial and federal grants, loans and subsidies such as monthly subsidy claims for child care, Long-Term Care, Ontario Works (OW) and family counselling.	Finance - Accounting	C+1	5	C+6	C+1	#11, #12, #16, #17, #29, #65
F17	Investments Includes: Correspondence, letters of authorization and bank transfers.	Finance - Accounting	E+1	5	E+6	E	Vital #2, #3, #4 E=maturity of investment.
F18	Journal Vouchers Includes: Completed journal voucher forms, input forms, and all background documentation used to substantiate journal entries.	Finance - Accounting, Utility Finance/ Works - Financial Services	C+1	5	C+6	C+1	#3, #4

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F19	<p>Monthly Program Financial Statements</p> <p>Includes: Distribution registers and schedules I, II, III and electronic program by account and org by account statements.</p> <p>Excludes: Payables Reporting - F02; Receivables Reporting - F04; General Ledger - F20.</p>	Finance - Accounting	C+1	5	C+6	C+1	#3, #4
F20	<p>General Ledger</p> <p>Includes: All records in the books of original entry.</p>	Finance - Accounting	C+1	P	P	C+1	Vital; Archival #3, #4

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F21	<p>Time and Labour/Attendance/Absence Reporting</p> <p>Includes: Attendance Record Form and absence transactions for all Time Reporting Codes, including overtime, banked time, bereavement, union business, jury duty, etc. as entered to the PeopleSoft Human Capital Management System (H.C.M.). Also includes Notification of Leave/Return to Work, vacation reporting, etc.</p> <p>Excludes: Time Reporting (prior to 2004)/Vacation (prior to 2007) - F99.</p>	Finance - Payroll	C+6	-	C+6	C+1	<p>PIB</p> <p>#3, #4</p> <p>With the exception of vacation reporting, all paper records dated 2003 and prior, must be maintained by the originating department for C+6 - See F99. Paper records dated later than 2003 can be destroyed, as the electronic version is now the official record.</p> <p>Vacation Reporting records became electronic by 2007 and will be the official record as of that year. Paper records prior to 2007 must be retained by the originating department for C+6 - See F99. Paper records dated later than 2007 can be destroyed.</p> <p>Doctor's notes with no medical information are retained by departments C+1.</p> <p>Durham Region Transit retains all paper records C+6 prior to 2006; 2006 and later can be destroyed as electronic version is the official record.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F22	<p>Non-Statutory Deductions/Authorizations and Special Pays</p> <p>Includes: Authorizations affecting employee pay, such as Canada Savings Bonds and United Way, etc. as well as credit union deductions. May also include payments of additional amounts due to settlements, sub-plans, and periodic payouts of accrued vacation/banks.</p>	Finance - Payroll	E+1	5	E+6	C+1	<p>PIB #3, #4 E=authorization cancelled</p>
F23	<p>Tax Exemption Forms</p> <p>Includes: TD1's.</p>	Finance - Payroll	C+1	5	C+6	C+1	<p>PIB #3, #4</p>
F24	<p>Employee Record/Position Requisitions and Changes</p> <p>Includes: Forms documenting job level changes and employee moves from one department to another. Also includes forms to add positions to approved complement or change positions and cessations.</p>	Finance - Payroll	C+1	5	C+6	C+1	PIB
F25	<p>Electronic Deposit Authorizations</p> <p>Includes: Original signed Direct Deposit Information and E-Pay Self Service Request for employees. Also includes Electronic Funds Transfer authorizations for suppliers of the Region.</p>	Finance - Accounting, Payroll	E+1	5	E+6	C+1	<p>PIB #26 E=DDI cancelled</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F26	<p>Payroll Reporting</p> <p>Includes: Payroll registers and payroll reporting from the Human Capital Management (HCM) System. Also includes microfiche from legacy payroll systems.</p>	Finance - Payroll	-	P	P	-	<p>PIB</p> <p>#3, #4, #27, #82</p>
F27	<p>Purchase Orders and Requisitions</p> <p>Includes: DRLHC paper requisitions, purchase requisition and purchase order data as entered into the Financial Information Management System (FIMS).</p> <p>Excludes: Accounts Payable - F01.</p>	Finance - Purchasing - FIMS	C+1	5	C+6	C+1	<p>FIMS</p> <p>#3, #4</p>
F28	<p>Tenders and Quotations</p> <p>Includes: Tender documents such as Requests for Proposal, Invitations to Tender, proposals, tender submissions, quotations, tender specifications and advertisements and working papers. Also includes standing agreements, correspondence, back-up documentation and unsuccessful bids.</p> <p>Excludes: Standing Committees Minutes - C08.</p>	Finance - Purchasing	E+1	5	E+6	C+1	<p>Vital</p> <p>#2</p> <p>E=expiration of tender</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F29	<p>Cash Receipts</p> <p>Includes: Receipts issued by the Region, Pre-Authorized Payment (PAP) backup and daily deposit sheets.</p> <p>Excludes: Accounts Receivable - F03; Cash Stubs and Receipts - F37; Pre-Authorized Payments (PAP) - F38.</p>	<p>Finance - Accounting, POA Collections, Utility Finance/ Corporate Services - Legal Services - POA Office</p>	C+1	5	C+6	C+1	<p>PIB; Vital #3, #4, #46 #51, #53</p>
F30	<p>Inventory Control</p> <p>Includes: Original inventory for offices, depots, homes and child care centres for small consumable items such as parts, pipes, hydrants, paper, etc. Also includes Material Stock Requisition Form and records regarding Regional auction.</p> <p>Excludes: Fixed Assets - F08.</p>	Originator	C+1	-	C+1	C+1	#4
F31	<p>Reserve Funds</p> <p>Includes: Records regarding obligatory/discretionary reserve funds for contingencies, future capital projects, etc.</p>	<p>Finance - Accounting, Budgets and Economic Studies</p>	C+1	5	C+6	C+1	#4

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F32	<p>Revenues</p> <p>Includes: Records regarding the generation of revenues such as fees from applications for severance, lot levies, development charges and copies of building permit records from local area municipalities used to collect levies.</p> <p>Excludes: Standing Committees/Commissioners' or Staff Reports - C09; Taxation - F33; Utility Finance Customer Files - O17.</p>	Originator	C+1	5	C+6	C+1	#2, #4
F33	<p>Taxation</p> <p>Includes: Records relating to any taxes paid by the Region and exceptions and rebates related to these taxes. Includes federal and provincial sales tax exemptions.</p>	Finance - Accounting	C+1	6	C+7	C+1	#2, #3, #4

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F34	<p>Trust Accounts</p> <p>Includes: Trust transactions including daily receipts for deposits and withdrawal of cash/cheques by Long-Term Care residents. Also includes group cable, recreational and event outings, foot care, hair care and medical pharmacy billings, as well as weekly deposit information and reconciliation of trust reports, cash replenishments and month end documentation.</p> <p>Excludes: Long-Term Care - Accommodation and Trust - F35.</p>	Social Services - Long-Term Care and Services for Seniors, Business Affairs and Financial Management	C+1	6	C+7	C+1	<p>PIB; Vital #2, #16</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F35	<p>Long-Term Care - Accommodation and Trust</p> <p>Includes: Monthly accommodation (rent billings and pre-authorized payments), trust bank account transactions and reconciliations for all Regional Long-Term Care homes.</p> <p>Excludes: Trust Accounts - F34.</p>	Finance - Accounts Receivable/ Social Services - Long-Term Care and Services for Seniors	C+1	6	C+7	-	PIB; Vital #16
F36	<p>POA Accounting and RICO Reports</p> <p>Includes: Held and overdue restitution reports, case transfer journal, cashier over/short records, offence change journal, lists of fines paid, unmatched payment reports, daily banking report for month end, month end reconciliation report, and daily payticket report.</p>	Corporate Services - Legal Services - POA Office	E+1	6	E+7	-	PIB #51, #53, #91 E=regional and provincial audit
F37	<p>Cash Stubs and Receipts</p> <p>Includes: Cash stubs and receipts for water billing.</p> <p>Excludes: Cash Receipts - F29; Pre-Authorized Payments (PAP) - F38.</p>	Finance - Financial Services/ Collections and Customer Service	C+2	-	C+2	-	#2, #46 The electronic Waterbilling database system maintains all official transactions. Cash stubs and receipts only need to be retained for 2 years.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F38	<p>Pre-Authorized Payments (PAP)</p> <p>Includes: Records relating to authorizations provided by customers to automatically debit a specific bank account for the purpose of payment for goods/services provided by the Region, including water and sewer services, long-term care accommodation and housing unit rentals. Information may include authorization forms, void cheques, completed change request forms and other supporting documents and correspondence.</p> <p>Excludes: Cash Receipts - F29; Cash Stubs and Receipts - F37.</p>	Finance - Financial Services/ Accounting / Collections and Customer Service	E+2	-	E+2	-	<p>PIB</p> <p>E=cancellation or no longer owner of specified property or a resident of long-term care home or tenant in a social/ affordable housing unit.</p>
F39	<p>Child Care and Early Years Funding</p> <p>Includes: Correspondence and summary notes between the child care and early years operators and staff as well as copies of operator financial statements. May also include calculations, allocations and monthly/quarterly summary reports regarding the General Operating Program (GOP), Wage Enhancement, Special Purpose Projects and Pay Equity.</p> <p>Excludes: Financial Statement and Audit - F15; Payables Reporting - F02.</p>	Social Services - Child Care Services - Early Learning Program	C+2	4	C+6	C+2	#17

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F40	Lists of Fines Paid - Obsolete - Amalgamated with F36	-	-	-	-	-	-
F41	Unmatched Payment Reports - Obsolete - Amalgamated with F36	-	-	-	-	-	-
F42	Quarterly Statement from Province - Obsolete - Amalgamated with F36	-	-	-	-	-	-
F43	RICO Accounting Reports - Obsolete - Amalgamated with F36	-	-	-	-	-	-
F44	Durham Region Transit (DRT) Ridership Reports Includes: Count sheets for daily bus routes, monthly ridership summaries, computer generated reports and year-to-date statistics.	Finance - Accounting	C+1	5	C+6	C+1	#2, #33, #52
F45	Provincial Offences Collections Includes: All records pertaining to the collection/payment of defaulted fines under the Provincial Offences Act.	Finance - Financial Services/ Collections and Customer Service	E+1	6	E+7	-	PIB #51, #53 E=no outstanding payment
F46	Financial Housing Services Includes: Social housing provider subsidy estimates, year-end settlements and financial statements, rent geared-to-income (RGI) and operational reviews.	Finance - Financial Housing Services	C+6	-	C+6	-	PIB #3, #4, #11

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
F99	<p>Time Reporting (prior to 2004)/Vacation (prior to 2007)</p> <p>Includes: Captures time and labour/attendance/absence reporting prior to 2004 and vacation records prior to 2007.</p> <p>Excludes: Time and Labour/Attendance/Absence Reporting - F21.</p>	Originator	C+1	5	C+6	-	<p>PIB</p> <p>No new records are to be added to this record series. Once old records have reached their full retention, F99 will be closed.</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Human Resources

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H00	Human Resources - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: **Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.**

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H01	<p>Employee Records</p> <p>Includes: Employee application, resume, history, skills, education levels, classification, union status/seniority, benefits information, pension plan information and beneficiary name, special testing reports, criminal reference checks, probationary evaluations, Attendance Support Program information; employee performance management, salary increases and Oath of Confidentiality. Also includes employment termination information and any other confidential correspondence.</p> <p>Excludes: Employee Record Changes Form - F24; Incident and Accident Reports - Regional Employees - H06; WSIB Claims/ Rehabilitation - H10; Short and Long Term Disability Absences - H11; Transit Certification and Training - H19; Employee Health Records - H22; Employee Retirement - H26.</p>	Corporate Services - Human Resources - Departmental Services	E+1	6	E+7	C+1	<p>PIB; Vital</p> <p>E=termination of employment</p> <p>#16, #26, #27, #58</p> <p>Send all originals to Corporate Services - Human Resources - Departmental Services.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H02	Employee Health Exposure Records - Obsolete - Amalgamated with H10	-	-	-	-	-	-
H03	Benefit Plans Includes: Benefit plans, insurance policies and contracts provided to employees such as dental and medical. Also includes correspondence, summary files and billing files.	Corporate Services - Human Resources - Employee Services	E+1	5	E+6	C+1	#2, #26, #64, #67 E=plan terminated or changed
H04	WHMIS/SDS Includes: Hazard identification and product classification, labelling and safety data sheets. Safety Data Sheets (SDS) provide information about product hazards, safe handling, emergency measures and exposure symptoms. Excludes: Health and Safety - H05.	Originator	E+1	-	E+1	E+1	#28, #30, #89, #90 E=SDS updated

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H05	<p>Health and Safety</p> <p>Includes: Records relating to occupational health and safety in the workplace such as Joint Health and Safety Committee minutes and inspections, recommendations and correspondence, Health and Safety program bulletins, investigations and fire drill records.</p> <p>Excludes: Incident and Accident Reports - Regional Employees - H06; WSIB Claims/Rehabilitation - H10; Training and Development - Courses - H21; Operational Inspections - O29; Vehicle History Files - V01; Mobile, Process, Protective, and Transportable Equipment - V03.</p>	<p>Corporate Services - Human Resources - Health Safety and Wellness, Occupational Health Nurse/Social Services - Long-Term Care and Services for Seniors, Occupational Health Nurse/Joint Health and Safety Committees</p>	C+1	4	C+5	C+1	<p>PIB; Vital; Archival</p> <p>#28, #30, #47</p> <p>Joint Health and Safety Committee Worker Co-Chairs retain workplace inspections and correspondence.</p>
H06	<p>Incident and Accident Reports - Regional Employees</p> <p>Includes: Incident and accident reports. Also contains incident logs.</p> <p>Excludes: Employee Records - H01; WSIB Claims/ Rehabilitation - H10; Traffic - T02.</p>	<p>Corporate Services - Human Resources - Employee Services</p>	C+1	5	C+6	C+1	<p>PIB; Vital; Archival</p> <p>#28, #30</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H07	<p>Performance Management</p> <p>Includes: Performance Management forms for employees.</p>	Corporate Services - Human Resources - Departmental Services	C+2	-	C+2	C	<p>#26</p> <p>Supervisor retains in working file until end of current year before forwarding to Corporate Services - Human Resources.</p>
H08	<p>Staffing</p> <p>Includes: Equal opportunity, human rights records, staffing, vacancy information and summer employment.</p> <p>Excludes: Employee Cases/Harassment/Human Rights Files - H16; Job Vacancies - H23.</p>	Corporate Services - Human Resources - Departmental Services	C+5	-	C+5	C+1	Employment equity and staff complements are no longer a function of the Region.
H09	<p>Compensation</p> <p>Includes: Job Questionnaires, job descriptions, job evaluation records and supporting information. Also includes salary schedules and pay equity.</p>	Corporate Services - Human Resources - Compensation	E	P	P	E	<p>Job Descriptions - Vital; Archival</p> <p>#82</p> <p>E=new job evaluation study</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H10	<p>WSIB Claims/Rehabilitation</p> <p>Includes: Form 7, attending physician reports, benefits history, current injury/accident details, accident investigation reports, WSIB reports, correspondence and return to work certifications and medical information concerning exposure to designated substances as listed in the Occupational Health and Safety Act, Ontario Regulation 490/09, as amended. See also Claims By/Against the Region - L02.</p> <p>Excludes: Accounts Payable - F01.</p>	Corporate Services - Human Resources - Employee Services	E+1	99	E+100	C+1	<p>PIB; Vital</p> <p>#18, #24, #28, #30, #47</p> <p>E=completion of claim</p>
H11	<p>Short and Long Term Disability Absences</p> <p>Includes: Copy of the insurance application form, medical updates, acceptance/denial notes and correspondence, prognosis reports, prior claims, case history summary sheets and OMERS information re: waiver of premium, elimination period.</p> <p>Excludes: Employee Health Records - H22.</p>	Corporate Services - Human Resources - Employee Services	E+1	99	E+100	C+1	<p>PIB; Vital</p> <p>#28, #58, #64, #67</p> <p>E=completion of claim</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H12	Grievances and Arbitrations Includes: Copy of grievance, legal and union correspondence, costings, notes, decisions and memorandum of settlements.	Corporate Services - Human Resources - Labour Relations	C+10	P	P	C+1	PIB; Vital; Archival #1, #64, #67
H13	Union Bargaining Records Includes: A copy of the signed collective agreement, union and management proposals, costings and survey data, agreed upon items, union and legal correspondence and notes. Excludes: Contracts and Agreements - Under Seal (Master copy of collective agreement) - L04; Union Files (General Correspondence) - H14.	Corporate Services - Human Resources - Labour Relations	P	-	P	E	Vital; Archival #64, #67 E=end of contract
H14	Union Files Includes: Copy of current signed collective agreement, general correspondence, and memorandum of agreements/policies. Also includes union management meetings, seniority adjustments, current seniority list and union time off for each union. Excludes: Union Bargaining Records - H13; Contracts and Agreements - Under Seal - L04.	Corporate Services - Human Resources - Labour Relations	P	-	P	C+1	#2, #64, #67

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H15	Strike Plans Includes: Official strike plan, strike committee meeting minutes, list of management home address and phone numbers, correspondence and notes.	Corporate Services - Human Resources - Labour Relations/ Works - Commissioner's Office	P	-	P	E	#2, #64, #67 E=settlement of the strike
H16	Employee Cases/Harassment/Human Rights Files Includes: Official complaint, backup documentation, union/legal correspondence and disposition. Excludes: Staffing - H08.	Corporate Services - Human Resources - Labour Relations	E+6	-	E+6	C+1	#2, #64, #67 E=termination of employment
H17	Compensation Research - Discontinued	-	-	-	-	-	-
H18	Pension Plans Includes: Original pension policies, valuations, contribution reports, adjustments, administrator reports. Excludes: Employee Retirement - H26.	Corporate Services - Human Resources - Employee Services	C+3	P	P	C+1	PIB; Vital #2, #27, #58

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H19	<p>Transit Certification and Training</p> <p>Includes: Application for employment, employment history, driver orientation, driver fitness evaluations, road tests, progress reports and driver testing documents including practical and renewal tests, vision tests, annual review testing and upgrade testing to a C Licence and Airbrake Endorsement. Also includes certification records under the Driver's Certification Program (DCP) endorsed by the Ministry of Transportation (MTO), such as Customer Service (including Accessibility for Ontarians with Disabilities - AODA standards), Bio Hazard, Violence in the Workplace and Airbrake Endorsement. May also include WHMIS, fork lift and maintenance training as required. Also includes driver qualification records such as a valid driver's licence and driver's abstract. May also include copies of accident/incident/WSIB reports, collision and violation disclosures and any corrective disciplinary actions as well as any record of convictions and administrative penalties relating to the operation of a commercial motor vehicle.</p> <p>Excludes: Employee Records - H01; Training and Development - Courses - H21.</p>	Durham Region Transit - Safety and Training	E+1	2	E+3	-	<p>PIB</p> <p>#30, #33, #34</p> <p>E=3 years after driver ceases to be employed</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H20	<p>Applications for Employment</p> <p>Includes: Resumes and application forms of external candidates applying for regular, temporary, part-time or on-call employment.</p>	Corporate Services - Human Resources - Departmental Services	C	-	C	C	<p>PIB</p> <p>#26, #46</p>
H21	<p>Training and Development - Courses</p> <p>Includes: Course materials from all corporate and departmental training workshops. This includes all training materials prepared by regional staff and departments as well as training materials obtained through the use of external trainers and consultants. Also includes Information technology training records, course material for courses such as customer service, how to deal with difficult people, health and safety and management courses. Also includes correspondence relating to training and development and list of credits obtained by employees for taking courses and professional development plan.</p> <p>Excludes: Transit Certification and Training - H19; Speeches and Presentations - M08.</p>	Originator	E+2	-	E+2	C+1	<p>PIB</p> <p>E=after date course last offered unless legislation dictates a different retention</p> <p>File copy of course certificate in employee file.</p> <p>Only courses developed and presented by the Region are subject to archival selection.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H22	<p>Employee Health Records</p> <p>Includes: Pre-employment medical information, any results of annual blood pressure and cholesterol screening tests, immunization records, audiometric testing results, any biological surveillance results, any consultation cards, medical notes with diagnosis or prognosis, etc.</p> <p>Excludes: Employee Records - H01.</p>	<p>Corporate Services - Human Resources – Health, Safety and Wellness/ Social Services - Long-Term Care and Services for Seniors</p>	E+1	99	E+100	-	<p>PIB; Vital #16, #24, #30</p> <p>E=termination or retirement</p>
H23	<p>Job Vacancies</p> <p>Includes: Job competitions/postings, vacancy notices, advertisements, resumes/application forms, selection criteria, correspondence and relevant forms.</p> <p>Excludes: Staffing - H08.</p>	<p>Corporate Services - Human Resources - Departmental Services/ Social Services - Long-Term Care and Services for Seniors</p>	C+1	-	C+1	C+1	PIB

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
H24	Severance Programs Includes: Calculations, agreement and correspondence for employees considering or taking the Voluntary Severance Incentive Program (VSIP).	Corporate Services - Human Resources - Labour Relations	E+1	5	E+6	C+1	PIB; Vital #2, #64, #67 E=termination of employment Send all originals to Corporate Services - Human Resources.
H25	Organization Charts Includes: Organization charts and supporting documentation.	Originator	E+1	-	E+1	E	Vital; Archival E=organization chart updated
H26	Employee Retirement Includes: Records associated with termination of employment due to retirement. Excludes: Pension Plans - H18.	Corporate Services - Human Resources - Employee Services	E+1	99	E+100	C+1	PIB; Vital #26, #58, #64 E=date of employee retirement
H27	Short Term Income Protection Plan (STIPP) - Obsolete - Amalgamated with H11	-	-	-	-	-	-



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Legal Affairs

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L00	Legal Affairs - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	Could be subject to #1

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: **Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.**

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L01	<p>Appeals and Hearings</p> <p>Includes: Transcripts and other records relating to appeals and hearings to boards such as the Ontario Municipal Board (OMB) and the Environmental Appeal Board.</p> <p>Excludes: Decisions/Orders - L16; Sanitary Sewer Appeals - L31; Regional Review Panel Appeals and Hearings - L37.</p>	<p>Planning and Economic Development/ Corporate Services - Legal Services - and Legislative Services- Council Services/ Public Health - Environmental Health</p>	E+1	9	E+10	C+1	<p>Vital; Archival #68, #69</p> <p>E=resolution of appeal</p> <p>Limitations Act does not apply to board proceedings. In order to determine the retention period you must refer to the Act that created the board in question and look for the retention period.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L02	<p>Claims By/Against the Region and Clients</p> <p>Includes: Claims, correspondence, records relating to prosecutions, court files, court documents, court orders, minutes of settlement, consents and pre-trial records. Also includes claims such as WSIB, accident and claims for lien, welfare overpayment and collections of damages to Regional property and outstanding accounts, insurance claims, ex gratia claims (if sewer backs up) and records regarding the Region acting on behalf of the local area municipalities under the Durham Region Insurance Pool. See also WSIB Claims/Rehabilitation - H10.</p> <p>Excludes: Orders in Council - L03; Decisions/Orders - L16; Eligibility Review Officer (ERO) Files - L19.</p>	Originator	E+1	14	E+15	C+6	<p>PIB; Vital; Archival</p> <p>#1, #2, #74</p> <p>E=resolution of claim and all appeals</p>
L03	<p>Orders in Council</p> <p>Includes: Correspondence, plans and copies of Orders in Council regarding the transfer of highways or portions of highways to the Region from the Province of Ontario.</p> <p>Excludes: Decisions/Orders - L16.</p>	Works - Originating Division	P	P	P	C+6	#2

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L04	<p>Contracts and Agreements - Under Seal</p> <p>Includes: Fully executed, original agreements and contracts such as fixed asset purchase/sale, construction, water and sewer, pipe crossing, child care, servicing, collective, hostel, encroachments registered on title, leases and copies of easements and expropriations. Also includes original offers and amendments.</p> <p>Excludes: Letters of Credit - F06; Contracts and Agreements - Simple (Not Under Seal) - L05; Contracts and Agreements - Under Seal - Working Papers - L30; Landlord Lease Agreements - L34; Construction Projects - O04.</p>	Corporate Services - Legislative Services - Council Services	E+1	14	E+15	C+6	<p>Vital; Archival #1</p> <p>E=end of agreement</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L05	<p>Contracts and Agreements - Simple (Not Under Seal)</p> <p>Includes: The original of and any amendments to maintenance agreements, service agreements, computer software licences and warranties. Also includes consultant agreements, printing and non-disclosure agreements. Includes working papers.</p> <p>Excludes: Source Water Protection - Administration and Annual Reports - E18; Contracts and Agreements - Under Seal - L04; Landlord Lease Agreements - L34.</p>	Originator	E+1	5	E+6	C+6	<p>Vital; Archival #1</p> <p>E=expiry of contract</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L06	<p>Operational Licences</p> <p>Includes: Licences required by the Region to operate facilities, equipment, drive vehicles, etc. Examples are facility licence applications, nuclear density meters, operators and electricians.</p> <p>Excludes: Regulatory Approvals - L08.</p>	Originator	E+1	-	E+1	E+1	<p>PIB; Vital</p> <p>E=expiry of licence</p> <p>If there is a civil claim and the licence is at issue it could be subject to #1</p> <p>If there is a claim in relation to the inappropriate exercise of power by an authority, which is set out in legislation, then this claim is a question of administrative law and the following applies:</p> <p>In order to determine the retention period you must refer to the Act that created the board in question and look for the retention period.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L07	<p>Permits</p> <p>Includes: Permits required by the Region from a Ministry such as Permits to Take Water (PTTW), curb cuts, road occupancy and moving permits, road closures, banner permits, vendor permits and special events/film permits. Also includes permits as required from all Conservation Authorities within Durham Region's jurisdiction.</p> <p>Excludes: Trees and Weed Control - E01; Sewage Systems - Permits - P12.</p>	Works - Originating Division	E+1	5	E+6	E	<p>PIB; Vital #2, #73</p> <p>E=expiry of permit</p> <p>If there is a civil claim, it could be subject to #1</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L08	<p>Regulatory Approvals</p> <p>Includes: Ministry or Conservation Authority approvals, applications, amendments, comments, appeals, hearings and related correspondence that covers municipal emissions, discharges and wastes associated with air, renewable energy, noise, landfill, waste disposal, waste management, water and sewage works, as well as environmental land use.. Also includes Ministry of Natural Resources (MNR), Conservation Authorities and approved drawings for utilities.</p> <p>Excludes: Official Plans and Amendment Applications - Region/Local Area Municipalities - D12, D13; Utility Applications and Plans - D33; Environmental Assessments - E03; Sewage Systems - Permits - P12.</p>	Works Department - Originating Division/ Planning and Economic Development - Current Planning	-	E+10	E+10	C+1	<p>PIB; Vital; Archival</p> <p>#36, #38, #39, #50, #70, #71, #72, #79</p> <p>E=renewed or replaced</p> <p>If there is a civil claim, it could be subject to #1.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L09	<p>Insurance Policies</p> <p>Includes: Original policies for insurance such as fire and theft.</p> <p>Excludes: Benefit Plans - H03; Claims By/Against the Region and Clients - L02.</p>	Finance - Risk Management	E+1	5	E+6	E	<p>Vital; Archival #74</p> <p>E=expiry of policy</p> <p>If there is a civil claim and the licence is at issue it could be subject to #1.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L10	<p>Land Acquisition, Sale and Easements</p> <p>Includes: Master reference plans, duplicate registered deeds, easements and expropriations. Also includes advertisements, hearing records, notices, listing of disbursements, inventory, correspondence and other records leading up to and beyond the expropriation.</p> <p>Excludes: Contracts and Agreements - Under Seal - L04; Land Acquisition, Sale and Easements for Purchases more than \$10,000 - L39; Property History - O18.</p>	Works - Real Estate Corporate Services - Legal Services	E+1	9	E+10	E+1	<p>Vital; Archival #2, #5, #41, #75</p> <p>E=release of Regional interests in real property; or completion of capital project; or opening of a Regional property file; or deeded land ownership and possession with final resolution of compensation to a property owner as it relates to the Expropriation Act</p>
L11	<p>Opinions and Briefs</p> <p>Includes: Opinions given by the Legal Department to other departments or agencies. Also includes opinions received from external legal counsel.</p>	Corporate Services - Legal Services	E+2	8	E+10	E	<p>Vital; Archival</p> <p>E=completion of file</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L12	<p>Precedents</p> <p>Includes: Records regarding judgements and decisions, which may affect the Region's position in actual or potential legal matters.</p>	Corporate Services - Legal Services	S	-	S	S	Vital; Archival
L13	<p>Client Files</p> <p>Includes: General administrative matters, legal opinions/services provided to clients such as the Durham Region Local Housing Corporation.</p>	Corporate Services - Legal Services	C+2	8	C+10	C+1	<p>PIB; Subject to Archival Selection</p> <p>#11</p> <p>If there is a civil claim and the licence is at issue it could be subject to #1.</p>
L14	<p>Provincial/Federal Legislation</p> <p>Includes: Copies of provincial and federal legislation and correspondence.</p> <p>Excludes: Freedom of Information - A20; Freedom of Information - Administration - A25; Legislation/Regulation Review - L38.</p>	Originator	S	-	S	S	<p>Acts - Vital; Archival Legislation - Archival</p> <p>Corporate Services - Legislative Services have a complete set of up-to-date legislation for Ontario.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L15	<p>Part I with Part II with Trials</p> <p>Includes: Notices of trial, subpoenas, extensions, re-opening and striking out of conviction and court record of intake disposition documents if applicable. Also includes customer/staff correspondence regarding Part I, appeals and transcripts.</p> <p>Excludes: Part III with Part I Accidents and Careless Driving - L17; Council Write-Off (CW) Tickets - L25.</p>	Corporate Services - Legal Services - POA Office	E+2	-	E+2	-	<p>PIB</p> <p>#34, #51, #53, #91</p> <p>E=date of completion</p>
L16	<p>Decisions/Orders</p> <p>Includes: Decisions/Orders issued by Boards, Tribunals, etc. such as Ontario Municipal Board.</p> <p>Excludes: Freedom of Information - A20; Appeals and Hearings - L01; Claims By/Against the Region and Clients - L02; Orders in Council - L03.</p>	Corporate Services - Legislative Services - Council Services	P	-	P	C+1	PIB

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L17	<p>Part III with Part I Accidents and Careless Driving</p> <p>Includes: Part I tickets with accidents includes notices of trial, subpoenas, extensions, re-opening and striking out of convictions and court record of intake disposition documents. Also includes customer/staff correspondence regarding Part I, appeals and transcripts. Part III summons, subpoenas, extensions and customer/staff correspondence regarding Part III. Also includes appeals and transcripts.</p> <p>Excludes: Part I with Part II with Trials - L15; Council Write-Off (CW) Tickets - L25.</p>	Corporate Services - Legal Services - POA Office	E+1	5	E+6	-	<p>PIB</p> <p>#34, #51, #53, #91</p> <p>E=date of completion</p>
L18	<p>Court Dockets</p> <p>Includes: Part I, II, and III court hearings and fail to respond and walk in guilty pleas, early resolution and first attendance dockets. Also includes docket headers.</p>	Corporate Services - Legal Services - POA Office	C+1	38	C+40	-	<p>PIB</p> <p>#51, #53, #54, #91</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L19	<p>Eligibility Review Officer (ERO) Files</p> <p>Includes: Records pertaining to investigations of misrepresentation in relation to the receipt of rent-geared-to-income (RGI) assistance, including referrals, investigation notes, RGI calculations, case review summaries, and correspondence/documentation from third parties such as housing providers/landlords, credit bureaus, employers, government agencies, banks/financial institutions and schools. May include legal notes and advice, court documents (including police packages), transcripts, decisions and research documents.</p> <p>Excludes: Claims By/Against the Region and Clients - L02; Family Support Worker (FSW) Files - S09; Applicant/Tenant Files - S15.</p>	Social Services - Housing Services	E+7	-	E+7	-	#11; #29 E=end of investigation
L20	<p>Transcript Orders (prior to 2010)</p> <p>Includes: Form requesting a transcript of a court hearing.</p>	Corporate Services - Legal Services - POA Office	C+1	6	C+7	-	Transcript Orders are code L15 or L17 starting January 1, 2010.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L21	Intake Court/Justice Includes: Intake court logs, Justice of the Peace sign in sheets and extension sign in sheets.	Corporate Services - Legal Services - POA Office	C+1	5	C+6	-	PIB #51, #53, #54, #91
L22	RICO Activity Reports Includes: RICO 2100 new offence register, ICON scheduling court utilization spreadsheet (verified and unverified), RICO 4015 Preliminary Enforcement Report, RICO Enforcement Review Journal, RICO 4400 Cases Disposed in Criminal Court and daily courtroom utilization.	Corporate Services - Legal Services - POA Office	C+1	2	C+3	-	PIB #51, #53, #91
L23	Law Enforcement - Officer Notebooks Includes: Notebooks provided to Tobacco Enforcement Officers and various other law and by-law enforcement staff for use in recording information relating to law enforcement activities. Notebooks are also to help in completing various investigation reports and as a reference source when testifying in court.	Public Health - Environmental Health	E+2	5	E+7	-	E=date the book is full or no longer used

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L24	<p>Court Exhibits/Evidence</p> <p>Includes: Evidence (documents or items) which is confiscated during inspections by Public Health Inspectors (e.g. kitchen ware and/or equipment, tobacco products, food products, etc.) and may be introduced as evidence during court hearings.</p>	Originator	E+1	-	E+1	-	<p>#51, #88</p> <p>E=after exhibit(s) have been presented in court, case closed, no further appeals. Return to originator as Region is temporary custodian only.</p>
L25	<p>Council Write-Off (CW) Tickets</p> <p>Includes: Part I, II, III tickets with and without accidents written off.</p>	Corporate Services - Legal Services - POA Office	E+6	31	E+37	-	<p>PIB</p> <p>#51, #53, #37, #91</p> <p>E=notification from Ministry of the Attorney General</p>
L26	<p>Certificate of Parking Infraction (CRC) Non Opt In</p> <p>Includes: Certificates to strike out convictions, requests for trial, control lists for Part II offences.</p>	Corporate Services - Legal Services - POA Office	C+1	2	C+3	-	<p>PIB</p> <p>#51, #53, #91</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L27	Certificate of Control Sheets Includes: Listing of all Part I tickets filed in POA office and Part II requests for trial.	Corporate Services - Legal Services - POA Office	C+1	2	C+3	-	#51, #53, #91
L28	Audio of Court Proceedings Includes: Court proceedings and intake proceedings.	Corporate Services - Legal Services - POA Office	C+1	5	C+6	-	PIB #51, #54
L29	Search Warrants Includes: All warrants filed. Documents indicating the intent to issue a warrant.	Corporate Services - Legal Services - POA Office	C+40	-	C+40	-	PIB #91
L30	Contracts and Agreements - Under Seal - Working Papers Includes: Working papers for contracts and agreements under seal. Excludes: Contracts and Agreements - Under Seal - L04.	Corporate Services - Legal Services/ Works - Real Estate	E	6	E+6	C+6	E=end of agreement
L31	Sanitary Sewer Appeals Includes: Transcripts and other records relating to appeals. Excludes: Appeals and Hearings - L01; Regional Review Panel Appeals and Hearings - L34.	Finance - Utility Finance - Billing and Analysis	P	-	P	-	#2, #47

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L32	RICO Enforcement Reports - Obsolete - Amalgamated with L22	-	-	-	-	-	-
L33	Notice of Trespass Includes: Notices of trespasses, affidavits of service and corresponding communication.	Corporate Services - Legal Services	E+1	6	E+7	C+1	PIB E=file closed
L34	Landlord Lease Agreements Includes: Authorization to lease, signed rent supplement agreements and signed addendums to the agreements. Excludes: Contracts and Agreements - Under Seal - L04; Contracts and Agreements - Simple (Not Under Seal) - L05.	Social Services - Originating Division	E+7	-	E+7	-	PIB #11, #78 E=end of agreement/payment of rent supplement

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L35	<p>Strategic Policy Analysis and Development</p> <p>Includes: Review and analysis of externally generated policy proposals and development of regional responses prior to introduction to legislation.</p> <p>Excludes: Policies and Procedures - A14; Strategic and Operational Policy and Planning - C13.</p>	CAO - Corporate Policy Unit	E+2	-	E+2	C+1	E=regional compliance to legislation/project
L36	Witness Payout Sheet - Obsolete - Amalgamated with F36	-	-	-	-	-	-
L37	<p>Regional Review Panel Appeals and Hearings</p> <p>Includes: Transcripts, decisions, orders and other records relating to appeals and hearings to the Regional Review Panel.</p> <p>Excludes: Appeals and Hearings - L01.</p>	Social Services - Housing Services	C+6	-	C+6	-	#2
L38	<p>Legislation/Regulation Review</p> <p>Includes: Review, analysis and development of regional response to introduced legislation/regulations.</p> <p>Excludes: Provincial/Federal Legislation - L14.</p>	CAO - Corporate Policy Unit	E+3	-	E+3	-	E=legislation/regulations passed

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
L39	<p>Land Acquisition, Sale and Easements for Purchases over \$10,000</p> <p>Includes: Master reference plans, duplicate registered transfers by purchase or expropriation and easements. Also includes advertisements, hearing records, notices, listing of disbursements, inventory, correspondence and other records leading up to and beyond the expropriation and closing.</p> <p>Excludes: Land Acquisition, Sale and Easements - L10; Property History - O18.</p>	Corporate Services - Legal Services	C+1	P	P	-	#1, #5, #41



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Marketing and Public Relations

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M00	Marketing and Public Relations - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: **Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.**

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M01	<p>Event Management</p> <p>Includes: Records relating to official ceremonies and events such as receptions, official openings, flag raisings, tours, parades, presentations, inaugural and award presentations that are hosted by the Region, including the original program, invitation and reply card, final design details, historical background information, final cost details, guest lists, photographs, speeches and final reports.</p> <p>Excludes: Speeches and Presentations - M08; Biographical Collections - M11; Event Management - Planning - M13.</p>	Originator	C+1	P	P	C+1	Archival Review
M02	<p>Charitable Campaigns/Fund Raising</p> <p>Includes: Records regarding the raising of funds for charitable organizations such as the United Way.</p> <p>Excludes: Cash Receipts - F29.</p>	Originator	C+1	-	C+1	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M03	<p>Complaints and Inquiries</p> <p>Includes: Concerns about services, written complaints relating to any subject, requests for information and inquiries such as homeowner letters.</p> <p>Excludes: Freedom of Information - A20; Freedom of Information - Administration - A25; Accountability, Transparency and Governance - C17; Trees and Weed Control - E01; Private Well Interference/Complaints - E07; Municipal Wells - E13; After Hours Calls - O22; Complaints/Service Requests - P15.</p>	Originator	C+6	-	C+6	C+1	<p>PIB; Archival #2, #24, #46</p> <p>Ombudsman investigations and reports filed under C17.</p>
M04	<p>Commendations</p> <p>Includes: Records regarding commendations and congratulatory letters.</p>	Originator	C+1	-	C+1	C+1	-
M05	<p>External Publications</p> <p>Includes: Clippings from newspapers, journals, magazines and newsletters.</p>	Originator	C+1	-	C+1	C+1	Archival

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M06	<p>News Releases</p> <p>Includes: Background notes and final versions of news releases issued. Includes messages for inclusion in special events programs.</p>	Originator	C+1	P	P	C+1	-
M07	<p>Publications/Advertising - Working Papers</p> <p>Includes: Records related to the development, content, design and revision of publications and brochures developed by Regional staff. Also includes edited copies and proofs.</p> <p>Excludes: External Publications - M05; Publications/ Advertising - Final Version - M12; Health Program Planning and Evaluation - P21.</p>	Originator	E+1	-	E+1	C+1	<p>E=record published</p> <p>Ensure two copies of each final publication are forwarded to Corporate Services Department, Legislative Services - Records and Information Management for archival review; see record series code M12</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M08	<p>Speeches and Presentations</p> <p>Includes: Records relating to the preparation and delivery of speeches and presentations including speech notes and handouts given by Regional employees or Council.</p> <p>Excludes: Conferences and Seminars - A10; Event Management - M01; Event Management - Planning - M13; Training and Development - Courses - H21.</p>	Originator	C+4	-	C+4	C+1	Subject to archival review
M09	Audio Visual Files - Obsolete - Amalgamated with M11	-	-	-	-	-	-
M10	<p>Visual Identity and Insignia</p> <p>Includes: Coat of arms and logos.</p> <p>Excludes: Biographical Collections - M11.</p>	Originator	S	P	P	C+1	Archival Review
M11	<p>Biographical Collections</p> <p>Includes: Biographical profiles and photos of senior staff including the Regional Chair, CAO, Commissioners, Directors and Councillors.</p> <p>Excludes: Event Management - M01; Visual Identity and Insignia - M10.</p>	Originator	C+1	P	P	C+1	<p>PIB #46</p> <p>All collections to be transferred to the Regional Archives</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M12	<p>Publications/Advertising - Final Version</p> <p>Includes: Original of final publication, such as brochures or advertising developed by Regional staff. Includes original artwork.</p> <p>Excludes: External Publications - M05; Publications/ Advertising - Working Papers - M07.</p>	Originator	E+1	-	E+1	C+1	<p>Archival</p> <p>E=record amended</p> <p>Ensure two copies of each final publication are forwarded to Corporate Services Department, Legislative Services - Records and Information Management for archival review; see record series code M07</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
M13	<p>Event Management – Planning</p> <p>Includes: Records relating to the planning and set-up of ceremonies and events including working papers such as correspondence, agendas, schedules, task lists, design details, general financial information, venue details, catering orders, program mock-up, seating plans, completed RSVP cards, flag protocol, surveys, copies of media/news releases, invoices, order forms, work orders and other supporting documentation.</p> <p>Excludes: Conferences and Seminars - A10; Event Management - M01; News Releases - M06.</p>	Originator	E+1	4	E+5	C+1	E=completion of event



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Operations

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O00	Operations - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
O01	Drawings Includes: Original drawings for Regional and municipal contracts, subdivisions, intersections, facilities, plants, pumping stations, culverts and bridges. Excludes: Mapping - D25; Traffic Signal Drawings (Mylar) - T06.	Works - Originating Division	E+3	S	S	S	Vital; Archival #2, #8 E=final acceptance date Final constructed drawings retained by the Works Department - Construction Services Division.

Legend: C - Current Year; P - Permanent; S - Superseded; E - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in **red** are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O02	<p>Design Projects</p> <p>Includes: Correspondence, plans, drawings, budget, design sheets and any records regarding the design of new facilities, roads, sanitary and storm sewers, pipes, watermains, culverts, and water/waste treatment facilities. Also includes preliminary surveys.</p> <p>Excludes: Engineering/Technical Studies - D05; Construction Projects - O04; Facility Design and Construction - O08.</p>	Works - Originating Division	E+3	12	E+15	E	<p>Vital; Archival #2, #8, #39, #52</p> <p>E=completion of project/life of infrastructure</p> <p>Design criteria retained until superseded</p>
O03	<p>Work Orders</p> <p>Includes: Original work orders.</p> <p>Excludes: Maintenance Management Activity Sheets - O20.</p>	Originator	E+1	5	E+6	E	<p>E=completion of project/work order</p> <p>Facilities Management deems electronic database "AVANTIS" to be the official record. Paper copies are destroyed annually, end of current year.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O04	<p>Construction Projects</p> <p>Includes: Records regarding the construction of new facilities and roads or major improvements to existing ones. Records include correspondence, drawings, surveys, Inspectors' daily diaries/journals, inspection reports, photographs and written comments on contract documents. Also contains final measurements, copies of invoices, materials testing records, original grade sheets and records and studies regarding construction projects on roads.</p> <p>Excludes: Engineering/Technical Studies - D05; Contracts and Agreements - Under Seal - L04; Design Projects - O02; Facility Design and Construction - O08.</p>	Originator	E+1	9	E+10	E	<p>Vital; Archival</p> <p>#2, #8, #39, #52</p> <p>E=completion of project/final acceptance</p>
O05	<p>Building and Property Maintenance</p> <p>Includes: Records regarding the maintenance of Regional buildings, leased and owned such as copies of invoices, correspondence and copies of work orders. Also includes records on renovations and Property Damage Reports.</p> <p>Excludes: Inspection Reports - Building and Structural - O06.</p>	Originator	E+1	5	E+6	C+1	<p>Maintenance Contracts with Private Contractors - Vital</p> <p>#2, #8</p> <p>E=completion of maintenance contract/warranty period</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O06	<p>Inspection Reports - Building and Structural</p> <p>Includes: Inspection reports for Regional facilities such as building, plumbing, fire prevention and other structural inspections. Also includes monthly facilities/premises inspections.</p> <p>Excludes: Inspection Reports - Site and Environmental - E04; Public Health Inspections - Premises - P13; Complaints/Service Requests - P15.</p>	Originator	C+1	E+6	E+6	C+1	<p>Vital; Archival #2, #7, #55</p> <p>E=inspection completed</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O07	<p>Sewer and Water Applications</p> <p>Includes: Sewer and water applications/connections.</p> <p>Excludes: Sewage Systems - Permits - P12.</p>	Works - Technical Support, Maintenance Depots	E	-	E	E	<p>Vital #39</p> <p>E=until renewed/life of building</p> <p>All records are scanned and indexed in an Oracle database. The scanned image is the official record.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O08	<p>Facility Design and Construction</p> <p>Includes: Records relating to the construction of new regional facilities or major improvements to existing ones. Records include site information such as geotechnical testing and surveys, executed contracts, drawings and specifications, permits and special approvals, contractor submitted red line mark-ups, consultant as-builts, and operating manuals. Also includes equipment maintenance manuals as well as final shop drawings, commissioning reports, check-out sheets and warranty information.</p> <p>Excludes: Mapping - D25; Drawings - O01; Design Projects - O02; Construction Projects - O04.</p>	Works - Originating Division	E+2	P	P	E+2	<p>Archival review upon final disposition of infrastructure</p> <p>E=final acceptance date</p>
O09	<p>Sanitary/Storm Sewer Maintenance</p> <p>Includes: Records relating to the inspection and maintenance of sanitary/storm sewers and drains such as sewer cards, history of dig ups and drawings.</p> <p>Excludes: Maintenance Management Activity Sheets - O20.</p>	Works - Originating Division	E	-	E	C+2	<p>Vital; Archival #39</p> <p>E=life of facility or system</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O10	<p>Maintenance Management Distribution Reports</p> <p>Includes: Distribution reports for labour, equipment and material.</p> <p>Excludes: Maintenance Management Activity Sheets - O20.</p>	Works - Financial Services	C+1	5	C+6	C+1	<p>#8</p> <p>Only the last bi-weekly report (#26), capturing year-end totals is maintained</p>
O11	<p>Water Treatment Facilities</p> <p>Includes: Records regarding the operation of plants, pumping stations and storage facilities. Includes correspondence, reports, plant flows, log sheets and calibration records.</p>	Works - Originating Division	C+2	8	C+10	C+2	<p>#25, #40</p> <p>Specifications - E</p> <p>E=life of facility</p>
O12	<p>Sewage Treatment Facilities</p> <p>Includes: Records regarding the operation of plants and pumping stations and lagoons. Also includes sludge management.</p> <p>Excludes: Biosolids Site Records - E24.</p>	Works - Originating Division	C+2	8	C+10	C+2	<p>#25, #36, #98</p> <p>Specifications - E</p> <p>E=life of facility</p>
O13	<p>Monthly Log Sheets and Plant Flows - Discontinued</p>	-	-	-	-	-	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O14	<p>Utilities</p> <p>Includes: Records regarding electrical power, water and gas consumption such as monthly summary sheets.</p> <p>Excludes: Utility Applications and Plans - D33.</p>	Works - Originating Division	C+1	5	C+6	C+1	Vital; Archival #2
O15	<p>Water/Wastewater Maintenance</p> <p>Includes: Records regarding the maintenance of watermains, water meters, tanks, pipelines and related facilities and equipment. Also includes watermain breaks and repairs, fire flow tests for hydrants, Water Meter Installation and Water Meter Change/Removal Order Forms.</p> <p>Excludes: Meter Readings - O16; Utility Finance Customer - O17.</p>	Works - Originating Division	E+5	-	E+5	C+2	<p>Archival #7, #39, #40</p> <p>E=life of facility, equipment or system</p>
O16	<p>Meter Readings</p> <p>Includes: Customer meter reading cards, Regional readings, inspection readings and commercial/industrial route slips.</p> <p>Excludes: Water/Wastewater Maintenance - O15; Utility Finance Customer - O17.</p>	Finance - Utility Finance	9 mo.	-	9 mo.	-	PIB #40

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O17	<p>Utility Finance Customer</p> <p>Includes: Correspondence, meter charges, adjustments, lawyers letters, new account files, water/sewer applications, and water meter installation order and collection reports.</p> <p>Excludes: Water/Wastewater Maintenance - O15; Meter Readings - O16.</p>	Finance - Utility Finance	C+1	5	C+6	C+1	PIB #2, #7
O18	<p>Property History</p> <p>Includes: Records relating to leased and owned Regional properties, Regional Road Master Plans and Water and Sewer Easement Inventories. These files contain deeds, site plans, realty taxes information, correspondence and surveys.</p> <p>Excludes: Land Acquisition, Sale and Easements - L10; Land Acquisition, Sale and Easements for Purchases more than \$10,000 - L39.</p>	Works - Real Estate	E+1	5	E+6	C+1	Vital; Archival #6, #8 E=disposal of property

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O19	<p>Road Maintenance</p> <p>Includes: Road patrol checklists, winter storm reports, winter night patrol logs and plowing and sanding logs (also known as Winter Maintenance Log).</p> <p>Excludes: Maintenance Management Activity Sheets - O20.</p>	Works - Originating Division	C+1	5	C+6	C+1	Vital #2, #52
O20	<p>Maintenance Management Activity Sheets</p> <p>Includes: Activity sheets for water, sewer, roads and projects.</p> <p>Excludes: Works Orders - O03; Maintenance Management Distribution Reports - O10.</p>	Works - Financial Services	C+2	4	C+6	C+1	#8 Prior to January 2005, depots were ORH.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O21	<p>Site Plan Applications/Servicing</p> <p>Includes: Requests for entrances to regional roads for properties abutting regional roads, water and sanitary sewer services and storm sewer services when located within a regional road allowance or easement usually for commercial and industrial lands.</p>	Planning and Economic Development/ Works - Originating Division	C+7	P	P	C+2	PIB #7
O22	<p>After Hours Calls</p> <p>Includes: Record of after-hours/emergency calls made to the Region. Also includes call out reports.</p> <p>Excludes: Complaints and Inquiries - M03.</p>	Works - Originating Division/Public Health - Inspections	C+1	5	C+6	C+1	-
O23	<p>Waste Reduction Programs</p> <p>Includes: Information on grasscycling, bag limits, recycling, re-use, organics, etc. Also includes correspondence and program documentation.</p> <p>Excludes: Event Management - M01; Waste Management Operations - O24.</p>	Works - Waste Management	C+2	3	C+5	C+2	Vital; Archival Review #36, #38

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O24	<p>Waste Management Operations</p> <p>Includes: Records regarding the day to day operations and monitoring of activities for the Durham Recycling Centre (DRC), the Materials Recycling Facility (MRF), Durham York Energy Centre (DYEC), Composting Facilities, Waste Transfer Stations and Household Hazardous Waste (HHW) Depots. Includes shift reports, site records, monthly summary reports, material records, weigh and lift tickets and scale house reports.</p> <p>Excludes: Waste Reduction Programs - O23.</p>	Works - Waste Management	C+1	9	C+10	C+1	Vital #50
O25	<p>Culvert and Bridge Inspection Report</p> <p>Includes: Inspection of culverts and bridges for its condition and any structural defects. Also includes photographs.</p>	Works - Transportation Infrastructure	E	-	E	C+1	#2, #8, #42 E=until culvert/bridge replaced

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O26	<p>Books and Reports</p> <p>Includes: Surveys, studies, proposals, reports, environmental assessments on such subjects as environment, water, sewage, waste, landfill sites, transportation, airports, roads and highways, housing, planning, official openings, official plans, development charges, emergency planning, restructuring, financial matters such as budgets, etc. prepared for the Region by consultants, prepared by the Region or received from the Province and other institutions because of Regional interest.</p>	Originator	S	-	S	C+1	#35 Collected and retained together for reference, archival, research and historical purposes. Review annually
O27	<p>Supervisors' Yearly Diaries</p> <p>Includes: Information on work crew assignments, problems, stand by diary, etc.</p>	Works - Originating Division	C+6	-	C+6	-	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O28	<p>Video Surveillance Recorded Information</p> <p>Includes: Recorded information used to monitor the safety and security of individuals, assets and property as part of the Region's Video Surveillance Program.</p>	Corporate Services - Information Technology/ Works - Facilities Maintenance	E+2	-	E+2	C+1	<p>#2, #46</p> <p>E=from date of viewing; if not viewed for law enforcement or public safety purposes, then recorded Information is erased and reused after thirty days.</p>
O29	<p>Operational Inspections</p> <p>Includes: Basement flooding Reports, Catchbasin Cleaning Records, CCTV Sanitary Sewer Inspection report, Dye Testing, Hydrant Inspection and Maintenance Record, Hydrant/Water Flushing, Hydrant Out of Service, Daily Sewer Cleaning Report (Jetting), Mainline Valve Inspection, Sewer Maintenance Hole Inspection, Water Service Box Inspection, Temporary Service Connections.</p> <p>Excludes: Health and Safety - H05</p>	Works - Maintenance Depots	C+2	-	C+2	C+2	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O30	Water/Sewer Repairs or New Installation Includes: Hydrant Installation (damaged, broken or new), Mainline Valve Repairs, Sanitary/Lateral Relines, Sewer Maintenance Hole Repairs and Water Service Box Repairs.	Works - Maintenance Depots	E	-	E	E	E= reconstruction
O31	Soil Reports Includes: Soil reports for material testing. Excludes: Construction Projects - O04.	Works - Oshawa/ Whitby Depot	P	-	P	-	-
O32	Utilities - Locates Includes: Forms, which are required prior to digging, which show where any public service is located. Excludes: Utility Applications and Plans - D33; Water/Wastewater Maintenance - O15.	Works - Originating Division	C+1	-	C+1	C+1	#7

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
O33	<p>Building Condition Assessments (BCA)</p> <p>Includes: Records that provide evaluations of regional buildings to plan for long term maintenance. Includes current building deficiencies, timeframes of major building components as well as recommendations and costs for future repairs or replacement. Files contain assessments, assignments, costing tables, evaluations, insurance, WSIB certificates, testing reports/results and correspondence.</p> <p>Excludes: Inspection Reports - Building and Structural - O06; Facility Design and Construction - O08.</p>	Works - Facility Management - Asset Management	E+5	-	E+5	-	<p>Archival Review</p> <p>#84</p> <p>E=life of facility</p>
O34	<p>Local Housing Capital Projects</p> <p>Includes: Capital renovations and new builds of the Durham Region Local Housing Corporation (DRLHC). Includes upgrades or replacement of major mechanical and electrical systems or changes in structural, architectural or civil elements, as well as upgrades to site services and property.</p> <p>Excludes: Construction Projects - O04; Facility Design and Construction - O08.</p>	Works - Facility Design, Construction and Asset Management	E+2	8	E+10	E+2	<p>#11</p> <p>E=renovation or construction completed plus warranty period</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Public Health, Protection and Enforcement Services

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P00	Public Health, Protection and Enforcement Services - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in **red** are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P01	<p>By-law Infractions</p> <p>Includes: Records relating to infractions of by-laws.</p> <p>Excludes: By-laws - Originals - C01; By-laws - Working Papers - C02; By-laws - Other Municipalities - C03.</p>	Originator	E+2	4	E+6	E+2	<p>Vital; Archival #51; Durham Region Waste Management By-law</p> <p>E=infraction settled or file closed</p> <p>Driver abstracts must be destroyed 30 days following completion or fulfilment of the applicable authorized use, as set out in MTO Agreement #11785.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P02	<p>Emergency Management Program</p> <p>Includes: Administration, training, and public education relating to the emergency management program for the Region, nuclear stations, natural disasters and emergency procedures for buildings and facilities.</p> <p>Excludes: Emergency Management Operations - P04; Public Alerting - Siren Maintenance - P30; Emergency Exercises - P32; Durham Emergency Master Plan - P33.</p>	Originator	C+1	3	C+4	C+1	Archival #31

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P03	<p>Client Files</p> <p>Includes:</p> <ul style="list-style-type: none"> - Individual/Family/Group/Community - Communicable Diseases - Reproductive and Child Health - Sexual Health - Chronic Disease Prevention - Infectious Diseases - Prevention of Injury and Substance Misuse <p>Excludes: Infant and Child Development Client Files - P06; Immunization Program - P07; Oral Health Client Files - P09; Client Files - Under 18 with No Date of Birth - P26.</p>	Public Health	E+1	9	E+10	-	<p>PIB; Vital</p> <p>#17, #18, #20, #24, #25, #86</p> <p>E=date of last activity</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p> <p>The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P04	<p>Emergency Management Operations</p> <p>Includes: Emergency response or planning actions by the Region for real emergency events either inside or outside of the Region (i.e. flooding) where the Region is involved either directly (leading the response) or indirectly (assisting with the response).</p> <p>Excludes: Emergency Management Program - P02; Public Alerting - Siren Maintenance - P30; Emergency Exercises - P32; Durham Emergency Master Plan - P33.</p>	Durham Emergency Management Office (DEMO)	E+3	47	E+50	C+1	#31 E=end of emergency event.
P05	<p>Infectious Diseases - Prevention and Control</p> <p>Includes: Records relating to the routine monitoring, reporting, prevention, containment and management of communicable/reportable diseases and also Point-of-Care Quality Assurance (QA) records.</p> <p>Excludes: Client Files - P03; Immunization Program - P07; Health Programs - Statistics - P08; Vaccine/Medication Distribution - P16; Infectious Diseases - Outbreak Management and</p>	Public Health - Environmental Health/PHNN	C+2	8	C+10	C+1	PIB #25

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
	Special Investigations - P22; Health Information Lines - P23.						
P06	<p>Infant and Child Development Client Files</p> <p>Includes: Case Fact Sheet, referrals, Physician's Courtesy Referral, Program Participation Consent, Consent to Obtain or Disclose Information, Simplified Access Authorization for Release of Information, Intake Information including Prenatal, Birth and Early Infancy History, Initial Visit Information Checklist, Report Checklist, reports and correspondence to and from other agencies, Individual Family Service Plan, Activity Sheets, Client Contact Records, Assessments (scoring forms/tools), Assessment, Progress and Discharge Reports in both paper and electronic form.</p> <p>Excludes: Client Files - Under 18 with No Date of Birth - P26.</p>	Public Health - Infant and Child Development	E+2	8	E+10	-	<p>PIB; Vital #12, #17, #18, #20, #24, #25, #86</p> <p>E=date of last entry</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P07	<p>Immunization Program</p> <p>Includes:</p> <ul style="list-style-type: none"> - AEFI's and Exemptions - Immunization history - Clinical reports - Consents for vaccination - Orders for suspensions -Immunization program questionnaire. <p>Excludes: Client Files - Under 18 with No Date of Birth - P26; Program Statistics - P08; Vaccine/Medication Distribution - P16.</p>	Public Health - Nursing and Nutrition	E+1	9	E+10	-	<p>PIB; Vital</p> <p>#13, #17, #18, #20, #24, #25, #86</p> <p>E=date of last activity</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p> <p>The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P08	<p>Health Programs - Statistics</p> <p>Includes: Records relating to statistics gathered under the various health programs for the purpose of monitoring and reporting such as the immunization program (suspensions, vaccinations, computer programs) and Sentinel School Surveillance Program (absenteeism reporting).</p>	Public Health	C+1	5	C+6	C+1	#13
P09	<p>Oral Health Client Files</p> <p>Includes: Records for schools including class lists and screening records, CINOT tracking sheets, screening records dead files, client clinical records and day sheets.</p>	Public Health - Oral Health	E+2	8	E+10	-	<p>PIB; Vital #14, #25, #86</p> <p>E=date of last activity</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P10	Health Programs - General - Obsolete - Amalgamated with P00	-	-	-	-	-	-
P11	Residents - Diet and Nutrition Includes: Records regarding nutritional assessment and diet information.	Social Services - Long-Term Care and Services for Seniors	E+2	8	E+10	-	#16, #24, #86 E= permanently discharged or deceased
P12	Sewage Systems - Permits Includes: Records of permits relating to sewage systems (septic systems), which fall under the Ontario Building Code Act and include Building Addition Applications (in relation to sewage systems), Sewage Permit Registry files, applications that were not approved or have expired, plans/diagrams, and records which fall under the Re-Inspection Programs (e.g. Lake Simcoe Mandatory Re-Inspection Program). Excludes: Permits - L07; Sewage Treatment Facilities - O12; Property Reports and Assessments - P17.	Public Health - Environmental Health	C+20	80	C+100	-	PIB; Vital #8, #71

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P13	<p>Public Health Inspections - Premises</p> <p>Includes: Inspection information on food facilities, recreational water facilities, playgrounds, arenas, day nurseries, personal service settings, and other types of establishments. Also includes inspections on small drinking water systems. Records include inspection forms, notices of violations, work orders, court decisions, tickets (Provincial Offence Notices), inspection reports, engineering drawings of floor plans, closures and condemnations and lawyers' letters.</p> <p>Excludes: Inspection Reports - Site and Environmental - E04; Complaints/Service Requests - P15.</p>	Public Health - Environmental Health - Inspections	E+2	4	E+6	-	<p>PIB</p> <p>#2, #24, #25</p> <p>E=date of premise closure</p>
P14	<p>Rabies Prevention and Control</p> <p>Includes: Rabies Investigation Reports, Orders for the confinement and release of an animal, Physician's Treatment Logs, and Rabies Register of victims receiving treatment.</p> <p>Excludes: Client Files - P03; Vaccine/Medication Distribution - P16.</p>	Public Health - Environmental Health Inspections	C+2	4	C+6	-	<p>PIB; Vital</p> <p>#24, #25</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P15	<p>Complaints/Service Requests</p> <p>Includes: Complaint forms, correspondence and complaint investigation notes and reports.</p> <p>Excludes: Closed Meeting Complaint and Investigation Requests - C17; Complaints and Inquiries - M03.</p>	Public Health - Environmental Health	C+2	4	C+6	C+2	PIB #24; #46
P16	<p>Vaccine/Medication Distribution</p> <p>Includes: Distribution records for all publicly funded vaccines, medication distribution and correspondence to/from physicians.</p> <p>Excludes: Client Files - P03.</p>	Public Health - Nursing and Nutrition/ Environmental Health	C+1	-	C+1	-	#24, #25 Bioinventory System (BIOS) - Vaccine Distribution Only

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P17	<p>Property Reports and Assessments</p> <p>Includes: Records which fall under the Ontario Building Code Act and Public Health Enforcement and includes lawyer letters requesting the history and/or current status of a property or premise, property or mortgage assessments conducted by the Public Health Inspectors and related Registries.</p> <p>Excludes: Environmental Assessments - E03; Inspection Reports - Site and Environmental - E04; Inspection Reports - Building and Structural - O06.</p>	Public Health - Environmental Health	C+3	-	C+3	-	PIB #8
P18	<p>Ambulance Call Reports Client Files</p> <p>Includes: Completed Ambulance Call Reports.</p>	Public Health - Paramedic Services	E+5	-	E+5	-	PIB #21, #22, #24 E=5 years from date of incident
P19	<p>Incident and Collision Reports Client Files</p> <p>Includes: Completed Incident Reports and Collision Reports.</p>	Public Health - Paramedic Services	E+5	-	E+5	-	PIB #21 E=date of incident/collision

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P20	<p>Health Programs and Committees</p> <p>Includes: All divisional, committee, program and component minutes.</p> <p>Excludes: Staff Committees and Meetings - A04; Health Programs Planning and Evaluation - P21.</p>	Public Health	C+2	8	C+10	-	#18
P21	<p>Health Programs Planning and Evaluation</p> <p>Includes: Logic models, planning documents, evaluations on process and outcome and supporting data.</p> <p>Excludes: Standing Committees/Commissioners' or Staff Reports - C09; Health Programs and Committees - P20.</p>	Public Health	C+4	6	C+10	C+1	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P22	<p>Infectious Diseases - Outbreak Management and Special Investigations</p> <p>Includes: Records relating to the monitoring, reporting, prevention, containment and management of communicable/reportable disease outbreaks.</p> <p>Excludes: Client Files - P03; Infectious Diseases - Environmental Prevention and Control - P05; Immunization Program - P07; Vaccine/Medication Distribution - P16; Health Information Lines - P23.</p>	Public Health - Environmental Health	E+2	8	E+10	C+1	<p>PIB #25</p> <p>E=end of outbreak or completion of investigation</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P23	<p>Health Information Lines</p> <p>Includes: Record of telephone calls received. Calls include such topics as nutrition, injury prevention, parenting (including breast feeding support) and sexual health.</p> <p>Excludes: Client Files - P03.</p>	Public Health - Nursing and Nutrition	E	-	E+10	-	<p>PIB</p> <p>#24, #86</p> <p>E=date of call</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P24	<p>Tobacco Enforcement and Inspections</p> <p>Includes: Records which fall under the Smoke Free Ontario Act and include inspections, enforcement checks, and attendance records for vendor training.</p> <p>Excludes: Inspection Reports - Site and Environmental - E04; Public Health Inspections - Premises - P13; Complaints/Service Requests - P15; Public Health Enforcement - Convictions/Prohibition Orders – P25.</p>	Public Health - Environmental Health	C+5	-	C+5	-	PIB #25, #49
P25	<p>Convictions/Prohibition Orders</p> <p>Includes: Records which fall under the jurisdiction of Public Health Enforcement and include certified copies of convictions, court order, and court tracking sheets.</p> <p>Excludes: Decisions/Orders - L16; Tobacco Enforcement and Inspections - P24.</p>	Public Health - Environmental Health	C+7	-	C+7	-	PIB #48, #49

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P26	<p>Client Files - Under 18 with No Date of Birth</p> <p>Includes: Documentation for clients that do not provide a date of birth and are under the age of 18.</p> <ul style="list-style-type: none"> - Individual - Communicable Diseases - Reproductive and Child Health - Sexual Health - Chronic Disease Prevention - Infectious Diseases - Prevention of Injury and Substance Misuse <p>Excludes: Client Files - P03; Infant and Child Development Client Files - P06; Immunization Program - P07; Oral Health Client Files - P09.</p>	Public Health - Nursing and Nutrition	E+1	15	E+16	-	<p>PIB; Vital #17, #18, #20, #24, #25, #86</p> <p>E=date of last activity</p> <p>The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy.</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P27	<p>Environmental Help Line</p> <p>Includes: Records of telephone calls received in Environmental Health and include topics such as food safety, drinking water quality, health hazards, pools, personal service settings, Vector-borne disease, Smoke Free Ontario Program, bedbugs, etc.</p> <p>Excludes: Client Files - P03; Health Information Lines - P23.</p>	Public Health - Environmental Health	C+6	-	C+6	-	-

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P28	<p data-bbox="275 212 653 282">Food Handler Certification Training</p> <p data-bbox="275 313 709 818">Includes: Records relating to the training and certification of food handlers for the purpose of educating on the safe handling of food in order to prevent food borne illnesses. Records include registrations for training sessions and exams, payment information, personal identification, course material, examination material, examination results, correspondence and copies of course completion certificates.</p> <p data-bbox="275 849 709 982">Excludes: Surveys/Questionnaires - A02; Training and Development - Courses - H21.</p>	Public Health - Environmental Health	C+1	5	C+6	-	<p data-bbox="1757 212 1814 305">PIB #25</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P29	<p>Public Alerting - Siren Design and Installation</p> <p>Includes: Records pertaining to the design and installation of the public alerting siren system, such as (but not limited to) consultant reports, site surveys and approvals, acoustical reports, equipment and peripherals.</p> <p>Excludes: Public Alerting - Siren Maintenance - P30; Public Alerting - Telephone Dialing - P31.</p>	Durham Emergency Management Office (DEMO)	E+2	P	P	E+2	#31 E=final inspection after installation
P30	<p>Public Alerting - Siren Maintenance</p> <p>Includes: Records pertaining to maintenance of the siren system and test activation records.</p> <p>Excludes: Public Alerting - Siren Design and Installation - P29; Public Alerting - Telephone Dialing - P31.</p>	Durham Emergency Management Office (DEMO)	C+3	22	C+25	-	#31

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P31	<p>Public Alerting - Telephone Dialing</p> <p>Includes: Records pertaining to the telephone dialing system and test activation records.</p> <p>Excludes: Public Alerting - Siren Design and Installation - P29; Public Alerting - Siren Maintenance - P30.</p>	Durham Emergency Management Office (DEMO)	C+3	7	C+10	-	#31
P32	<p>Emergency Exercises</p> <p>Includes: Records that document and support the performance of tasks related to an exercise or planned event and, where necessary, makes recommendations for improvements and are used to validate emergency plans and procedures, response, and recovery capabilities and includes such things as exercise directives, sign-in sheets, and after-action reports.</p> <p>Excludes: Emergency Management Program - P02; Emergency Management Operations - P04; Public Alerting - Telephone Dialing - P31; Durham Master Plan - P33.</p>	Durham Emergency Management Office (DEMO)	C+5	15	C+20	C+5	#31

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
P33	<p>Durham Emergency Management Office (DEMO)</p> <p>Includes: The Durham Region Emergency Master Plan. This plan is supported by emergency plans that are risk-based; developed and maintained to respond to risk-based emergencies. The Master Plan outlines Durham Region's emergency management response structure under which the region and local municipalities will operate in response to natural or human-caused emergencies.</p> <p>Excludes: Emergency Management Program - P02; Emergency Management Operations - P04; Emergency Exercises - P32.</p>	Durham Emergency Management Office (DEMO)	E+1	7	E+8	E	<p>Vital</p> <p>#31</p> <p>E=superseding of the current plan by a new plan or any amendment</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Social Services

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S00	Social Services - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-

Legend: C - Current Year; P - Permanent; S - Superseded; E - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S01	<p>Long-Term Care and Services for Seniors</p> <p>Includes: Records regarding the homes, programs offered, waiting lists, placement co-ordination service.</p> <p>Excludes: Building and Property Maintenance - O05; Inspection Reports - Building and Structural - O06; Residents - Diet and Nutrition - P11; Residents - Permanently Discharged or Deceased (from July 1, 2005) - S02; Residents - Permanently Discharged or Deceased (prior to July 1, 2005) - S99.</p>	Social Services - Long-Term Care and Services for Seniors	C+2	3	C+5	C+1	#16, #24, #46

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S02	<p>Residents - Permanently Discharged or Deceased (from July 1, 2005)</p> <p>Includes: Original application, admission agreement, trust authorization, health card, copy of the power of attorney, patient accident/incident reports and investigations and patient charts. Also includes resident applications for reduction of accommodation rates and residents safekeeping records.</p> <p>Excludes: Residents - Diet and Nutrition - P11; Long-Term Care and Services for Seniors - S01; Residents - Permanently Discharged or Deceased (prior to July 1, 2005) - S99.</p>	Social Services - Long-Term Care and Services for Seniors	E+2	8	E+10	-	<p>PIB; Vital #2, #16, #24, #86</p> <p>E= permanently discharged or deceased</p> <p>Placement Coordination Agency retains original applications.</p>
S03	<p>Directly Operated Child Care Client Files</p> <p>Includes: Admission form, consent forms, authorization forms, progress assessments, individual support plans, daily routine tracking forms, child accident reports and correspondence. May also include epi-pen requirements and completed medication forms.</p> <p>Excludes: Child Care Client Files - S12.</p>	Social Services - Children's Services	E+3	-	E+3	-	<p>PIB #17</p> <p>E=child no longer under care</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S04	<p>Ontario Works Client Psychological Assessments</p> <p>Includes: Psychological Assessment Report of Ontario Works clients for the purpose of referring certain clients to Ontario Disability Support Program. Also includes consent forms and any correspondence, documentation received from community organizations such as Children's Aid Society.</p> <p>Excludes: Income Support Case Files/Homemakers Files - S08; Employment Client Files - S11.</p>	Social Services - Income and Employment Support, Ontario Works	E+1	9	E+10	-	<p>PIB</p> <p>#92, #93</p> <p>E=date of report prepared by Psychologist</p>
S05	<p>Residents Registers</p> <p>Includes: Original admissions, deaths and discharge registers.</p>	Social Services - Long-Term Care and Services for Seniors	C+4	E	E	-	<p>PIB</p> <p>#16, #24</p> <p>E=life of the home</p>
S06	<p>Social Services Programs</p> <p>Includes: Records regarding the programs, qualification criteria, statistics, and evaluations for social assistance, family counselling and child care.</p>	Social Services - Originating Division	C+2	3	C+5	C+1	#29, #45

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S07	<p>Social Benefits Tribunal (SBT) (Previously Social Assistance Review Board (SARB))</p> <p>Includes: Records regarding an appeal made by a client. Records include copy of submission, correspondence from SBT and review result.</p>	Social Services - Income and Employment Support/ Corporate Services - Legal Services	E+2	4	E+6	E+1	<p>PIB; Vital; Archival</p> <p>#29, #45</p> <p>E=appeal finalized</p>
S08	<p>Income Support Case Files/Homemakers Files</p> <p>Includes: Original signed forms, narratives from case workers, receipts, bank statements, case review sheets, overpayment, reconciliations and all records needed in order to meet eligibility such as ERO summary. Also includes direct deposit authorizations and funeral files.</p>	Social Services - Business Affairs and Financial Management, Income and Employment Support, Long-Term Care and Services for Seniors	E+2	4	E+6	-	<p>PIB</p> <p>#29, #45</p> <p>E=terminated with no activity/Home maker services terminates</p>
S09	<p>Family Support Worker (FSW) Files</p> <p>Includes: Records regarding obtaining support for a child/children such as court orders, enforcement activities, lawyers' letters, court case, support and financial records and notes.</p> <p>Excludes: Eligibility Review Officer (ERO) Files - L19; Applicant/Tenant Files - S15.</p>	Social Services - Business Affairs and Financial Management, Income and Employment Support; Housing Services	E+1	5	E+6	-	<p>PIB</p> <p>#29</p> <p>E=case settled or FSW file closed</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S10	<p>Family Counselling Files</p> <p>Includes: Records relating to family counselling and adult protective services.</p>	Social Services - Family Services	E+1	9	E+10	-	<p>PIB</p> <p>#10, #12, #24, #25, #29, #86, #87</p> <p>E=no longer client</p> <p>Note: If the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.</p>
S11	<p>Employment Client Files</p> <p>Includes: Records regarding employment counselling such as non-paid work placements, participants, employer files, pre-employment records and community placements.</p>	Social Services - Income and Employment Support, Ontario Works	E+1	5	E+6	-	<p>PIB</p> <p>#29, #45</p> <p>E=no longer client</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S12	<p>Child Care Client Files</p> <p>Includes: Original application, child care agreement, form 1, physician's letters, agencies letters and narrative sheets.</p> <p>Excludes: Directly Operated Child Care Client Files - S03; Child Care and Early Years Provider Operations - S13.</p>	Social Services - Children Services	E+1	6	E+7	-	<p>PIB; Vital; Archival #17, #86</p> <p>E=child no longer under care and terminated without an active overpayment</p>
S13	<p>Child Care and Early Years Provider Operations</p> <p>Includes: Records relating to service provision of licensed child care and early years programs. Documentation may include service agreements and amendments, schedules, letters of agreement, licences, insurance certificates, quality assurance audits and inspections and legal records.</p> <p>Excludes: Child Care Client Files - S12.</p>	Social Services - Children Services	E+1	6	E+6	C+1	<p>Vital; Archival #17</p> <p>E=no longer a child care provider</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S14	<p>Behaviour Management Client Files</p> <p>Includes: Intakes, referral information, consent to release information, assessments from external professionals, family plan of service, service agreement, contact notes, client contracts, follow-up notes.</p> <p>Excludes: Child Care Client Files - S12.</p>	Social Services - Children Services, Behaviour Management	E+2	5	E+7	-	<p>PIB; Vital; Archival #86</p> <p>E=discharge of client</p>
S15	<p>Applicant/Tenant Files</p> <p>Includes: Records regarding the provision of affordable rent in privately owned (rent supplement) or region owned buildings. Includes: tenant information such as employment status, banking, income and assets information, benefits, family information and tenant changes. Also includes rental information such as rent paid, rent adjustments, renewals and termination of lease.</p> <p>Excludes: Eligibility Review Officer (ERO) Files - L19.</p>	Social Services - Housing Services, Operations	E+1	6	E+7	-	<p>PIB; Vital; Archival #11</p> <p>E=no longer an applicant or until tenant vacates or deceased</p>

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S16	Provider Projects Includes: Records regarding all legal, operation, technical and financial information for provider projects receiving subsidy. Also includes correspondence.	Social Services - Housing Services, Programs	E+2	-	E+2	-	PIB; Vital; Archival #11 E=no longer a provider
S17	Hostel Client Intake Forms Includes: Hostel Client Intake Forms.	Social Services - Business Affairs and Financial Management	C+1	5	C+6	-	PIB #29, #45
S18	Child Care Operator/Client Attendance Records Includes: Purchase of Service attendance records including attendance schedules, web-based attendance schedules and back-up documentation. Also includes LEAP, OW and NCBR timesheets.	Social Services - Children Services	C+1	5	C+6	-	#12, #17, #29, #45

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
S99	<p>Residents - Permanently Discharged or Deceased (prior to July 1, 2005)</p> <p>Includes: Original application, admission agreement, trust authorization, health card, copy of the power of attorney, patient accident/incident reports and investigations and patient charts. Also includes resident applications for reduction of accommodation rates and residents safekeeping records.</p> <p>Excludes: Residents - Diet and Nutrition - P11; Residents - Permanently Discharged or Deceased (from July 1, 2005) - S02.</p>	Social Services - Long-Term Care and Services for Seniors	E+5	-	E+5	-	<p>PIB; Vital #2, #16, #24</p> <p>E= permanently discharged or deceased</p> <p>Placement Coordination Agency retains original applications.</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Transportation

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
T00	Transportation - General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	-
T01	Traffic Signals Includes: Records regarding the installation and repair of equipment used to control traffic and illuminate roads such as signals, street lights, warning devices and pedestrian crossovers. Also includes intersection files, photos, correspondence, NIC cards and time cards. Excludes: Transportation/Traffic Planning - D21; Permits - L07; Complaints and Inquiries - M03; Work Orders - O03; Traffic - T02.	Works - Traffic Engineering and Operations	E+1	5	E+6	C+1	Vital; Archival #34 E=removal of signal

Legend: **C** - Current Year; **P** - Permanent; **S** - Superseded; **E** - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: **Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.**

Areas in red are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
T02	<p>Traffic</p> <p>Includes: Automated Traffic Recorder Counts (ATR), turning movement counts, traffic reports and studies, maintenance logs/summaries, motor vehicle accident reports, fatalities, school crossing painting, pavement markings, signage and signal timing request letters.</p> <p>Excludes: Transportation/Traffic Planning - D21; Traffic Development Review - D27; Permits - L07; Complaints and Inquiries - M03; Work Orders - O03; Traffic Signals - T01.</p>	Finance - Risk Management/ Planning and Economic Development/ Works - Traffic Engineering and Operations, Transportation Design	C+10	-	C+10	C+2	<p>Vital</p> <p>#34</p> <p>Automated Traffic Recorder Counts (ATR) and Turning Movement Counts retained electronically</p>
T03	<p>Transportation Monitoring</p> <p>Includes: Records relating to transportation system usage such as studies, statistical data relating to roads, marine, rail and air.</p> <p>Excludes: Transportation/Traffic Planning - D21.</p>	Planning and Economic Development/ Works - Transportation Design	C+1	19	C+20	C+1	Vital; Archival

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
T04	<p>Permanent Road and Lane Closures</p> <p>Includes: Records regarding roads and lanes closed on a permanent basis. Records include reports, appraisals, correspondence and district court applications. Also includes related agency comments.</p> <p>Excludes: Permits - L07; Temporary Road and Lane Closures -T07.</p>	Planning and Economic Development - Transportation Planning and Research/ Works - Originating Division	C+2	8	C+10	C+1	-
T05	<p>Transit</p> <p>Includes: Records and studies regarding public transit systems such as schedules, routes, maps, route administration and planning, and fare policies. Also includes intergovernmental transit coordination, GO Transit, monitoring and specialized transit.</p>	Planning and Economic Development/ Durham Region Transit	C+1	5	C+6	C+1	Vital; Archival #33, #52
T06	<p>Traffic Signal Drawings (Mylar)</p> <p>Includes: Original Mylar traffic signal drawings.</p> <p>Excludes: Mapping - D25; Drawings - O01.</p>	Works - Traffic Engineering and Operations	E+6	-	E+6	-	E=drawing revised

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
T07	<p>Temporary Road and Lane Closures</p> <p>Includes: Records regarding roads and lanes closed on a temporary basis.</p> <p>Excludes: Permanent Road and Lane Closures - T04.</p>	Works - Originating Division	C+1	-	C+1	C+1	-
T08	<p>Specialized Services Applicants</p> <p>Includes: Applications and assessments of passengers with disabilities who are eligible for Durham Region Transit (DRT) Specialized Services. May also include documentation relating to a support person who travels with the passenger. Records include the application form, contact and emergency contact information mobility or assistive device requirements, functional abilities, use of public transit, health care professional information outlining and certifying the passenger's disability and if a support person is required. Records may also include occupational therapist assessments, specialized service appeals, recommendations and decisions.</p> <p>Excludes: Durham Region Transit Ridership Reports - F44.</p>	Durham Region Transit	E+1	2	E+3	-	<p>PIB</p> <p>#24, #46, #66</p> <p>E=service no longer required</p>



Tab: 03 Records Retention
Section: 02 The Schedule
Subject: 04 Corporate Classification Scheme (CCS)

Date: August/2017

Subject Heading: Vehicles and Equipment

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
V00	Vehicles and Equipment – General Includes: Records of a general nature for which no specific classification exists.	Originator	C+1	-	C+1	C+1	#34 Under the Highway Traffic Act, Daily Vehicle Inspection Reports w/o defects are recycled every 3 months and with defects are retained C+1.

Legend: C - Current Year; P - Permanent; S - Superseded; E - Event Required before Calculating Retention; **Originator** - Originated or acquired the record.

Note: Copy Retention is a suggested retention period. There is no legal obligation to retain copies unless the copy is the official copy.

Areas in **red** are changes made since last revision to the CCS. If new record series or total retention has changed, it is subject to Council approval.

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
V01	<p>Vehicle History Files</p> <p>Includes: Repair records for each vehicle, copy of repair orders, material requisitions. Also contains fuel odometer and hour meter readings, annual inspection certificates and shop survey files.</p> <p>Excludes: Health and Safety - H05; Operational Licences - L06; Traffic - T02.</p>	Works - Oshawa/Whitby Depot, Fleet/Durham Region Transit	E+1	-	E+1	C	#34 E=vehicle disposed of or replaced
V02	<p>Vehicles Inventory</p> <p>Includes: Inventory sheets of vehicles.</p>	Works - Oshawa/Whitby Depot, Fleet	E+6	-	E+6	C	E=vehicle disposed of or replaced
V03	<p>Mobile, Process, Protective, and Transportable Equipment</p> <p>Includes: Equipment maintenance and history, purchase information and specifications, repair records including copy of repair orders, material requisitions, fuel odometer and hour meter readings, annual inspection certificates and shop survey files. Also includes records regarding vibration analysis and history of run times.</p> <p>Excludes: Equipment, Furniture and Supplies - A12; Health and Safety - H05.</p>	Originator	E+1	5	E+6	C	#34 E=equipment disposed of or replaced

Record Series Code	Record Series	Official Record Holder	Active Retention	Inactive Retention	Total Retention	Copy Retention	Remarks and/or Citation by #
V04	Transportable Equipment - Obsolete - Amalgamated with V03	-	-	-	-	-	-
V05	Fuel Inventory Includes: Daily and monthly dispensing of gas pumps at depots/plants.	Works - Originating Division	C+1	E	E	C	#32 E=facility decommissioned
V06	Process Equipment - Obsolete - Amalgamated with V03	-	-	-	-	-	-

**Summary of Changes for Council Approval
Corporate Classification Scheme (CCS)**

2016-2017

C16 Council and Standing Committees Minutes - Working Copies and Directives

- Record Series is discontinued

C17 Closed Meeting Complaint and Investigation Requests

- Changed Record Series Title to Accountability, Transparency and Governance
- Changed Includes to - Records relating to Council Code of Conduct, closed meeting complaints and investigations, Integrity Officer and Commissioner Reports, Ombudsman investigations and reports on closed meeting or Regional services complaints. Records may include complaint and investigation submission forms and correspondence
- Added Excludes - Accountability Program - C24; Complaints and Inquiries - M03; Complaints/Service Requests - P15
- Changed Active Retention from E+1 to E+6
- Changed Inactive Retention from 5 to no retention

E02 Environmental Monitoring

- Added to Includes - Also includes non-compliance annual reports for municipal water/**wastewater** systems and deleted **water** from water quality and quantity. Also deleted **and radiological** from Includes
- Added to Remarks - #80

E10 Microbiological Analytical Reports

- Changed Includes from Bacteriological analytical results to Microbiological results and changed Microbiological Corrective Actions to Microbiological adverses and corrective actions
- Added Excludes - Chemical Analytical Reports - E11
- Changed Inactive Retention from 3 to 4
- Changed Total Retention from C+5 to C+6

E11 Chemical Analytical and Engineering Reports

- Changed Record Series Title to Chemical Analytical Reports
- Added to Includes - Chemical, analytical **and radiological** and changed Chemical Analytical Corrective Actions to adverses and corrective actions and deleted Also includes Engineering Reports
- Added Excludes - Microbiological Analytical Reports - E10

E21 Source Water Protection - Risk Assessments

- Changed Record Series Title to Source Water Protection - Risk Assessments and Prescribed Instruments
- Added to Includes to - Also includes prescribed instruments detailing conformance with associated source protection plan

E22 Source Water Protection - Prohibition Notices and Orders

- Changed Record Series Title to Source Water Protection - Notices and Orders
- Changed Includes to Building code or planning applications and associated letters, notices or orders and correspondence related to prohibition

H02 Employee Health Exposure Records

- Deleted Record Series as obsolete; now part of H10

H05 Health and Safety

- Deleted Regional employee vaccine consents from Includes. Now part of Employee Health Records - H22

H10 WSIB Claims/Rehabilitation

- Added to Includes - and medical information concerning exposure to designated substances as listed in the Occupational Health and Safety Act, Ontario Regulation 490/09, as amended
- Added to Remarks - #18, #24, #47

H22 Employee Health Records

- Deleted from Excludes - Employee Health Exposure Records - H02
- Added to Excludes - Employee Records - H01
- Added to Official Record Holder - Health, Safety & Wellness

L01 Appeals and Hearings

- Added as an Official Record Holder - Council Services - Legislative Services

L15 Part I with Part II with Trials

- Changed Active Retention from E+1 to E+2
- Changed Inactive Retention from 2 to no retention
- Changed Total Retention from E+3 to E+2
- Added to Excludes – Part III with Party I Accidents and Careless Driving

L17 Part III with Part I Accidents

- Changed Records Series to Part III with Part I Accidents and Careless Driving
- Changed Inactive Retention from 6 to 5 and Total Retention from E+7 to E+6
- Added to Excludes - Part I with Part II with Trials - L15

L28 Audio of Court Proceedings

- Changed Inactive Retention from 6 to 5
- Changed Total Retention from C+7 to C+6

O11 Water Treatment Facilities

- Changed Includes to - Records regarding the operation of plants, pumping stations and storage facilities. Includes correspondence, reports, plant flows, log sheets and calibration records.

O12 Sewage Treatment Facilities

- Changed Includes to - Records regarding the operation of plants, pumping stations and lagoons. Includes correspondence, reports, plant flows, log sheets and calibration records. Also includes sludge management
- Added to Remarks - #98

O13 Monthly Log Sheets and Plant Flows

- Record Series is discontinued as now part of O11 and O12

O15 Water Maintenance

- Changed Record Series Title to Water/Wastewater Maintenance

O24 Waste Management Operations

- Changed Includes to - Records regarding the day to day operations and monitoring of activities for the Durham Recycling Centre (DRC), the Materials Recycling Facility (MRF), Durham York Energy Centre (DYEC), Composting Facilities, Waste Transfer Stations and Household Hazardous Waste (HHW) Depots. Includes shift reports, site records, monthly summary reports, material records, weigh and lift tickets and scale house reports.
- Changed Inactive Retention from 5 to 9
- Changed Total Retention from C+6 to C+10

P04 Emergency Management Operations

- Changed Includes to - Emergency response or planning actions by the Region for **real** emergency events either inside or outside of the Region (**i.e. flooding**) where the Region **is involved either directly (leading the response) or indirectly (assisting with the response)**
- Added to Excludes - Emergency Exercises - P32; Durham Emergency Master Plan - P33

S03 Directly Operated Child Care Client Files

- Added to Includes – individual support plans; May also include epi-pen requirements and completed medication forms.
- Changed Active and Total Retentions from E+2 to E+3.

S13 Child Care Provider Operations

- Changed Record Series Title to Child Care and Early Years Provider Operations
- Changed Includes to: Records relating to service provision of licensed child care and early years programs. Documentation may include service agreements and amendments, schedules, letters of agreement, licenses, insurance certificates, quality assurance audits and inspections and legal records.
- Added Excludes: Child Care and Early Years Funding – F39
- Changed Remarks: Remove “PIB”

**END OF REVISIONS
SEE NEXT PAGE FOR NEW RECORD SERIES**

The following are NEW record series:

C24 Accountability Program

Includes: Standards of practice regarding code of conduct and closed meeting complaints and related investigations. Records may include guidance, initiatives, communication, program implementation standards including terms of reference, yearly program audits, complaint tracking data and operational reviews. May also include Integrity Officer or Ombudsman appointments.

Excludes: Accountability, Transparency and Governance - C17

ORH: Corporate Services - Legislative Services - Council Services

Active: C+4

Inactive: -

Total: C+4

Copy: C+1

Remarks: #96

D35 Local Improvements

Includes: All records related to local improvements, such as special assessment rolls, certificates of the Regional Clerk, notices of intention, correspondence, distribution lists, petitions, applications, reports, and notices of special assessment. Types of Local Improvement Project records available are for sewer, water and noise attenuation walls.

Excludes: Community Improvement Projects - D19; Capital Expenditures - F11; Design Projects - O02; Capital Projects - O04

ORH: Works - Development Approvals

Active: E

Inactive: 5

Total: E+5

Copy: C+1

Remarks: PIB; #97; E=closure of project/completion of construction

E23 Fuel Pipelines

Includes: Records relating to oil/multiproduct and natural gas pipelines such as environmental and safety plans, notifications, inspection results, correspondence, and project updates for pipeline upgrades, changes, integrity digs, flow reversals and new pipeline locations/routes from distributors. May also include copies of Council reports, National Energy Board submissions and decisions

Excludes: Utilities - O14

ORH: Planning and Economic Development; Works - Environmental Services - Technical Support

Active: C+5

Inactive: 10

Total: C+15

Copy: C+5

Remarks: #83 O. Reg. 210/01; #95

E24 Biosolids Site Records

Includes: Records regarding agricultural land application of treated municipal wastewater (biosolids). Includes copies of applications by licensed land owners, land application schedules, site visit checklists and haulage slips

Excludes: Agriculture Development - D23; Sewage Treatment Facilities - O12

ORH: Works - Environmental Services - Plant Operations

Active: E+2

Inactive: -

Total: E+2

Copy: C+1

Remarks: #36, #39, #98; E=expiry of plan or non-registered application

F39 Child Care and Early Years Funding

Includes: Correspondence and summary notes between the child care and early years operators and staff, as well as copies of operator financial statements. May also include calculations, allocations and monthly/quarterly summary reports regarding the General Operating Program (GOP), Wage Enhancement, Special Purpose Projects and Pay Equity.

Excludes: Child Care and Early Years Provider Operations – S13, Financial Statements and Audit - F15, Payables Reporting - F02.

ORH: Social Services - Child Care Services - Early Learning Program

Active: C+2

Inactive: 4

Total: C+6

Copy: C+2

Remarks: #17

P32 Emergency Exercises

Includes: Records that document and support the performance of tasks related to an exercise or planned event and, where necessary, makes recommendations for improvements and are used to validate emergency plans and procedures, response, and recovery capabilities and includes such things as exercise directives, sign-in sheets, and after-action reports

Excludes: Emergency Management Program - P02; Emergency Management Operations - P04; Public Alerting - Telephone Dialing - P31; Durham Emergency Master Plan - P33

ORH: Durham Emergency Management Office (DEMO)

Active: C+5

Inactive: 15

Total: C+20

Copy: C+5

Remarks: #31

P33 Durham Emergency Management Office (DEMO)

Includes: The Durham Region Emergency Master Plan. This plan is supported by emergency plans that are risk-based; developed and maintained to respond to risk-based emergencies. The Master Plan outlines Durham Region's emergency management response structure under which the region and local municipalities will operate in response to natural or human-caused emergencies.

Excludes: Emergency Management Program - P02; Emergency Management Operations - P04; Emergency Exercises - P32

ORH: Durham Emergency Management Office (DEMO)

Active: E+1

Inactive: 7

Total: E+8

Copy: E

Remarks: Vital; #31; E=superseding of the current plan by a new plan or any amendment



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E-Laws for Sections of Act Listed Below <http://www.e-laws.gov.on.ca>

1.	<u>Limitations Act</u> , R.S.O. 2002, c. 24, s. 4 (Post - December 31, 2003), s. 15
2.	<u>Municipal Act</u> , 2001 S.O. 2001, c. 25 s. 253-255, 273 (5)
3.	<u>Canada Revenue Agency: Income Tax Information Circular: Books and Records Retention/Destruction, IC78-10R5 & Electronic Record Keeping, IC05-1</u>
4.	<u>Income Tax Act</u> , R.S.O. 1990, c. I.2 s. 39 (1), (2)
5.	<u>Land Transfer Tax Act</u> , R.S.O. 1990, c. L.6, s. 9.3 (1), (4)
6.	<u>Land Titles Act</u> , R.S.O. 1990, c. L.5
7.	<u>Planning Act</u> , R.S.O. 1990, c. P.13 (6), (10) and O. Reg. 154/03
8.	<u>Building Code Act</u> , 1992, S.O. 1992, c. 23 and O. Reg. 350/06, Division B, Part 8, Part 11 and Division C, Part 1
9.	<u>Condominium Act</u> , 1998, S.O. 1998, c. 19, s. 55 (1, 2)
10.	<u>Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008</u> , S.O. 2008, Chapter 14
11.	<u>Housing Services Act</u> , S.O. 2011, c. 6, Sched. 1, s. 70, 79 (1) (2), 169 (1) (2), 170 (1) (2); O. Reg. 367/11
12.	<u>Child and Family Services Act</u> , R.S.O. 1990, c. C.11, s. 74, 74.1, 74.2, and R.R.O. 1990, Reg. 70 General
13.	<u>Immunization of School Pupils Act</u> , R.S.O. 1990, c. I.1, s. 11 (1), 14 (2), 17 (1) (c, f), R.R.O. 1990, Reg. 645 as amended and Immunization Management Protocol, 2008 under the Health Protection & Promotion Act.
14.	<u>Dental Hygiene Act</u> , 1991, O. Reg. 218/94 as amended; Royal College of Dental Surgeons of Ontario (Guidelines Issued February 2008, Revised May 2008 – Dental Recordkeeping) (http://www.rcdso.org/pubs_resources/practice_resources/guidelines.html)
15.	<u>Elderly Persons Centres Act</u> , R.S.O. 1990, c. E.4 and R.R.O. 1990, Reg. 314 General
16.	<u>Long-Term Care Homes Act</u> , 2007, S.O. 2007, c. 8; O.Reg. 79/10 General, s. 231-238 and 262-264



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17.	<u>Child Care and Early Years Act</u> , 2014, S.O. 2014, c. 11, Sched. 1 including O. Reg. 137/15 General and O. Reg. 138/15 Funding, Cost Sharing and Financial Assistance
18.	<u>College of Nurses of Ontario</u> , Practice Standard, Documentation, Revised 2008 http://www.cno.org/docs/prac/41001_documentation.pdf
19.	<u>Ontarians with Disabilities Act</u> , 2001, S.O. 2001, c. 32
20.	<u>Medicine Act</u> , 1991, S.O. 1991, c. 30, s. 12 (b), and O. Reg. 114/94 General
21.	<u>Ambulance Act</u> , R.S.O. 1990, c. A.19, s. 18(2), (2.1), (2.2), and O. Reg. 257/00
22.	<u>Ontario Ministry of Health and Long Term Care Emergency Health Services Branch</u> , Ambulance Service Documentation Standards, April 2000 http://www.ambulance-transition.com/pdf_documents/amb_service_documentation_standards.pdf
23.	<u>Securities Act</u> , R.S.O. 1990, c. S.5, Part VII s. 19
24.	<u>Personal Health Information Protection Act</u> , 2004, S.O. 2004, c. 3, Sched. A, Part II, s. 13-14, Part V. s. 51-54
25.	<u>Health Protection and Promotion Act</u> , R.S.O. 1990, c. H.7; Ontario Public Health Standards - 26 Protocols http://www.health.gov.on.ca/english/providers/program/pubhealth/oph_standards/ophs/progstds/pdfs/legislative_authority.pdf ; Policies, Procedures and Quality Assurance for Point-of-Care HIV Testing in Ontario, MOHLTC, September 2008.
26.	<u>Employment Standards Act</u> , 2000, S.O. 2000, c. 41. s. 15 (1)
27.	<u>Pension Benefits Act</u> , R.S.O., 1990, c. P.8, s. 24.1, 29, 30
28.	<u>Workplace Safety and Insurance Act</u> , 1997, S.O. 1997, c. 16, Sched. A. s. 57-59, 80(1), (2)
29.	<u>Ontario Works Act</u> , 1997, S.O. 1997, c. 25, Sched. A, s. 42; See Ontario Works Policy Directives for records retention requirements at: http://www.mcass.gov.on.ca/en/mcass/programs/social/directives/ow_policy_directives.aspx
30.	<u>Occupational Health and Safety Act</u> , R.S.O. 1990, c. O.1. s. 26 (1) (c, d, f), 40 (1), 54 (1), 63, 67 (1)
31.	<u>Emergency Management and Civil Protection Act</u> , R.S.O. 1990, c. E.9; O. Reg. 380/04 Municipal Standards



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32.	<u>Fuel Tax Act</u> , R.S.O. 1990, c. F.35, s. 6.1, Reg. 464
33.	<u>Public Vehicles Act</u> , R.S.O. 1990, c. P.54, s. 29 (4), 33(n) and R.R.O. 1990, Reg. 982
34.	<u>Highway Traffic Act</u> , R.S.O. 1990, c. H.8, s. 225 and Reg. 376/02 s. 2 (3, 4); R.R.O. 1990, Regulation 626, Traffic Control Signal Systems; Regulation 601 (Motor Vehicle Inspection Stations)
35.	<u>Environmental Assessment Act</u> , R.S.O. 1990, c. E.18, 25 (1), 30, 36
36.	<u>Environmental Protection Act</u> , R.S.O. 1990, c. E19, s. V Waste Management; O. Reg. 127/01, Reg. 232/98 Landfilling Sites
37.	<u>Forestry Act</u> , R.S.O. 1990 c. F26
38.	<u>Waste Diversion Act</u>, 2002, S.O. 2002, c. 6 <u>Waste Diversion Transition Act, 2016</u>
39.	<u>Ontario Water Resources Act</u> , R.S.O. 1990, c. O.40, s. 53.1 (3), (7), 94 (1)
40.	<u>Safe Drinking Water Act</u> , 2002, S.O. 2002, c. 32, s. 77 (1) (c), 81, 167 (3, 4), and Reg170/03 Drinking Water Systems
41.	<u>Registry Act</u> , R.S.O. 1990, c. R.20, s. 18-21
42.	<u>Bridges Act</u> , R.S.O. 1990, c. B.12
43.	<u>Municipal Conflict of Interest Act</u> , R.S.O. 1990, c. M. 50, s. 6
44.	<u>Aggregate Resource Act</u> , R.S.O. 1990, c. A.8, s. 62 (1, 2), 67 (1) (g) and (o); O. Reg. 244/97
45.	<u>Ministry of Community and Social Services Act</u> , R.S.O. 1990, c. M.20, s. 9 (1)
46.	<u>Municipal Freedom of Information and Protection of Privacy Act</u> , R.S.O. 1990, c. M.56
47.	<u>By-law 90-2003 - A By-law Respecting the Water Pollution Control System and - Storm Sewer System in the Regional Municipality of Durham and the Establishment of Sewer Surcharge Rates and Sewer Charges, as amended</u>
48.	<u>Memorandum of Understanding between the Attorney General and the Regional Municipality of Durham, Schedule 2, Operational Standards, paragraphs 2.8.3, 2.10.1, 2.10.3 (Clerk's Department Agreement 7385, signed November 2000)</u>



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49.	<u>Smoke-Free Ontario Act</u> , S.O. 1994, c. 10, s. 16; Tobacco Compliance Protocol, 2014; Comprehensive Tobacco Control Guidance Document, May 2010.
50.	<u>Waste Management Act, 2000 (repealed in 2010)</u>
51.	<u>Provincial Offences Act</u> , R.S.O. 1990, c. P.33 Reg. 679/92 (late fees); O. Reg. 310/09 (costs); Regulation 949 (Parking Infractions)
52.	<u>Public Transportation and Highway Improvement Act</u> , R.S.O. 1990, Chapter P.50
53.	<u>By-law No. 44-2006</u> , s. 24.0 Penalties, as amended, regarding regulating traffic and parking on highways and municipal property under the jurisdiction of the Regional Municipality of Durham
54.	<u>Courts of Justice Act</u> , R.R.O. 1990, Reg. 200, Rules of the Ontario Court (Provincial Division) in Provincial Offences Proceedings
55.	<u>Fire Protection and Inspection Act</u> , 1997, O. Reg. 213/07 Fire Code
56.	<u>Human Rights Code</u> , R.S.O. 1990, Chapter H.19
57.	<u>Places to Grow Act</u> , 2005, S.O. 2005, Chapter 13
58.	<u>Ontario Municipal Employees Retirement System Act</u> , 2006, S.O. 2006, c. 2 (OMERS)
59.	<u>Oak Ridges Moraine Conservation Act</u> , 2001
60.	<u>Clean Water Act</u> , 2006
61.	<u>Greenbelt Act</u> , 2005, S.O. 2005, c. 1
62.	<u>Ministry of Agriculture, Food and Rural Affairs Act</u> , R.S.O. 1990, c. M.16
63.	<u>Canadian Environmental Protection Act</u> , 1999 (CEPA)



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64.	<u>CUPE Local 1764, Local 1785 & Local 182 Collective Agreements</u>
65.	<u>Development Charges Act, 1997, O. Reg. 82/98</u>
66.	<u>Accessibility for Ontarians With Disabilities Act, 2005, Integrated Accessibility Standards Regulations (IASR)</u>
67.	<u>Labour Relations Act, 1995, S.O. 1995, Chapter 1, Schedule A</u>
68.	<u>Ontario Municipal Board Act, R.S.O. 1990, Chapter O.28</u>
69.	<u>Environmental Review Tribunal Act, 2000, S.O. 2000, Chapter 26, Schedule F (for environmental appeals only)</u>
70.	<u>Ministry of Natural Resources Act, R.S.O. 1990, c. M.31</u>
71.	<u>Ministry of the Environment Act, R.S.O. 1990, c. M.24</u>
72.	<u>Ministry of Energy Act 2011, S.O. 2011, Chapter 9, Schedule 25</u>
73.	<u>Conservation Authorities Act, R.S.O. 1990, c. C.27</u>
74.	<u>Insurance Act, R.S.O. 1990, c. I.8</u>
75.	<u>Expropriations Act, R.S.O. 1990, c. E.26</u>
76.	<u>Mining Act; O. Reg. 240/00</u>
77.	<u>Endangered Species Act, 2007; O. Reg. 242/08</u>
78.	<u>Residential Tenancies Act, 2006, Chapter 17</u>
79.	<u>Conservation Authorities Act, R.S.O. 1990, Chapter C27</u>
80.	<u>Fisheries Act, R.S.C. 1985, c. F-14, Wastewater Systems Effluent Regulations, SOR/2012-139</u>
81.	<u>Canadian Environmental Assessment Act, 2012, S.C. 2012, c. 19, s. 52</u>
82.	<u>Pay Equity Act, R.S.O. 1990, c. P.7</u>



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83.	<u>Technical Standards and Safety Act</u> , 2000, S.O. 2000, Chapter 16
84.	<u>Ontario Infrastructure and Lands Corporation Act</u> , 2011 (Infrastructure Ontario) and best practices set out under the National Guide to Sustainable Municipal Infrastructure (InfraGuide)
85.	<u>Municipal Elections Act</u> , 1996, S.O. 1996, c. 32, s. 78, 79 & 88 (1-3)
86.	<u>Regulated Health Professions Act</u> , 1991 (RHPA); Sched. 2 - Health Professions Procedural Code
87.	<u>College of Registered Psychotherapists of Ontario (CRPO) - Professional Practice Standards for Registered Psychotherapists</u>
88.	<u>Evidence Act R.S.O. 1990, CHAPTER E.23, s. 12, 15 & 29</u>
89.	<u>Hazardous Products Act, R.S., c. H-3, s. 1</u>
90.	<u>Hazardous Products Regulations, SOR/2015-17</u>
91.	<u>Provincial Offences Act</u> – Record Retention Schedule Summary, Ministry of the Attorney General 2016
92.	<u>OACCPP - An Association of Mental Health Professional - Standards of Practice</u>
93.	<u>The College of Psychologists of Ontario – Standards of Professional Conduct</u>
94.	<u>Green Energy Act, 2009, S.O. 2009, c. 12, Sched. A; O. Reg. 397/11 & O. Reg. 404/12.</u>
95.	<u>Ontario Energy Board Act, 1998</u>
96.	<u>Public Sector and MPP Accountability and Transparency Act, 2014</u>
97.	<u>Municipal Act</u> , 2001 O. Reg. 586/06 Local Improvement Charges
98.	<u>Nutrient Management Act</u> , O. Reg. 267/03
99.	<u>Resource Recovery and Circular Economy Act, 2016</u>

Note: New citations since By-law #41-2016 shown in orange.

Schedule “D” To By-law #65-2017

Records Management Procedures

1. Transitory Records

- 1.1 Transitory records may be destroyed at any time. The provisions of Sections 2 and 4 shall not apply to the destruction of transitory records. Where a record is destroyed upon expiry of the retention period described in Schedule “A”, any corresponding transitory record shall also be destroyed.
- 1.2 Transitory or copy records entered into the Region’s records management file tracking system will be retained no longer than the maximum retention period described in Schedule “A”.

2. Record Series

- 2.1 Any record in a category set out under “record series” of Schedule “A” shall be retained for the period set out opposite such category under “total retention” and may thereafter be destroyed.

3. Classification of Records

- 3.1 The Manager, RIM in consultation with the Regional Clerk, shall determine the appropriate systems for the classification of records, taking into account the administrative, operational, archival, legal and financial values of each record, and shall do the following three things:
 - A) Monitor the retention schedule and ensure that the schedule complies with all legislative requirements.
 - B) Make such periodic adjustments as are required to ensure that terminology is kept up-to-date with current usage provided that such adjustments do not affect the retention period of any record.
 - C) In determining the retention period of any record, consult with the signing authorities and the following Regional officers: signing authority for department, the Regional Clerk/Director of Legislative Services, the Director, Legal Services and the Region’s Auditor.

4. Destruction of Records

- 4.1 Where any record may be destroyed under this by-law, the following procedure shall apply:
 - A) Where the record has been retained in the custody of the responsible department, the signing authority or his or her delegate shall notify the Manager, RIM via the RIM Clerk in writing of the scheduled destruction of records, including the following eight items:
 - (1) Reason for Shred: “Approved Office Area File Destruction”;
 - (2) Full address and name of department/division of destruction site;
 - (3) PO# (Clearly write A# on top right corner of File Pull List(s));
 - (4) Batch #(s);

- (5) Total boxes to be shred;
- (6) Name of contact at destruction site (have an alternate if absent);
- (7) Contact phone number(s); and
- (8) Special instructions (e.g. where to park the truck, sign-in protocol or what hours to avoid, e.g. lunch hour).

B) Where the record has been retained in the custody of the Regional Clerk/Director of Legislative Services, the Manager, RIM shall notify the signing authority in writing of the scheduled destruction of the records, and identify the records to be destroyed.

4.2 Where a notice has been provided under subsection 4.1 A) or 4.1 B) above:

- A) The signing authority or his or her delegate shall notify the Manager, RIM in writing, if in his or her opinion any record included in the notice should be retained for a further period, and the rationale for further retention.
- B) If, in the opinion of the Manager, RIM, circumstances warrant retention of the record for a further period, the destruction of the record shall be postponed as may be determined by the Manager, RIM, in consultation with the signing authority.

4.3 Where no notice is received under subsection 4.2 A) or 4.2 B) above before the scheduled destruction, the record shall be deemed to be authorized for destruction.

4.4 The following principles shall govern the destruction of records:

- A) No official records shall be destroyed unless first classified according to Schedule "A" of this by-law.
- B) All records, including transitory records, shall be destroyed in a manner that preserves the confidentiality of any information contained in such records.
- C) Any record pertaining to pending or actual litigation or investigation or a request under any access and privacy legislation shall not be destroyed until such record is no longer required for such purpose.

5. Role of the Manager, RIM

5.1 The Manager, RIM shall ensure the following three things are done:

- A) Ensure that all reasonable measures are implemented to promote the preservation, security and destruction of records in this by-law and any legislative requirements.
- B) Ensure that reasonable measures are implemented to protect the Region's records from inadvertent destruction or damage, taking into account the nature of the record to be protected, including the creation of new classification codes and retention periods pending Council approval.
- C) When any record is deemed to be of archival significance, ensure that such record is transferred to the custody and control of the Regional Archives.