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## Introduction

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Schedule A of By-law 57-2023 (henceforth referred to as the Records Retention Schedule) is a system for classifying and retaining all corporate records created and used in Niagara Region departments and divisions, regardless of format. It is based on directions, recommendations, and best practices from a variety of sources, including:

- Federal and Provincial legislation
- Industry standards and associations, i.e., Ontario College of Physicians and Surgeons
- Association of Records Managers and Administrators (ARMA) International
- Generally Accepted Recordkeeping Principles
- Canadian Standards Association Privacy Code
- Association of Local Public Health Administrators (aLPHa)
- Ongoing consultation with Niagara Region staff
- Business analysis of Niagara Region processes

The Records Retention Schedule performs 4 functions:

- Inventories corporate record types created and used by Niagara Region
- Indicates retention standards for all record types
- Indicates records series that include Personal Information Banks
- Indicates series to which Routine Disclosure and/or Open Data principles may apply

Corporate records must be classified or ‘tagged’ with file codes based on their associated business functions and activities, regardless of format, to indicate how long those records should be kept. Keeping everything forever is not effective, economical, or legally wise, and the Records Retention Schedule guards against this practice.

The Records Retention Schedule applies equally to paper and electronic records.

The classifications contained in this schedule work in partnership with divisional file plans and operational systems for organizing information. Below is an example of how divisional filing conventions or unique file numbers may be added after the corporate primary and secondary level codes, or vice versa – with divisional file numbers preceding primary and secondary classification.

\* i.e. Capital Projects

\* i.e. Client Files

**O.01.04 08 99 31001**

**S.04.03 SMITH, John**

08 represents the municipality

99 represents the division

31001 represents the capital project ID

Last name first

Birth date or anonymous identifier may be used

Each corporate records classification begins with a combination of letters and numbers, including:

**Primary Classification:** Categories reflecting broad business activities

A	Administrative Operations
C	Council and Governance
D	Development and Planning
E	Environmental Services
F	Financial Management
H	Human Resource Management
L	Legal Protection
M	Communications and Public Relations
O	Operations
P	Public Health Promotion and Protection
R	Public Safety
S	Community Services
T	Transportation Services

**Secondary Classification:** Number-based categories that represent more specific functions, i.e., A.01 – Associations

**Tertiary Classification:** A further level of numeric classification that may be applied, usually relating to a specific project, action, or event. Tertiary classifications are the most specific of all three levels and are gradually being phased out of the retention schedule.

The Niagara Region Records Retention By-Law and Schedule currently applies retention periods at the secondary and tertiary file code levels.

It is very important to classify corporate records and information to indicate accurate retention periods for future reference. Departments and divisions are free to develop unique organizational systems for paper or electronic filing based on operational needs but must do so in consultation with Information Management Services. Please contact [ims@niagararegion.ca](mailto:ims@niagararegion.ca) for more information on how to construct a file plan that works in tandem with the Records Retention Schedule.

Legislative citations regarding records retention are provided in the Citation Appendix below, including full text excerpts from [www.e-laws.gov.on.ca](http://www.e-laws.gov.on.ca). Copies of non-legislative documentation of retention period origins may be obtained from Information Management Services.

This document also works in partnership with all existing corporate policies related to information management, including but not limited to:

C1-001	Legal Holds and e-Discovery
C1-002	Archival Acquisition
C1-003	Records and Information Management
C3-F03	Information Access and Privacy Protection

## How to use this document

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This table offers a general overview of record types and business activities covered by the Records Retention Schedule. Please see Schedule A for more detailed information on the classification codes and retention periods that are required:

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<b>Primary</b>	<b>Title</b>	<b>Contents Summary</b>
<b>A</b>	Administrative Operations	Access and Privacy General Administrative Activities Information Management and Technology Policies and Procedures POA Courts Print and Mail Quality Assurance Records Management Staff Committees
<b>C</b>	Council and Governance	Agencies, Boards and Commissions By-Laws Elections Intergovernmental Relations Regional Council Strategic Planning
<b>D</b>	Development and Planning	Community Development Land Use Planning Mapping Official Plans Regional Policy Plan Variances Zoning
<b>E</b>	Environmental Services	Environmental Assessments Environmental Laboratory Energy Management Water and Wastewater Waste Management
<b>F</b>	Financial Management	Audits Attendance Banking Budgets Debt Management Expenses Financial Reporting Fixed Assets Payroll Purchasing Revenues Surplus Property Tax Filing

<b>H</b>	<b>Human Resource Management</b>	<b>Benefits</b> <b>Compensation</b> <b>Employee Records</b> <b>Health and Safety</b> <b>Negotiations</b> <b>Performance</b> <b>Staffing</b> <b>Training and Development</b> <b>WSIB</b>
<b>L</b>	Legal Protection	Agreements Dispute Resolution Insurance Claims Legislation Litigation Property Interests Risk Management
<b>M</b>	Communications and Public Relations	Corporate Archives Graphic Design Niagara Region History Publications
<b>O</b>	Operations	Capital Projects Dispatch Facility Maintenance Permits Service Logs
<b>P</b>	Public Health	Accreditation Client Files Environmental Health Inspections Epidemiology Medical Officer of Health Program Operations
<b>R</b>	Public Safety	By-Law Enforcement Emergency Operation Centre Emergency Response EMS Part VIII Inspections
<b>S</b>	Community Services	Children's Services Client Files Eligibility Reviews Long Term Care Resident Files Program Operations SAEO and OW
<b>T</b>	Transportation Services	Fleet Regional Roads Road Maintenance Traffic Transit

Press **Ctrl + F** to search the retention schedule in any area for particular words or phrases.

It is highly recommended that staff maintain a summary or 'cheat sheet' of the top five to ten most common record types created and used in each business section. For example, nearly every division will have some administrative records, i.e., staff meeting minutes (A.03); budget submissions

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(F.01); attendance reporting (F.07.21) or employee records (H.01). By summarizing those codes in a short list for quick reference, the Records Retention Schedule will be easier to use in its entirety.

Here is an example of what a sample 'records cheat sheet' might look like:

Type of Record	Records Retention By-Law Code	Divisional Keywords or File Codes	Retention Period	Notes
Staff meeting minutes	A.03	IGC; Staff Meetings	Current Year + 4	Originals are kept with minute taker
Time and Attendance	F.07.21	e-Form requests and approvals	Current Year + 3	Originals are kept by Kronos encoder

If you require assistance in creating a summary for staff, or wish to submit a request for changes to the Records Retention By-Law, please contact [ims@niagararegion.ca](mailto:ims@niagararegion.ca).

### How to identify corporate records

A corporate record provides unique evidence of a business activity or transaction, regardless of format. Corporate records are retained to prove that something happened, and to fulfill future obligations which may be legal, financial or operational. Corporate records may exist as paper, photographs, video, voicemail, email, shared drive contents, USB key contents, SharePoint sites, OneNote notebooks, PDFs, instant messages, and database contents. Here are some examples:

#### Corporate Records



- Original, signed documents
- Evidence of official decisions
- Financial transactions
- Dealings with customers
- Policy directions
- Original meeting minutes
- Budget submissions
- Personnel records
- **Unique, original, official**

#### Transitory (non-corporate) Records



- Duplicate documents
- Insignificant drafts
- No evidence of official decision
- Casual inquiries
- Reference material
- "Working files" and reference
- Material from other institutions
- Personal or commercial
- **Available elsewhere, irrelevant**

Niagara Region considers information to be a corporate record when it meets one or all of several conditions, i.e., when the information:

- is required to support business operations
- documents and provides evidence of a business transaction

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- must be retained according to legislation
- protects the rights of citizens and/or the organization
- shows evidence of compliance with established standards or legal requirements
- will have some future business, financial, legal, research or archival value

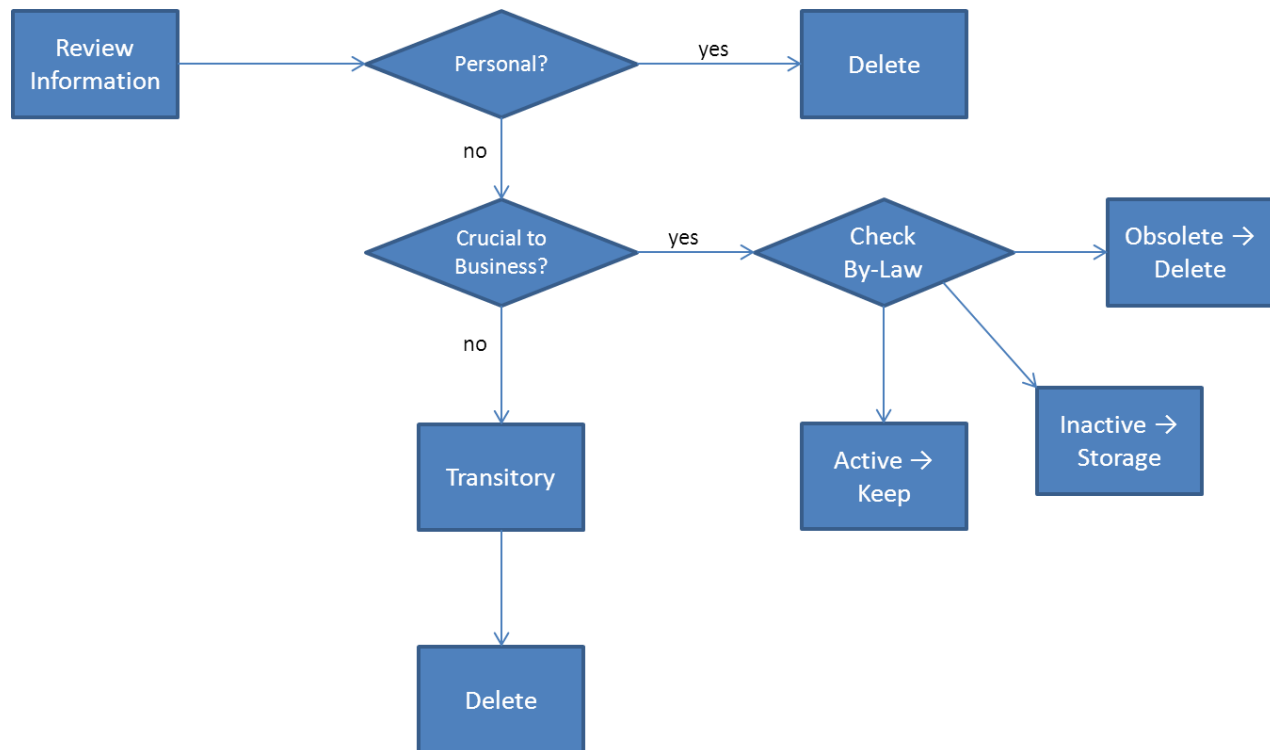
### How to manage transitory records

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Once created, transitory (non-corporate) records typically have a limited value and should only be retained for a short period of time. Regular disposal of transitory records will make daily operations more efficient, reduce clutter and storage space requirements, and facilitate search.

If recorded information has only an immediate or short-term value to an organization and will not be required again after it is obsolete, it may be disposed of immediately after use. Likewise, if individual employees have created or retained information for their own reference purposes, that information should be destroyed when it is no longer useful or meaningful.

If recorded information is expected to have some future business, financial, legal, research or archival value, then it should be retained as a corporate record. When in doubt, treat the information as a corporate record.



In some particular situations, transitory records must be retained. For example, if a Freedom of Information request is received on a subject that pertains to transitory records, the associated transitory records must be provided as part of the legislated request and appeal process and retained until that process is complete. Similarly, legal holds may also apply to transitory records. Contact the Freedom of Information Coordinator at x3741 for more information on Legal Holds, eDiscovery, and the FOI process.

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Any transitory paper record that contains personal, personal health or confidential information must be destroyed securely using cross-cut shredders or an on-site shredding service certified by the National Association of Information Destruction (NAID).

### Paper Destruction

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When inactive records are transferred off-site for long term storage or designated for long-term electronic storage, signing authority for final disposition remains with the Niagara Region division originally responsible for creating and/or receiving those records.

Inactive records will not be destroyed, deleted, or reclassified without sign-off and approval from the originating division.

When inactive records come due for destruction or selective destruction, Information Management Services will prepare and submit a "Destruction Summary" to divisional management for review and approval. Actual destruction will only proceed after divisional approval is received.

### Electronic Destruction

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The formal corporate records destruction process may also be applied to electronic environments, such as SharePoint or shared drives, using the same "Destruction Summary" model with divisional signing authority. Contact [ims@niagararegion.ca](mailto:ims@niagararegion.ca) for more details.

Committee Memorandum [CSC 13-2012](#) explains in detail the current procedures adopted by IT Solutions for retention of electronic communications and shared drive contents. Computer backup tapes are retained based on when the backup is performed, and at the end of that period are wiped and reused:

Backup Period	Retention Period
End of day (Nightly)	2 weeks
End of week (Weekly)	8 weeks
End of month (Monthly)	1 year
End of Year (December 31)	5 years

### Retention Triggers

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A record's retention period begins at different stages of a record's lifecycle depending on the business requirements, regulation, storage space, and technical limitations. Each classification code has a specific event or retention trigger listed in the "Years Active" column that indicates when its retention period is to commence.

The retention trigger is the point from which the retention period of a record is calculated. The notes section of each classification code indicates specific instructions related to the trigger event where necessary.

The following retention triggers are listed in the Retention Schedule:

- CY** End of the current year.
- EP** End of project or event



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**SO** Superseded or obsolete

**T** Termination

Classification	Years Active	Years Inactive	Disposition	Sensitivity
A.01 – Associations	CY+1	1	D	A

### Disposition Indicators

Permitted disposition actions vary from record to record. Some records may be destroyed at the end of their lifecycle, while others must be retained permanently. Each classification code in this schedule contains a disposition indicator to communicate what must happen to those records at the end of their lifecycle.

Disposition indicators are as follows:

- D** Destruction, whereby records are destroyed or deleted permanently.
- P** Permanent, whereby records are retained indefinitely.
- S** Selective retention, whereby records are reviewed at the end of their inactive period, and materials may be destroyed or selected for permanent retention at the discretion of the Responsible Officer.
- P\*** Archival, whereby records are destroyed following a review for archival appraisal, and the removal of any archival material to permanent storage.

Classification	Years Active	Years Inactive	Disposition	Sensitivity
A.01 – Associations	CY+1	1	D	A

### Information Sensitivity Indicators

Some corporate information is publicly accessible under Routine Disclosure and Open Data procedures. For example, the minutes of Regional Council open sessions and final budget documents are consistently available to the public upon request.

In contrast, Niagara Region also manages several Personal Information Banks (PIBs) as directed by s.34(1-2) of the *Municipal Freedom of Information and Protection of Privacy Act* (MFIPPA). Any compilation of personal or personal health information collected for a specific purpose may constitute a PIB.

Under MFIPPA and Ontario's *Personal Health Information Protection Act*, Niagara Region must make every effort possible to protect confidential information held within its custody.

Information Management Services has therefore developed three information sensitivity categories intended to remind employees of these obligations:

- A** Indicates that a records series is typically accessible to the public.

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**FOI** Stands for “Freedom of Information” and indicates that a formal request under the *Municipal Freedom of Information and Protection of Privacy Act* is required to access these records, and that access will be granted only according to the Act’s limited exemptions from disclosure.

**PIB** Stands for Personal Information Bank, a collection of records considered to be confidential and specifically containing personal and/or personal health information. As with the FOI indicator, a formal request under the *Municipal Freedom of Information and Protection of Privacy Act* or the *Personal Health Information Protection Act* will be required to access these records, and access will be granted according to the Act’s limited exemptions from disclosure.

Classification	Years Active	Years Inactive	Disposition	Sensitivity
A.01 – Associations	CY+1	1	D	A

**Careful consideration of legal obligations under MFIPPA, PHIPA and other legislation is required before any record is publicly released or disclosed.**

## RECORDS RETENTION SCHEDULE

### A Administrative Operations

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.00 – Administrative Operations</b>	CY+1	1	D	FOI	
<i>Daily operational and administrative activities across all departments and divisions.</i>					
<u>Includes</u> General correspondence; transitory records; working copies; fax transmission confirmation	<u>Excludes</u> Consultant Inquiries & Offers of Service (use F.08 – Purchasing)				
Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.01 – Associations</b>	CY+1	1	D	A	
<i>Involvement and affiliation with institutional and/or governmental organizations with whom Niagara Region departments or employees hold membership.</i>					
<u>Includes</u> Association correspondence; membership lists; terms of reference; AMCTO, CAMA, OPPI etc.	<u>Excludes</u> Union/Non-Union Membership (use H.04.01 – Negotiations and Interest Arbitration)				
Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.02 – Event Coordination</b>	CY+1	2	D	A	
<i>Organizing and coordinating professional events at Niagara Region, i.e. conferences; trade shows; delegations.</i>					
<u>Includes</u> Invitations; agendas; guest lists; program plans; attendees; itineraries; reservations	<u>Excludes</u> Training materials and other learning resources (use H.05 – Training & Development); Expenses (use F.02 – Financial Reporting)				
Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.03 – Employee Committees and Collaboration</b>	CY+1	3	S	FOI	
<i>Ongoing operations, meetings, mandates and collaborative activities of staff-based committees, working groups, and work teams.</i>					
<u>Includes</u> Meeting minutes (final, original, approved); agendas; presentations received; terms of reference; membership lists	<u>Excludes</u> Regional Council and its Standing Committees (use C.02 – Council and Committee Proceedings)				
<u>Notes</u> Originals are retained by the official minute-taker for committee, team or group.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.04 – Information Systems and Technology Management</b>	SO	2	D	FOI	
<i>Developing, analyzing, using and managing information systems and associated technology.</i>					
<u>Includes</u> User requirements; system design; hardware/software specifications; user manuals; telecommunications; security safeguards; encryption technology; imaging technology, i.e. print, photocopy, fax, scan	<u>Excludes</u> Geographic Information Systems (use D.07 - Mapping); Vendor Selection & Procurement (use F.08 - Purchasing)				
<u>Notes</u> Trigger = Technology and/or equipment superseded or obsolete, system retired or uninstalled.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.05 – Policies and Procedures</b>	SO	N/A	P	A	
<i>Approving and making available all corporate and departmental policies and procedures, along with information documenting the standards, guidelines and responsibilities required of all Niagara Region employees at the corporate, departmental, divisional and program level.</i>					
<u>Includes</u> Procedural manuals; corporate policy manual; staff directives; corporate guidelines; retired and superseded policies	<u>Excludes</u> Public Health accreditation (use P.01.04 - Accreditation); draft policies and procedures; external policies and procedures unless they apply directly to Niagara Region operations				
<u>Notes</u> SO = Policy replaced, rescinded, deleted, retired or superseded					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.06 – Records and Information Management</b>	CY+1	N/A	P	FOI	1
<i>Managing corporate information assets, regardless of format. Includes administration of the corporate-wide records and information management program, including the Corporate Records Management System.</i>					
<u>Includes</u> File plans; finding aids; records retention schedule development; advice and consultation; transfer and retrievals; Corporate Records Management System; Certificates of Destruction; records inventories	<u>Excludes</u> Records Retention By-Law (use L.02 - Legislative Development and/or C.01 – By-Laws)				



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.07 – Information Access and Privacy Protection</b>	T or CY+1	5	D	FOI	2
<i>Receiving, completing, managing and reporting formal and informal requests under the Municipal Freedom of Information and Protection of Privacy Act and the Personal Health Information Protection Act.</i>					
<u>Includes</u> MFIPPA and PHIPA request files; IPC appeals and complaints; annual reporting to IPC; third party representations; informal requests and inquiries; privacy breach reports and follow up; request database records	<u>Excludes</u> Duplicate records of information released (transitory - require secure destruction)				
<u>Notes</u> T = Closure of request file, if not closed by end of current year.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.10 – Printing and Mailing</b>	CY+1	1	D	FOI	
<i>Producing print materials internally, along with the receiving, sorting and sending of external mail items; application of postage; courier services and inter-office mail.</i>					
<u>Includes</u> Print requisitions; registered mail and courier documentation; mail logs	<u>Excludes</u> Duplicate records of paper orders and postage costs (transitory)				
<u>Notes</u> Print requisitions are typically stored on Sherpa.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.13 – Provincial Offences Court</b>	T	7	D	FOI	3
<i>Ongoing operations of the POA courts. Includes court proceedings related to POA administration, Environmental Health inspections and Tobacco By-Law enforcement.</i>					
<u>Includes</u> Control sheets; preliminary enforcement lists; appeal documentation and correspondence; Certificates of Offence Pt. I & II (Non-Accident Related); Court tapes; intake tapes; transcripts; Certificates of Offence Pt. I (Accident Related) & Pt. III "Informations"; Certificates Requesting Conviction (Parking); search warrants; court dockets; RICO reports	<u>Excludes</u> All other administrative operations (use A.00); POA write-offs (use A.13.04) Non-court proceedings and processes related to Tobacco By-Law (use R.01 – By-Law Enforcement)				
<u>Notes</u> T = Case completed and all applicable fines paid. Disclosure briefs are prepared by Niagara Region Police Services and retained by Niagara Region.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.13.04 – POA Write-Offs</b>	T	N/A	P	FOI	3
<i>Writing off payments and related processes for the POA Courts.</i>					
<u>Includes</u> POA write-offs; purge reports	<u>Excludes</u>				
<u>Notes</u> T = Date of write-off					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>A.14 – Quality Management</b>	T+1	3	S	A	
<i>Measuring service quality, efficiency, effectiveness and affordability.</i>					
<u>Includes</u> Client, customer and employee surveys, i.e. quality of service received; Key Performance Indicators; corporate dashboard; benchmarking; Lean Methodology applications; RRIT; internal service level agreements	<u>Excludes</u> Consultant Inquiries & Offers of Service (use F.08 – Purchasing)				
<u>Notes</u> T = Completion of quality management process					



**C Council and Governance**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.00 – Council Administration</b>	CY+1	2	S	A	
<i>Administrative activities related to the operation of Regional Council and its Standing and Advisory Committees.</i>					
<u>Includes</u> Resolutions and correspondence processed and addressed by or delivered to Council.	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.01 – By-Laws</b>	SO	N/A	P*	A	1, 4
<i>Original, signed and certified by-laws, as approved by Regional Council.</i>					
<u>Includes</u> Original, signed and certified by-laws, as approved by Regional Council; superseded or rescinded by-laws (original, signed or certified)	<u>Excludes</u> By-law development and draft by-laws; duplicate by-laws; working papers and draft Bills (use L.02 - Legislative Development)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.02 – Council and Committee Proceedings</b>	CY+2	N/A	P*	FOI	1, 4
<i>Meeting and decision-making procedures of Regional Council and Standing Committees, including all standing; ad hoc; special purposes and advisory committees reporting directly to Regional Council.</i>					
<u>Includes</u> Final, approved minutes of Regional Council and Standing Committees in open and closed sessions; staff reports, correspondence and presentation materials discussed in session; A/V & DVD recordings of Regional Council in open session (see notes)	<u>Excludes</u> Draft minutes and working notes (use C.02.02 - Legislative Support); minutes of any committee or group not reporting directly to Council; minutes of all staff-directed committees (use A.03 - Employee Committees and Collaboration)				
<u>Notes</u> The retention period for digital audio recordings of Council is dependent on server capacity as determined by IT Solutions.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.02.02 – Legislative Support</b>	CY+1	5	D	A	
<i>Legislative support for Regional Council and Standing Committees, including minute and agenda preparation; procedural by-law confirmations; and related activities.</i>					
<u>Includes</u> Agendas; attendance records; notices sent to members of Regional Council and Standing Committees; working notes; draft minutes; Legislative Assistant notebooks (see notes)	<u>Excludes</u> Final, approved meeting minutes (use C.02 - Council and Committee Proceedings); minutes of any committee or organization not reporting directly to Council; minutes of all staff-directed committees (use A.03 - Employee Committees and Collaboration); minutes of lower tier municipalities, sent as reference copies to Niagara Region (transitory)				
<u>Notes</u> Legislative Assistant notebooks are retained for 6 months from date of completion, then securely destroyed.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.03 – Strategic and Organizational Planning</b>	EP+1	5	S	A	
<i>Strategic and organizational planning for the effectiveness of Niagara Region at the corporate, departmental, divisional and program levels.</i>					
<u>Includes</u> Organizational charts; corporate structure models and diagrams; organizational reviews and design; functional responsibilities; strategic plans	<u>Excludes</u> Measurement and/or evaluation methods; metrics and other benchmarking initiatives (use A.13 - Quality Management)				
<u>Notes</u> EP = End of strategic planning project, finalization of strategic or operational plan, retirement or replacement of plan.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.04 – Agencies, Boards and Commissions</b>	CY+1	N/A	P	FOI	5
<i>Relations with all agencies, boards and commissions (ABCs) linked with Niagara Region, primarily Niagara Peninsula Conservation Authority; Niagara Regional Police Service; Niagara Regional Housing; Niagara Escarpment Commission.</i>					
<u>Includes</u> Original ABC correspondence; original minutes; reports issued by Niagara Region pertaining to relationship with ABCs and not delivered as staff reports to Council or Committee	<u>Excludes</u> Duplicate minutes, agendas and proceedings created by the ABC; all records related to hearings, decisions, development and assessments carried out by the Ontario Municipal Board (use D.10 – Local Official Plans)				
<u>Notes</u> A copy of NRH minutes is included in the Council Blue Book as prepared by the Office of the Regional Clerk.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.06 – Elections and Council Changeover</b>	EP+1	N/A	P*	A	6
<i>Process management, record-keeping and changeover activities for municipal elections and related impacts on Niagara Region Council.</i>					
<u>Includes</u> Official election results; triple majority numbers; declarations of Election of Certified Candidates; Declarations of Office for new Council; by-election results	<u>Excludes</u> All non-election related governance and governmental relations (use C.13 - Government Relations); election ballots				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>C.13 – Intergovernment Relations</b>	CY+1	7	D	FOI	
<i>Relations with and between all levels of government, including interactions regarding downloading of services, amalgamation, annexation and funding.</i>					
<u>Includes</u> Original correspondence across different levels of government; inter-municipal relations; relations with lower tier municipalities in Niagara	<u>Excludes</u> Organizational restructuring (use C.03 - Strategic Planning); Descriptions of external government programs administered by Niagara Region				



**D Development and Planning**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.00 – Reference</b>	SO	2	S	A	
<i>Referencing, researching, and collecting precedents related to professional theory and practice.</i>					
<u>Includes</u> Publications and reports, kept for general research or reference; provincial and/or municipal theory and practice guidelines; alternative dispute resolution materials; research bibliographies; original research	<u>Excludes</u>				
<u>Notes</u> SO = Resource or publication superseded, obsolete, irrelevant.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.01 – Aggregate Resources</b>	T	7	S	FOI	7
<i>License management of approved quarries.</i>					
<u>Includes</u> Records related to quarries, including alternative sources of sand and gravel, pedological (soil) information, geological statistics, quarry rehabilitation, licenses	<u>Excludes</u> Policy Plan - Applications (use D.13 – Niagara Region Policy Plan); also companion local application under municipal plans (use D.10 – Local Official Plans)				
<u>Notes</u> T = Closure of quarry.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.02 – Agricultural Activities</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research and programs related to agriculture and agricultural land use.</i>					
<u>Includes</u> Records respecting the use of agricultural land including studies, reports, correspondence, Ministry of Agriculture and Food Guidelines; Golden Horseshoe Agriculture and Agri-foods Strategy	<u>Excludes</u> Policy Plan applications related to agriculture (use D.13 - Niagara Region Policy Plan); also companion local application under municipal plans (D.10 – Local Official Plans)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.03 – Demographics</b>	CY+20	N/A	P	FOI	8
<i>Analysis, collection and compilation of demographic information.</i>					
<u>Includes</u> Records regarding trends in population growth, census reports, density studies and employment figures.	<u>Excludes</u>				
<u>Notes</u> Most records in this series are created based on census information received from Statistics Canada.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.04 – Economic Development</b>	T	15	S	FOI	28
<i>Strategies, actions and results directed towards the growth of Niagara's economic base.</i>					
<u>Includes</u> Client information, including requests and client inquiries; commercial confidential information re: businesses; business cases re: investment in Niagara; internally generated or compiled economic data; standalone reports, i.e. sector or industry profiles; project files, organized by topic i.e. "Economic Strategy"	<u>Excludes</u>				
<u>Notes</u> T = Variety of situations applying to economic development in Niagara, i.e. investment moves elsewhere; business closes; funding ends; request completed					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.05 – Housing</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research and programs related to housing.</i>					
<u>Includes</u> Housing studies; records relating to housing policies, programs, statistics and studies, e.g., affordable housing, assisted and specialized convert to rent, with exception of condominium developments; Housing and Homelessness Action Plan and similar initiatives	<u>Excludes</u> Condominium conversions (use D.11 - Subdivision and Condominium Development)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.06 – Land Division</b>	T	N/A	P	FOI	8
<i>Applications, decisions and appeals made to the Land Division Committee.</i>					
<u>Includes</u> Former Land Division Committee membership; correspondence; minutes; appeals; hearings; severances and severance applications; iDarts database		<u>Excludes</u> Copied notices of hearings (transitory); minutes, notes and correspondence from area municipalities, unless directly related to Niagara Region planning (transitory)			
<u>Notes</u> T = when conditions imposed by local municipality are cleared. The Niagara Region Land Division Committee was established and governed by the Planning Act, and its records are considered permanent. Approvals are now delegated to the local municipal level, and the Niagara Region Land Division Committee no longer exists. This records series is retained for legacy purposes. Only severances and consents dating from before the year 2000 are retained permanently. Severances and consents confirmed after that date are now retained by the Local Area Municipalities.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.07 – Mapping</b>	SO	N/A	P*	A	
<i>Mapping and recording geographic features, by means including aerial photography; cartography; and GIS. Mapping information used to support projects, reports, studies and policy.</i>					
<u>Includes</u> Maps and plans; urban boundaries; cartographic materials; aerial photographs; GIS layers; mapping data; output generated by geocoding; geographic features		<u>Excludes</u>			
<u>Notes</u> SO = mapping data and/or content superseded. Mapping data may be selected by staff for permanent archival retention over time, based on anticipated historical value.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.08 – Natural Resources and Landforms</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research and programs related to natural resources, watersheds and landforms.</i>					
<u>Includes</u> Records relating to forestry and watershed management, wildlife, aquatic habitat, municipal drains, drainage, natural watercourses and resource conservation, shorelines, landforms, Welland Canal non-recreational use, the Great Lakes and other environmentally sensitive areas. Includes lake levels and flooding. Also includes related studies and documents i.e. the Canada-US Great Lakes Water Quality Agreement, Niagara Region Water Smart and Water Management Strategy		<u>Excludes</u>			



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.09 – Niagara Escarpment</b>	EP	15	S	FOI	28
<i>Planning and development related to the Niagara Escarpment, including interactions with the Niagara Escarpment Commission (NEC).</i>					
<u>Includes</u> Records pertaining to the Niagara Escarpment Commission, including development control permits, NEC plan amendments, correspondence. Reviews and comments provided by Niagara Region on development control permits and interactions with developers re: Niagara Escarpment	<u>Excludes</u> Agendas and minutes received from the NEC (use C.04 - Agencies, Boards and Commissions)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.10 – Local Official Plans</b>	SO	N/A	P*	FOI	8, 10
<i>Management and development of local municipal official plans.</i>					
<u>Includes</u> Records regarding approved municipal official and secondary plans and amendments, Ontario Municipal Board (OMB) hearings and decisions relating to these planning matters	<u>Excludes</u>				
<u>Notes</u> The <i>Assessment Act</i> now allows for secondary plans to be combined with serving plan creation for the purpose of reducing overlap in both processes.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.11 – Subdivision and Condominium Development</b>	EP	N/A	P*	A	
<i>Reviewing approvals for registered plans of subdivision and condominium development, including OMB appeals and hearing notices involving Niagara Region.</i>					
<u>Includes</u> Approved, registered plans of subdivision and condominium development; related correspondence; applications for subdivision and condominium development. Comments and input provided by Niagara Region during the appeal process; records of public meetings re: subdivision and condominium development required under the <i>Planning Act</i>	<u>Excludes</u> Records related to any subdivisions or condominiums not directly pertaining to Niagara Region				
<u>Notes</u> EP = Approval of subdivision. The original record of subdivision or condominium plan typically rests with the lower tier municipality, though Niagara Region retains copies of these records due to continuation of the Region's approval authority over this process through delegation to local municipalities.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.12 – Provincial and Municipal Planning</b>	SO	5	S	A	
<i>Review, comment and analysis of planning policy statements and guidelines.</i>					
<u>Includes</u> Niagara Region comments submitted to Federal, Provincial or Municipal levels of government re: policy statements and guidelines.			<u>Excludes</u> Policy statements and guidelines that do not require comment or review by Niagara Region, kept only for reference purposes (use D.00 - Reference)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.13 – Niagara Region Policy Plan</b>	SO	N/A	P*	A	11
<i>Developing, approving and amending the Niagara Region Policy Plan for submission to the Province of Ontario, including final Policy Plan documents and approved amendments.</i>					
<u>Includes</u> Office consolidation; policy plan amendments and related correspondence; final Niagara Region Policy Plan as approved by the Province of Ontario			<u>Excludes</u> Corporate policies and procedures (see A.05 - Policies and Procedures)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.14 – Recreational Planning</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research and programs related to recreation.</i>					
<u>Includes</u> Records relating to creating projects that have Regional implications – Welland Canals Parkway, conservation parks, cycling trails i.e. Greater Niagara Circle Route, bridle paths, and Provincial initiatives (Waterfront Trust)			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.15 – Transportation Planning</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research and programs related to transportation.</i>					
<u>Includes</u> Records pertaining to studies on land use planning for transportation networks including reports, technical information, and development files.			<u>Excludes</u> Engineering, technical planning, design and specifications for actual transportation infrastructure (use T.00 – Transportation Management)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.16 – Urban Land Use</b>	EP	15	S	A	28
<i>Study preparation, report management, research and programs related to urban land use.</i>					
<u>Includes</u> Records pertaining to urban design, land classification systems, urban development growth, plus a variety of land uses. Includes those issues relevant to community improvement projects, i.e., downtown revitalization.	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.17 – Minor Variances</b>	CY+1	3	D	FOI	8
<i>Receiving requests for minor variances, processing requests and Committee of Adjustment operations and hearings.</i>					
<u>Includes</u> Notices of hearings; minutes, notes and correspondence re: Committee of Adjustment; minor variances	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.18 – Zoning</b>	SO	5	D	FOI	
<i>Zoning as it relates to Niagara Region. Includes Niagara Region involvement in developing zoning by-laws at the local municipal level.</i>					
<u>Includes</u> Plans and development proposals related to zoning; comments provided by Niagara Region in initial stages of zoning by-law development; zoning amendment applications received and reviewed by Development Services, including comments	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.19 – Site Plans</b>	CY+20	3	D	A	
<i>Applications for site plan approval, including required review and revision processes.</i>					
<u>Includes</u> Site plan applications and revisions, prepared by developers and submitted for approvals; also includes final site plans.	<u>Excludes</u>				
<u>Notes</u> Site plans may be prepared externally for a wide variety of settings, i.e. vacant parcel; townhouse; subdivision or undeveloped blocks. The iDARTS database includes electronic copies of comments created during the review process.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>D.20 – Community Development</b>	EP	15	S	FOI	28
<i>Study preparation, report management, research, program development and planning activities related to community development initiatives.</i>					
<u>Includes</u> Plans and studies generated by Niagara Region in efforts to improve and support community development, i.e. Local Food Action Plan, Culture Plan, Sustainability Plan			<u>Excludes</u>		

**E Environmental Services**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.01 – Environmental Planning</b>	CY+1	N/A	P	A	
<i>Research, studying, planning and report creation for environmental infrastructure including water and wastewater.</i>					
<u>Includes</u> Infrastructure needs studies; water and wastewater quality improvements; water and wastewater master plans	<u>Excludes</u> Planning and Development Services records (use D.00-D.20)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.02 – Environmental Monitoring</b>	CY+1	N/A	P	FOI	
<i>Data management and monitoring for environmental issues including water supply, draw and fill, leak detection.</i>					
<u>Includes</u> CCTV inspection; locate requests; temporary and permanent flow monitoring; draw and fills	<u>Excludes</u> Equipment records related to flow monitoring (use E.02.09); GIS (use D.07 - Mapping)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.02.04 – Weather Monitoring</b>	CY	10	D	A	
<i>Weather data and associated analysis, as it pertains to Water and Wastewater and other environmental operations.</i>					
<u>Includes</u> Weather data and associated analysis.	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.02.08 – Infrastructure Locates</b>	CY+3	5	D	FOI	
<i>Locating water and wastewater infrastructure.</i>					
<u>Includes</u> Records related to location procedures and processes for Water and Wastewater infrastructure.	<u>Excludes</u>				
<u>Notes</u> Paper records associated with locates are kept for the Current Year + 1, then securely shredded on-site. Original locate records are stored in a database to which the above retention period applies.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.03 – Environmental Assessments</b>	CY+3	N/A	P*	A	13
<i>Environmental assessment completion for specific construction, infrastructure and property projects</i>					
<u>Includes</u> Final, approved environmental assessment (EA) documentation; official draft EA documentation; site condition reports; road construction in environmentally sensitive areas		<u>Excludes</u> Unofficial draft, rough or working EA documentation (transitory)			

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.04.01 – Compliance Reporting</b>	CY+1	N/A	P	A	14
<i>Compliance reporting for environmental municipal services.</i>					
<u>Includes</u> Final, approved compliance reports for a range of municipal services including water and wastewater and waste management.		<u>Excludes</u>			

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.04.02 – Certificates of Approval</b>	SO	N/A	P	A	14
<i>Requesting and receiving Certificates of Approval for a variety of municipal services.</i>					
<u>Includes</u> Certificates of Approval for municipal servicing including sewers, booster pumping stations, water mains, waste programs, disposal sites, processing and transfers.		<u>Excludes</u>			

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.05 – Environmental Enforcement</b>	CY+10	5	S	FOI	15
<i>Investigating complaints and enforcing legislation regarding environmental concerns associated with Water and Waste Water and Waste Management services.</i>					
<u>Includes</u> Data collection; complaints; correspondence re: sewer discharges, landfill activities, investigations, spill response and reporting; fees and Sewer Use By-Law enforcement documentation		<u>Excludes</u> Environmental Health Inspections (use P.14); tickets and/or orders issued under the POA courts (use A.13 - Provincial Offences Court); by-law enforcement unrelated to the Sewer Use By-Law (use R.01 – By-Law Enforcement)			
<u>Notes</u> Records are organized based on business or property address, filed by address or premise location.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.06 – Waste Management</b>	CY+1	N/A	P	A	16
<i>Waste management performed by Niagara Region, including disposal; monitoring; equipment inventories and planning, research and specifications.</i>					
<u>Includes</u> Monitoring records, i.e. gas utilization; tipping; waste reduction; disposal records; sludge maintenance; testing; daily work diary. Equipment inventories and related logs. Planning records, i.e. economic assessments; studies; public consultation; best practices; consultant reports, studies, audits; pilot projects; research; programs; strategy; surveys			<u>Excludes</u> Public Liaison Committee (use A.03 - Employee Committees or C.02 – Council and Committee Proceedings); Capital Projects (use O.01); original contracts (use L.01 - Agreement Development); maintenance and work orders (use O.02 - Maintenance); land use and other planning activities not related to waste management (use D.00-20); promotion, education, communication to public (use M.00 – Communications and Public Relations)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.06.06 – Waste Ticketing</b>	CY+1	2	D	FOI	
<i>Ticket issuance and collection processes for all infractions related to waste collection and management.</i>					
<u>Includes</u> Tickets; record of issuance and response; payments			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.08 – Waste Collection</b>	CY+1	6	D	FOI	
<i>Collecting waste and recyclables, establishing and providing set out services.</i>					
<u>Includes</u> Extra bag pickup applications; pickups; audits; BIA; purchase and sales for containers, carts, blue and grey boxes, green bins; contract management, warnings, complaints; exemptions; enhanced services; IC&I; maps and routes; multi-residential properties; organics, food waste, leaf and yard; public space collection; residential curbside (BLOS); special collections; tonnages; Niagara Region Waste Curbside Collection Contract			<u>Excludes</u> Original contracts (use L.01 - Agreement Development); household hazardous waste programs and management (use E.09 – Waste Diversion)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.09 – Waste Diversion</b>	CY+1	5	S	FOI	
<i>Reducing and diverting waste, including management of recyclable programs, composting and household hazardous waste.</i>					
<u>Includes</u> Funding records for diversion programs; records of diversion for electronics, organics, food waste, leaf and yard; public space recycling; special event recycling; tonnages			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.10 – Environmental Laboratory Testing</b>	CY+5	10	D	FOI	17
<i>Collecting and analyzing water and wastewater samples within the Niagara Region Environmental Laboratory for Certificate of Approval compliance, and various external clients.</i>					
<u>Includes</u> Laboratory reports; laboratory data; laboratory results; testing; samples; analysis; industrial monitoring; WWW plant Certificates of Approval compliance; printouts; calculations; rough notes		<u>Excludes</u> Planning and Development Services records (use D.00-D.20) Water testing and lab results within water facilities (use O.04.02 – Water Laboratory Testing)			
<u>Notes</u> Every water treatment plant must keep lab results on-site for 7 years from their receipt, in order to provide adequate documentation in the event of inspection by the Ministry of the Environment. Lab results are stored on the plant shared drive or in hard copy format, and may be destroyed securely on-site after 7 years. Lab results are stored at the Environmental Centre for a total of 15 years.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>E.11 – Energy Management</b>	SO+1	6	D	A	
<i>Reducing and managing energy use for internal and external facilities, programs and projects.</i>					
<u>Includes</u> Consultant reports; energy use assessments; incentive/rebate program management; renewables; conservation and efficiency initiatives; regulatory compliance; conservation plans; energy audits; Green Master Plan; biogas utilization; targets planning; LEED certification; energy management projects, including wind energy and power		<u>Excludes</u>			

**F Financial Management**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.01 – Budgeting</b>	CY+1	N/A	P*	A	19
<i>Finalizing corporate, departmental and capital budgets, determining appropriate budget lines and amounts for all accounts and projects.</i>					
<u>Includes</u> Final budget submissions and related documentation (budget packages), including budget data and tables; for Capital & Operating Budgets in each Niagara Region department, board and agency. Also includes Salary Disclosure Report.			<u>Excludes</u> Working, draft and non-approved capital budget submissions (use F.01.06 - Backup Budget Submissions)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.01.02 – Debt Management</b>	EP+1	N/A	P	A	19
<i>Management of debts owed and/or issued by Niagara Region, including debt registration; assumption; incurrence; issuance and reconciliation. Administration and issuing of loans, i.e. Tile Drainage Assistance. Management of investments, debentures and bonds owned by Niagara Region. Includes cancellation at maturity, recording payment of interest, and management of debenture cheques.</i>					
<u>Includes</u> Debt records, debt register, debt assumption; issuance; reconciliation of debt charges and related documentation; all documentation related to the issuance and administration of loans by Niagara Region; ledger entries; initial issuance; payment to investors; non-subsidized Social Housing stock (mortgages); debenture cheques; matured investment information; broker account statements; credit rating; debt capacity assessment; fiscal agents					
<u>Notes</u> EP = Payment of debt					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.01.06 – Backup Budget Submissions</b>	CY+1	6	D	A	18
<i>Submitting financial and budget planning information for review and approval in final budgets, including preparatory activities; research; compilation for capital budget submissions.</i>					
<u>Includes</u> Budget submissions (budget packages) from each Niagara Region department, board and agency; also includes backup paperwork for all budget submissions.			<u>Excludes</u> Final, approved capital budget documentation (use F.01 - Budgeting)		
<u>Notes</u> Draft budget submissions, until approved by the appropriate authority, are transitory records.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.01.08 – Journal Entries and General Ledger</b>	CY+1	N/A	P	A	19
<i>Journaling financial transactions for all projects and other financial activities initiated and carried out by Niagara Region.</i>					
<u>Includes</u> Paper and electronic project journals for recording financial transactions, i.e. journal entries, capital project journal entries, and operating entries; General Ledger and associated reconciliations			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.02 – Financial Reporting</b>	CY+1	6	D	A	18
<i>Recording and reporting all financial transactions completed by Niagara Region in the regular course of business. Includes completion of all Accounts Payable and Receivable transactions, expense reporting and original receipts, along with billing information (i.e. Water and Sewer flows, telecommunications services i.e. Bell). Includes management of trust funds and accounts for residents in Seniors Homes administered by Niagara Region.</i>					
<u>Includes</u> Tax filings and support; cheque registration; A/P Vouchers and Backup; A/R Invoices; A/R Accruals; A/R YTD Aged Trial Balance; Visa backup; cash receipts; invoices; cash reconciliation; reserve funds; expense claim forms for staff and Council; telecommunications expense records, including billing information received from providers; receivables summary; digital images of cheques; CDSR system for production of charitable receipts; Seniors Home financial transactions and trust fund management, i.e. Trust Fund Transfers; Payments from Trust, Trust Accruals, Trust and JE Audit Detail (GEAC)			<u>Excludes</u> Setting of sewer/water flow rates (use F.03 - Revenue Generation); audits and year-end reporting (use F.12 – Audits and Financial Compliance)		
<u>Notes</u> Original receipts are sent to Corporate Services - Accounts Payable. A copy may be retained by the originating office for 1 calendar year, or until the expense is reimbursed, and then destroyed. Voucher backup, original invoices and cash receipts are retained as a backup package in inactive storage.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.02.04 – Expense Card Applications and Account Maintenance</b>	T	2	D	A	
<i>Receiving, processing and maintaining corporate credit card accounts (i.e. Visa).</i>					
<u>Includes</u> Applications for corporate expense cards; account summaries sent by credit card company			<u>Excludes</u> Daily financial transactions and any expenses not completed on an expense card (use F.02 - Financial Reporting)		
<u>Notes</u> T = Closure of expense card account					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.03 – Revenue Generation</b>	CY+1	6	D	A	18
<i>Generation of revenues by means other than property taxes and receivables. Researching the background, structure and effectiveness of revenue generating mechanisms.</i>					
<u>Includes</u> POA fines/tickets; sewer/water flow rates; letters of credit; shared service cost recovery; cost allocation; alternate revenue sources; research re: revenue generation and fee structures	<u>Excludes</u> Property taxes and general Accounts Receivable (use F.02 - Financial Reporting); POA court dockets and documentation (use A.13 - Provincial Offences Court)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.03.04 – Development Charge Payments</b>	EP+1	N/A	P	A	19, 20
<i>Receipt and processing of development charge payments.</i>					
<u>Includes</u> Application fees; development charges	<u>Excludes</u> Development Charges By-Law (use C.01 – By-Laws)				
<u>Notes</u> EP = Completion of payment					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.05 – Property Assessments</b>	EP	7	D	A	18
<i>Documentation of taxation related to property, assessments and reviews, tax incentive programs.</i>					
<u>Includes</u> Assessment studies; property assessment reviews; market value/actual assessment reviews; tax ratio working papers; payments in lieu; tax policies (updated annually)	<u>Excludes</u>				
<u>Notes</u> EP = Completion of assessment, study, review or payment					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.07 – Payroll Management</b>	CY+1	6	D	PIB	18, 21
<i>Management, administration and operations of corporate-wide payroll system for all employees, and associated records.</i>					
<u>Includes</u> Benefit Billings; Employee Notices; CSB Payroll Applications; Direct Deposits and associated information; Payroll Calculations; Pay Registers; Pay Summary; Gross to Net; manual/cancelled cheques; cheque backup detail; pay folders; payroll - weekly YTD detail year end, including agencies; garnishees; pay folders; Records of Employment; retro pay records; run ID/GL Detail; time card detail report; United Way Deduction Authorization forms; vacation payout for PEVA and CSB; MMS payroll; HR financial reporting; tax forms: T4s and annual filing; HRIS programming and configuration; MMS interface reports; manual payments; payroll deduction remittances to CRA; EHT; Unions; CSBs; OMERS remittances; year-end records			<u>Excludes</u> OMERS and other pension & benefits management, with the exception of remittances (use H.02 - Benefits Administration)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.07.21 – Attendance Reporting</b>	CY	3	D	PIB	21
<i>Recording and reporting all information, decisions, changes and requests related to employee attendance.</i>					
<u>Includes</u> Attendance reporting forms, time cards, requests for vacation, requests for leave, lieu and other time off; LAG reports and authorization (see notes)			<u>Excludes</u>		
<u>Notes</u> LAG Reports are legacy records. A limited number of inactive records containing LAG reports will be retained permanently.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.07.23 – Income Tax Reporting</b>	CY+1	6	D	PIB	18
<i>Reporting all relevant information for purposes of Canada Revenue Agency income tax determinations.</i>					
<u>Includes</u> T4s; T4As; sums; TD1s; UIC Annual Form; renewal applications			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.08 – Purchasing</b>	EP+1	8	D	FOI	18
<i>Purchasing and acquisition of goods and services by Niagara Region.</i>					
<u>Includes</u> Tenders; quotations; tender deposits; bonds for work and materials; letters of credit for projects; correspondence regarding tenders; construction liens; blanket releases; vendor and third-party information	<u>Excludes</u> Original agreements (use L.01 - Agreement Development); Accounts Payable (use F.02 - Financial Reporting); Requests for Proposal, Information or Quotation (use F.08.09 – Requests for Proposal)				
<u>Notes</u> EP = Completion of Purchasing file					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.08.01 – Disposal of Surplus Property</b>	CY+1	8	D	A	18
<i>Finalizing corporate, departmental and capital budgets, determining appropriate budget lines and amounts for all accounts and projects.</i>					
<u>Includes</u> Description of equipment; auction listings; winning bid price	<u>Excludes</u> Accounts Receivable (use F.02 - Financial Reporting); Fixed Assets (use F.11)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.08.04 – Purchase Orders</b>	CY+3	6	D	FOI	18
<i>Ordering of goods and services via purchase order process, and all stages of completion.</i>					
<u>Includes</u> All purchase order types: alpha, blanket, cancelled, standing; purchase requisitions	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.08.09 – Requests for Proposal</b>	EP	6	D	A	18
<i>Requesting service descriptions and pricing for goods and services required and sought by Niagara Region.</i>					
<u>Includes</u> RFP; RFQ; RFI; all related documentation leading up to issuance of RFP, RFQ, RFI; Expressions of Interest (EOI); RFPQ; sale items	<u>Excludes</u> Original agreements (use L.01 - Agreement Development); RFP/Q/I responses and submissions from vendors (use F.08.11 – Vendor Submissions)				
<u>Notes</u> EP = Closure of RFP, RFQ or RFI					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.08.11 – Vendor Submissions</b>	CY+3	6	D	FOI	18
<i>Receipt and management of bids, tenders and quotations received from third-party vendors in response to RFP, RFQ, RFI and other expressions of interest (EOI).</i>					
<u>Includes</u> Responses to all issued RFP, RFQ, RFI documents as received from vendors; quotations for service as provided by confirmed vendors	<u>Excludes</u> Original agreements (use L.01 - Agreement Development); RFP, RFQ or RFI documents (use F.08.09 - Requests for Proposal)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.10 – Banking and Investments</b>	CY+1	6	D	FOI	18
<i>Accounting and reconciliation for all banking activities performed for Niagara Region; includes investments.</i>					
<u>Includes</u> Cheque matching; monthly statements; municipal reconciliations; investment reports; investment sheets; cheque register (online); cleared cheques; supporting documentation from divisional programs related to banking activities, i.e. Sexual Health pill count sheets; trust funds; investment register; investment sheets; closing books	<u>Excludes</u> Original agreements (see L.01 - Agreement Development)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.11 – Fixed Assets</b>	CY+1	2	S	A	19
<i>Inventorizing and tracking capital and fixed asset holdings.</i>					
<u>Includes</u> Inventories of capital and fixed assets; Capital Program Manager files	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>F.12 – Audits and Financial Compliance</b>	CY+1	6	D / See Notes	A	18
<i>Accounting and auditing of all financial transactions completed by Niagara Region.</i>					
<u>Includes</u> Year-end FIR (see notes); audit working papers; Ministry and external audits; internal financial compliance; reserves; reserve funds; internal control	<u>Excludes</u> Daily financial transactions not pertaining directly to audit process (see F.02 - Financial Reporting)				
<u>Notes</u> The Year-End FIR is considered P* Archival and retained permanently.					

**H Human Resource Management**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.01 – Employee Records</b>	T	24	D	PIB	21
<i>Management of all information related to individual employees, and the duration of their employment with Niagara Region. Includes students and volunteers.</i>					
<u>Includes</u> Employment applications; resumes; employment history; summaries; evaluations; performance assessments; volunteers; students; disciplinary letters; driver's license and benefit applications; coaching; retirements to 65 or 70, as defined by benefit entitlement; OMERS member statements	<u>Excludes</u> Attendance records (use F.07.21 – Attendance Reporting); employee records for Long Term Care Homes (use S.11 – Long Term Care Employee Records)				
<u>Notes</u> All original documents are to be forwarded to and maintained by Human Resources. Upon termination, all original employee records outstanding in the department will be forwarded to HR for inclusion in the original employee file. Any copies of employee records held within the department will be securely destroyed. Human Resources is the office and custodian of original record.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.02 – Benefits Administration</b>	SO	3	D	PIB	22
<i>Administration of all benefit plans for Niagara Region employee groups.</i>					
<u>Includes</u> Benefits billings; early retirement program details; OMERS forms and applications not related to individual employees; benefit carrier information, i.e. Blue Cross; Mercer; Mutual Life Claims Analysis	<u>Excludes</u> Benefit information that is specific to an individual employee (use H.01 – Employee Records)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.03 – Health and Safety Management</b>	SO+1	2	D	PIB	23
<i>Management, monitoring, reporting and investigation of all matters related to employee health and safety in the workplace. Includes inspections and correspondence completed by the Joint Health and Safety Committee (JHSC).</i>					
<u>Includes</u> Internal incident reports; designated substances information; Material Safety Data Sheet (MSDS); Workplace Hazardous Material Information System (WHMIS); protective equipment; safety bulletins (internal); ergonomic assessments; Physical Demands Analysis (PDA); First Aid administration	<u>Excludes</u> WSIB (use H.06 - Workplace Safety and Insurance Board); Staff policies and procedures (use A.05 - Policies and Procedures); External publications (use M.00 - Public Relations); JHSC Minutes (use A.03 - Employee Committees and Collaboration)				
<u>Notes</u> SO = Records superseded or obsolete, exposure or health and safety risk no longer applicable, risk resolved or substance no longer used in the workplace.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.03.01 – Health and Safety Monitoring</b>	EP+1	2	D	FOI	23
<i>Reporting, testing and research on health and safety conditions in the workplace. Includes Occupational Exposure Limit setting and monitoring.</i>					
<u>Includes</u> Health and safety reports; studies; workplace testing	<u>Excludes</u>				
<u>Notes</u> EP = Completion of report, study or testing					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.03.02 – Health and Safety Ministry of Labour Reporting</b>	EP+1	2	D	FOI	23
<i>Interactions with the Ministry of Labour on all matters related to Health and Safety.</i>					
<u>Includes</u> Critical incident reports; Ministry of Labour inspections, orders and reports	<u>Excludes</u> Internal incident reports (use H.03 - Health and Safety Management)				
<u>Notes</u> EP = Completion of inspection or reporting process					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.04.01 – Negotiations and Interest Arbitration</b>	CY+3	N/A	P	PIB	
<i>Negotiations for renewed collective agreements and interest arbitration for renewed collective agreements who do not have the right to strike.</i>					
<u>Includes</u> Negotiations; proposals for change from collective bargaining unit or Niagara Region; conciliation notes; memoranda of settlements; interest arbitrations, including briefs; original signed collective agreements.	<u>Excludes</u> Service agreements (use L.01 - Agreement Development)				
<u>Notes</u> Retained permanently for legacy purposes, and in order to allow reference in future to previous negotiations.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.04.03 – Arbitration Payment – Supporting Documentation</b>	CY+1	1	D	PIB	
<i>Preparation and administration of reimbursements related to arbitration of settlements and grievances.</i>					
<u>Includes</u> Background information related to arbitration payments, paid either to the griever or arbitrator in grievance and arbitration settlements.	<u>Excludes</u>				
<u>Notes</u> Original cheque requisitions are sent to and retained by Accounts Payable. A copy of the cheque requisition may be retained by HR for reference and retained along with other H.04.03 materials.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.04.04 – Labour Issue Resolution</b>	EP+1	3	S	PIB	
<i>Management, resolution and monitoring of labour issues including grievances, employment equity, human rights, harassment, and respectful workplace conduct.</i>					
<u>Includes</u> Grievance files; harassment files; human rights complaints; workplace conduct complaints and investigations, including outcomes			<u>Excludes</u>		
<u>Notes</u> EP = End of investigation. Selective retention will apply in cases of grievance or significant complaints.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.05 – Training and Development</b>	EP	5	D	FOI	24
<i>Development and delivery of training materials for Niagara Region staff on a wide variety of topics.</i>					
<u>Includes</u> Course material; slides; activity sheets; course attendance logs; Requests to Attend Staff Training; course evaluations; certificate courses; webinars workshops; employee development and coaching; Staff Educational Assistance Fund; Tuition Reimbursement; apprentice and mentorship programs; orientation; corporate training; Corporate Learning Calendar			<u>Excludes</u> All records related to individual training requests and/or reimbursements, i.e. individual employee participation in Tuition Reimbursement Program (use H.01 - Employee Records)		
<u>Notes</u> EP = End of training session or training and development program.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.06 – Workplace Safety and Insurance Board (WSIB)</b>	T	3	D	PIB	25
<i>Administration and management of WSIB claims.</i>					
<u>Includes</u> Employee WSIB claims; occupational incident reports; forms; correspondence; invoices; statistical reports and supporting documentation; appeals; appeals tribunal; occupational modified work programs; accident investigations; WSIB reporting			<u>Excludes</u>		
<u>Notes</u> T = termination of employee					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.07 – Job Evaluations and Compensation</b>	SO	3	D	A	
<i>Reviewing, assessing and establishing both union and non-union job descriptions; evaluating and classifying existing jobs; determining appropriate compensation.</i>					
<u>Includes</u> Salary administration; compensation; job descriptions; job evaluations; Job Analysis Questionnaires; pay equity; Public Salary Disclosure Report; severance	<u>Excludes</u> Benefit and compensation information pertaining to an individual employee (use H.01 – Employee Records) Salary Disclosure Report issued by Financial Services (use F.01 – Budgeting)				
<u>Notes</u> SO = Cancellation, change or replacement of role					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.08 – Staffing</b>	T	3	D	PIB	
<i>Creating, processing, receiving and managing employment applications, job requisitions, postings and related information, including information received from individual selected candidates in the process of filling job postings. Includes student and co-op positions.</i>					
<u>Includes</u> Job postings; requisitions; employment programs; employment agency postings and temporary services; reference contacts and reference checks; advertising; staff movement, bumping, hire, transfers; pre-screen tools – testing (clerical and physical assessments); completed job applications, received from individuals selected for interviews, including cover letters; resumes; education, reference documents; interview files, notes, response letters; interview questions; manager hire reports (electronic job posing files) pertaining to job posting	<u>Excludes</u> Severance (use H.07 - Job Evaluations and Compensation)				
<u>Notes</u> T = Posting complete					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.09 – Employee Medical Records</b>	T	40	D	PIB	26
<i>Receiving and managing all records and information related to medical history, status and health of an individual employee.</i>					
<u>Includes</u> Employee Medical Docket, including: medical records; OHN reports and evaluations; Functional Abilities Evaluation; correspondence with care providers, LTD applications, correspondence and denials; STD; medical surveillance; regulations; non-occupational medical records; modified work programs; all other health-related information specific to an individual	<u>Excludes</u> Employee Records (use H.01 - Employee Records); WSIB claims and reporting (use H.06 – Workers Safety and Insurance Board)				
<u>Notes</u> T = Termination of employee					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.10 – Performance Management</b>	SO	3	D	A	
<i>Developing programs designed to support the appraisal, evaluation and coaching of employees on matters related to performance. Establishing workplace standards and expectations for staff.</i>					
<u>Includes</u> Performance management programs and all related records, including development and execution; corporate standards for performance; evaluation matrices and criteria	<u>Excludes</u> Completed performance appraisals (use H.01 - Employee Records)				
<u>Notes</u> SO = Replacement or obsolescence of performance management program					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.11 – Occupational Risk Management</b>	CY+1	3	S	FOI	
<i>Data collection, analysis and reporting on LTD, STD, WSIB and attendance support program statistics.</i>					
<u>Includes</u> Statistics; data analysis and summary reports	<u>Excludes</u> Information about identifiable individuals and personal attendance issues (use H.01 - Employee Records); WSIB claims (use H.06 – Workers Safety and Insurance Board)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>H.12 – Exposure Management</b>	EP+1	20 or 40	D	PIB	26
<i>Incident reporting for instances of exposure to designated or controlled substances experienced by employees.</i>					
<u>Includes</u> Exposure records; related medical information; incident reports for particular cases.	<u>Excludes</u>				
<u>Notes</u> 20 or 40 year retention is determined by legislation, severity of case and/or age of employee at the time of incident. See Citation Appendix #26 for more information.					

## L Legal Protection

This series includes records which support the development and ongoing protection of Niagara Region's legal interests, rights, relationships and assets, including application of compliance strategies, risk controls, legal instruments, and judicial or quasi-judicial proceedings.

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.00 – Legal Consultation</b>	CY+1	4	D	FOI	27
<i>Delivery of ad hoc or minor advisory legal services to clients which do not warrant creation of an actual case file.</i>					
<u>Includes</u> Correspondence in all formats; opinions; precedents; research material; notes; legal advice	<u>Excludes</u>				
<u>Notes</u> Content is typically arranged by client (i.e. department name) and/or year. File numbers include Primary and Secondary corporate classifications, followed by a unique divisional number.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.01 – Agreement Development</b>	T+1	14	S	FOI	28
<i>Negotiating and drafting agreements to be entered in to by Niagara Region, including agreements governing all areas i.e. fixed asset purchasing, sales, construction, funding, public infrastructure operation, employment, labour relations, student placement. Includes holding of original agreements for reference and operational purposes, once approved.</i>					
<u>Includes</u> Original, signed agreements; original, signed contracts; all associated schedules, appendices, annexes, and addenda; working papers; drafts; agreement correspondence	<u>Excludes</u> All agreements and other records directly related to the use, crossing, leasing, purchasing and/or sale of land (use L.04 – Property Interest Development)				
<u>Notes</u> T = Termination or end of contract, expiry of agreement					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.02 – Legislation Development</b>	EP+1	14	S	FOI	28
<i>Developing municipal by-laws and other legislation, including new legislation and the amendment or repeal of existing legislation. Supporting activities include legal research, drafting of legal language, review of draft by-laws, and interpretation of related federal and provincial legislation.</i>					
<u>Includes</u> Records related to legislation development, including draft by-laws; draft laws; external legal advice; legal opinions; precedents; research material; meeting notes and correspondence	<u>Excludes</u> Final, approved by-laws (use C.01 – By-Laws)				
<u>Notes</u> EP = Completion of draft legislation, submission for authoritative approval					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.03 – Litigation and Dispute Resolution</b>	EP+1	14	S	FOI	28
<i>Pursuing or defending legal actions and claims other than insurance claims. Includes negotiation of settlements, court actions, appeals, tribunals and prosecutions.</i>					
<u>Includes</u> Notices of claim; external legal advice; opinions; precedents; legal research; copies of relevant agreements and other documentation; evidence; exhibits; pleading; judgments; appeal documentation; productions; orders; tribunal documentation; resolution documentation and correspondence; POA prosecutions; by-law enforcement court proceedings, i.e. tobacco control; Small Claims Court and Superior Court enforcement documents for which fines have been paid in full	<u>Excludes</u> Insurance claims (use L.05 - Insurance Risk Management)				
<u>Notes</u> EP = Dispute resolved and/or claim settled					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.04 – Property Interest Development</b>	EP+1	N/A	P	FOI	28, 29, 30
<i>Transactions related to Niagara Region's real and intellectual property interests. Acquisition, disposition and preservation of interest in lands (fee simple, leasehold, license, easement, acquisition, encroachment possession), dedication of lands as public highway, road closures, land and road transfers, pipe crossing, expropriations, participation in land-related hearings (i.e. OMB), sales and purchases. Includes application for and registration of intellectual property rights, including copyright, patents and trademarks.</i>					
<u>Includes</u> All land-related contracts and agreements (sale agreements, purchase agreements, leases, easements, crossings); licences; permits; notices; sales data copyright applications; copyright registrations; trademark applications; trademark registrations; patent applications; patent registrations; supporting documents; correspondence re: property acquisition and development	<u>Excludes</u> Original contracts and agreements not related to property (use L.01 - Agreement Development); documentation created, sent and received prior to actual property acquisition (use L.07 – Property Project Management)				
<u>Notes</u> EP = Disposition of property and remediation of environmental impacts					





Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.05 – Insurance Risk Management</b>	SO+1	14	S	FOI	28
<i>Assessing and mitigating risks to Niagara Region, including negotiating and developing insurance policies and oversight of claims under relevant policies.</i>					
<u>Includes</u> Insurance policies; Certificates of Insurance not provided through Niagara Region procurement processes; renewals; correspondence with providers	<u>Excludes</u> Risk Management Committee (use A.03 - Employee Committees and Collaboration); individual insurance claims (use L.06 - Insurance Claims Resolution); Certificates of Insurance provided through procurement processes (use F.08 - Purchasing)				
<u>Notes</u> SO = Insurance policy rescinded or superseded					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.06 – Insurance Claims Resolution</b>	EP+1	14	S (see notes)	FOI	28
<i>Initiating, administering and resolving insurance claims either by or against Niagara Region and its clients.</i>					
<u>Includes</u> Notices of claim; external legal advice; opinions; precedents; legal research; copies of relevant policies and certificates; exhibits; pleadings; judgments; appeal documentation re: insurance claims; instances of bodily injury (see notes)	<u>Excludes</u> Legal claims not directly related to an insurance policy (use L.03 - Litigation and Dispute Resolution)				
<u>Notes</u> Bodily Injury records require Permanent retention.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>L.07 – Property Project Management</b>	EP+1	14	S	FOI	29
<i>Project management for real property prior to a real property transaction, including research and negotiations.</i>					
<u>Includes</u> All records associated with the process prior to a property transaction or Capital Project, including potential transactions; general research; inquiries and projects.	<u>Excludes</u> Real property transactions (use L.04 - Property Interest Development); approved Capital Projects (use O.01)				
<u>Notes</u> EP = When a project results in a transaction, or a negotiation occurs but does not result in a transaction.					

**M Communications and Public Relations**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>M.00 – Communications and Public Relations</b>	SO+1	2	S	A	
<i>Communicating to the public in all forms, disseminating information to clients and the public at large through a wide variety of media.</i>					
<u>Includes</u> Speaking notes; records of public presentations; public educational events; promotional material; educational publications; pamphlets; brochures; publicly disseminated information; media releases; outreach activities not related to a specific program mandate; posters; public notices; fundraising; ceremonies; special events; awards i.e. Regional Chair's Bursary					
<u>Notes</u> SO = Material irrelevant or inaccurate					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>M.02 – Niagara Region Archives</b>	CY+1	N/A	P*	A	
<i>Commemorating and preserving records of historical or archival value to Niagara Region.</i>					
<u>Includes</u> Annual reports; logo and Coat of Arms; inaugural addresses to Council; scrap books; minutes of the former Lincoln and Welland Counties; photographs; invitations; programs; wide range of material with historical significance, documenting the evolution of programs, decision-making and community involvement at Niagara Region.					
<u>Notes</u> Archival identification and preservation of corporate records is coordinated through Information Management Services and the Office of the Regional Clerk.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>M.04 – Graphic Design and Visual Communication</b>	CY+1	2	D	A	
<i>Design process and configuration of all publications, banners, logos and other signage.</i>					
<u>Includes</u> Design files; graphic design requisitions; design consultations; logo development; Visual Standards and Identity Guide; sign orders; corporate fonts					

**O Operations**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.01 – Capital Projects</b>	EP	25	S	FOI	28
<i>Project management and associated operations for capital projects across Niagara Region, including project-related financial management.</i>					
<u>Includes</u> Design plans; engineering drawings; "as-builts"; surveys re: road construction, culverts and bridges; grade separations; building construction; infrastructure and Niagara Region facilities; Capital Analyst files and other financial management records for capital projects	<u>Excludes</u> Original contract and/or agreement files (use L.01 - Agreement Development); Requests for Proposals (use F.08 - Purchasing)				
<u>Notes</u> EP = Completion of project close out, including 1 year warranty period where applicable					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.02 – Maintenance</b>	SO	2	D	FOI	31
<i>Maintenance for all Niagara Region buildings, vehicles, properties and equipment, both leased and owned. Includes renovating and improving Niagara Region facilities and lands. Also includes security and safety protocols.</i>					
<u>Includes</u> Work orders; equipment inspection records, including waste management equipment i.e. containers; vehicle maintenance; equipment repair; renovation and improvement plans; fire alarm response; fire inspection reports; building security	<u>Excludes</u> Maintenance and log records for water and wastewater infrastructure (use O.03 - Water and Wastewater Maintenance)				
<u>Notes</u> SO = Equipment superseded or replaced; facility vacated; machinery replaced or retired					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.03 – Wastewater Facility Operations</b>	CY+1	5	S	A	32
<i>Operational records for all Niagara Region wastewater facilities.</i>					
<u>Includes</u> Sewer facility log sheets; sewage pumping stations	<u>Excludes</u> Maintenance records related to water and wastewater (use O.09 – Water and Wastewater Maintenance)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.04 – Water Facility Operations</b>	CY+1	5	S	A	32
<i>Operational records for all Niagara Region water facilities.</i>					
<u>Includes</u> Operational records for water plants and all other elements of the water supply system.	<u>Excludes</u> Maintenance records related to water and wastewater (use O.09 – Water and Wastewater Maintenance) Water testing (use O.04.02 – Water Laboratory Testing)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.04.02 – Water Laboratory Testing</b>	CY+5	10	D	A	
<i>Laboratory samples, collection, testing, results and reporting for water samples at water facilities.</i>					
<u>Includes</u> Sample collection records; test records; recorded results; lab reports	<u>Excludes</u> Lab reports unrelated to water testing at water facilities (use E.10 - Environmental Laboratory Testing)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.05 – Permit Issuance</b>	T	6	D	A	
<i>Issuance of permits by Niagara Region for all aspects of regulated activities, properties, events, infrastructure and facility use, including parking and regional roads.</i>					
<u>Includes</u> All permits including those for road closure; occupancy; encroachments; ingress/egress for business on Regional Roads; staff parking; licenses	<u>Excludes</u> Ministry of the Environment permits for road, sewer, water infrastructure (use O.05.02 - Ministry Permits)				
<u>Notes</u> T = Expiry of permit					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.05.02 – Ministry of the Environment Permits</b>	T	10	S	A	
<i>Holding and maintaining all permits issued to Niagara Region by the Ministry of Environment.</i>					
<u>Includes</u> Permits issued by the Ministry of the Environment and related correspondence re: roads, sewer, water, road closures, occupancy, encroachments, ingress/egress for businesses on regional roads	<u>Excludes</u> Permits issued by Niagara Region (use O.05 - Permit Issuance)				
<u>Notes</u> T = Expiry of permit					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.06 – Service Requests and Dispatch Logs</b>	CY+1	6	D	FOI	
<i>Responding to dispatch calls and service requests, including those that occur outside of normal business hours; logging calls.</i>					
<u>Includes</u> Records of dispatch and service requests for water, sewer, road repairs; signal malfunctions; dispatcher logs	<u>Excludes</u> EMS and 9-1-1 response, ambulance dispatch (use R.00 – Public Safety and Emergency Operations or R.04 - Ambulance Services)				
Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.08 – Biosolids Facility Operations</b>	CY+1	5	S	FOI	
<i>Management of biosolids facilities and operations.</i>					
<u>Includes</u> Records related to the management of biosolids, including correspondence and reports, operations of the biosolids facilities.	<u>Excludes</u>				
Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>O.09 – Water and Wastewater Maintenance</b>	CY+1	5	D	FOI	32
<i>Maintenance records for all Water and Wastewater facilities.</i>					
<u>Includes</u> Maintenance records for all water and wastewater plants, including history of repairs, work orders, inspections, equipment	<u>Excludes</u> Maintenance records unrelated to water and waste water facilities (use O.02 – Maintenance)				

**P Public Health**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>P.01 – Public Health Financial Management and Reporting</b>	T+1	6	D	FOI	18
<i>Management of records related to Ministry of Health and Long Term Care budgets, funding agreements, accountability agreements, and supporting documentation.</i>					
<u>Includes</u> Ministry of Health and Long Term Care budget documents, funding and financial statements re: funding agreements and reporting; work plans related to funding agreements.	<u>Excludes</u> General administrative operations and daily administrative activities (use A.00 - Administrative Operations); all Public Health budgets and financial reporting not related to MHLTC (use F.01 - Budgets and F.02 - Financial Reporting); non-financial original agreements signed by Public Health (use L.01 - Agreement Development); surveys re: general population health (use P.02.04 - Disease Inventory and Control)				
<u>Notes</u> T = Termination or completion of funding agreement and related financial processes. Final retention period may vary depending on date of funding period expiry date.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>P.01.04 – Public Health Accreditation</b>	EP	N/A	P	FOI	
<i>Compiling, researching and submitting all information subject to Public Health Accreditation process, including Accreditation review and assessment.</i>					
<u>Includes</u> Correspondence re: Accreditation; summary reports; Accreditation project files; final assessment; project scope and planning; Accreditation Sherpa site content	<u>Excludes</u> Original corporate or departmental policy documents (use A.05 - Policies and Procedures)				
<u>Notes</u> EP = End of accreditation period					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>P.02 – Medical Officer of Health</b>	CY+1	14	S	FOI	28
<i>Operations, accountability, leadership, advice and decision-making directed or issued by the Medical Officer of Health.</i>					
<u>Includes</u> Correspondence; literature authorized by the Medical Officer of Health; precedent cases; health surveys; correspondence with MHLTC and other provincial/federal ministries	<u>Excludes</u> Staffing files for FT/PT employees, volunteers and students (use H.01 - Employee Records); departmental structure and strategic goals (use C.03 - Strategic and Organizational Planning)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>P.02.04 – Disease Inventory and Control (Epidemiology)</b>	CY+1	14	S	FOI	28
<i>Population-based disease research, inventory, data collection, analysis and monitoring.</i>					
<u>Includes</u> Medical research; precedent cases; disease statistics and inventory; epidemiological studies, data and reports; population health and health demographic surveys; health informatics			<u>Excludes</u> Quality of services received, i.e. survey or questionnaire re: satisfaction with service (use A.14 - Quality Management)		
<b>P.06.01 – Medical (OHIP) and Dental Claims Processing</b>	CY+2	10	D	FOI	33
<i>Submission and administration of OHIP claims for Sexual Health and Clinical Services. Includes payment of Dental claims received by Niagara Region Public Health.</i>					
<u>Includes</u> OHIP claims; dental claims; receipts of payment			<u>Excludes</u>		
<b>P.08.01 – School (SK/JK) Registrations</b>	CY+1	2	D	PIB	
<i>Registering Junior and Senior Kindergarten students for participation in Immunization and Vaccine Management programs.</i>					
<u>Includes</u> Student registrations; completed forms			<u>Excludes</u>		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #		
<b>P.14 – Environmental Health Inspections</b>	EP+1	6	D	FOI	34		
<p><i>Inspection of all areas, facilities, properties, activities and other issues that may impact public and population health. Includes inspection records for the full range of issues and potential health hazards investigated by Public Health Inspectors.</i></p>							
<table border="1"> <tr> <td style="width: 50%; vertical-align: top;"> <p><u>Includes</u> Inspection records; related correspondence; site visit notes, i.e. Black Books; photographs; complaints. Inspection types include:</p> <p><u>Fixed Premises</u> Food Premises, Recreational Water Facilities, Personal Services Settings, Migrant Farm Housing, Day Care, Long Term Care Homes, Group Homes, Hospitals, Retirement Homes, Hostels, Detention Centres, Funeral Homes, School Cafeterias, Arenas</p> <p><u>Safe Water Program</u> Boil water advisories, Beach Inspections</p> <p><u>Vector Borne Disease Investigation and Rabies Investigations</u> All aspects of the Rabies Program, excepting Vaccine Management</p> </td> <td style="width: 50%; vertical-align: top;"> <p><u>Excludes</u> General administrative and operational records (use A.00 - Administrative Operations) Publications and educational materials (use M.00 - Public Relations) Septic systems (use R.02 - Part VIII Inspections) Tickets, orders and court proceedings (use A.13 - Provincial Offences Courts) Rabies vaccine administration and management (use P.20 - Program Operations and P.22 - Client and Case Files)</p> </td> </tr> </table>						<p><u>Includes</u> Inspection records; related correspondence; site visit notes, i.e. Black Books; photographs; complaints. Inspection types include:</p> <p><u>Fixed Premises</u> Food Premises, Recreational Water Facilities, Personal Services Settings, Migrant Farm Housing, Day Care, Long Term Care Homes, Group Homes, Hospitals, Retirement Homes, Hostels, Detention Centres, Funeral Homes, School Cafeterias, Arenas</p> <p><u>Safe Water Program</u> Boil water advisories, Beach Inspections</p> <p><u>Vector Borne Disease Investigation and Rabies Investigations</u> All aspects of the Rabies Program, excepting Vaccine Management</p>	<p><u>Excludes</u> General administrative and operational records (use A.00 - Administrative Operations) Publications and educational materials (use M.00 - Public Relations) Septic systems (use R.02 - Part VIII Inspections) Tickets, orders and court proceedings (use A.13 - Provincial Offences Courts) Rabies vaccine administration and management (use P.20 - Program Operations and P.22 - Client and Case Files)</p>
<p><u>Includes</u> Inspection records; related correspondence; site visit notes, i.e. Black Books; photographs; complaints. Inspection types include:</p> <p><u>Fixed Premises</u> Food Premises, Recreational Water Facilities, Personal Services Settings, Migrant Farm Housing, Day Care, Long Term Care Homes, Group Homes, Hospitals, Retirement Homes, Hostels, Detention Centres, Funeral Homes, School Cafeterias, Arenas</p> <p><u>Safe Water Program</u> Boil water advisories, Beach Inspections</p> <p><u>Vector Borne Disease Investigation and Rabies Investigations</u> All aspects of the Rabies Program, excepting Vaccine Management</p>	<p><u>Excludes</u> General administrative and operational records (use A.00 - Administrative Operations) Publications and educational materials (use M.00 - Public Relations) Septic systems (use R.02 - Part VIII Inspections) Tickets, orders and court proceedings (use A.13 - Provincial Offences Courts) Rabies vaccine administration and management (use P.20 - Program Operations and P.22 - Client and Case Files)</p>						
<p><u>Notes</u> EP = signatures applied to close inspection file. If reopened, inspections are considered active until closed a second time, when the total 7 year retention period begins again.</p>							



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>P.20 – Program Operations</b>	CY+1	5	D	PIB	35
<i>Managing Public Health programs, responding to service requests and dispatch calls, including those that occur outside of normal business hours; logging calls; program processes.</i>					
<u>Includes</u> All record types related to the management and administration of Public Health programs, including Family Health; Chronic Disease and Injury Prevention (CDIP); Sexual Health; Health Bus; Vaccine Preventable Disease; Infectious Disease; Mental Health; Dental; Infant and Child Health; Reproductive Health; Healthy Children and Teens; Environmental Health, i.e. questionnaires; program planning; class administration; fridge wheel charts; cold chain files; immunization activity sheets		<u>Excludes</u> OHIP claims (use P.06.01 - Medical and Dental Claims Processing); banking information re: medication sales (use F.10 – Banking); tobacco inspections and enforcement under the <i>Smoke Free Ontario Act</i> and Tobacco Use By-Law (use R.01 – By-Law Enforcement)			
<u>Notes</u> Personal health information may occasionally be provided to Niagara Region Public Health during the referral and/or intake process, but the individual may never become a client, as they may never ultimately receive services from Public Health.  Information pertaining to these individuals, as well as client refusals of service and re-referrals, will be retained for a minimum of 1 year, then securely destroyed within the applicable program.  Day planners are maintained for two years after the current year, then securely destroyed within the applicable program.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #		
<b>P.22 – Client and Case Files</b>	T+1	See Notes	D	PIB	36		
<p><i>Management of individual and/or family Public Health client information, including provision of all Public Health services directly to identifiable individuals. Managing cases of disease outbreak and infection within the broader Niagara Region population. Formerly "client files" or "case files" in a variety of programs.</i></p>							
<p><u>Includes</u>                      Consent forms and statements of medical exemption, conscience or religious belief (day nursery and school)                      Infectious Disease case files                      Sexual Health client files including reportable STI case and client files; HIV, AIDS and Syphilis client files; TB test results; Hepatitis C and other reportable diseases                      Mental Health client files                      Health Bus client files                      Travel immunization records; travel charts                      Dental Program clients, including records of dental screening; referrals; parent notifications; dental follow up letters                      Infant and Child Health client files (aged 6 years and under), including assessments and interventions; postpartum screening; telephone assessments; developmental reports; client progress notes; education of parents; counseling and follow-up                      Reproductive and Prenatal program clients                      School Children ages 4 to 19, including individual and community assessment; intervention; education; counseling; follow up and referrals on teen and child issues                      School Health client files: elementary and secondary                      Correspondence between Public Health staff and clients re: personal health information, services and treatment, including email, text messages and social media                      Telephone logs relating to Personal Health Information from clients                      Staff documentation</p>							
<p><u>Notes</u>                      Retention triggers (T) vary depending on unique Public Health program requirements and scenarios.                      When completing CRMS data entry, please consult the divisional Client and Case file plan for further guidance, which is available from program staff.                      Total retention period for all program clients = 15 years + (18 years of age minus age of youngest client in program).</p>							
<table border="0"> <tr> <td style="vertical-align: top;"> <p><u>Mental Health</u>                              T = Discharge of client                              Total Retention = 19 years [15+(18-14)]</p> <p><u>Statements of Conscience in Day Nurseries</u>                              T = Completion of Statement of Conscience                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Statements of Conscience in School Age Children</u>                              T = Completion of Statement of Conscience                              Total Retention = 29 years [15+(18-4)]</p> <p><u>Family Health</u>                              T = Date of last visit                              Total Retention = 19 years [15+(18-14)]</p> </td> <td style="vertical-align: top;"> <p><u>Infectious Diseases / Travel Charts</u>                              T = Discharge of client / closure of annual file                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Vaccine Preventable Disease</u>                              For school campaigns, T = End of school year                              For consents, T = End of calendar year                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Sexual Health</u>                              T = Date of discharge.                              Total Retention = 21 years [15+(18-12)]</p> </td> </tr> </table>						<p><u>Mental Health</u>                              T = Discharge of client                              Total Retention = 19 years [15+(18-14)]</p> <p><u>Statements of Conscience in Day Nurseries</u>                              T = Completion of Statement of Conscience                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Statements of Conscience in School Age Children</u>                              T = Completion of Statement of Conscience                              Total Retention = 29 years [15+(18-4)]</p> <p><u>Family Health</u>                              T = Date of last visit                              Total Retention = 19 years [15+(18-14)]</p>	<p><u>Infectious Diseases / Travel Charts</u>                              T = Discharge of client / closure of annual file                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Vaccine Preventable Disease</u>                              For school campaigns, T = End of school year                              For consents, T = End of calendar year                              Total Retention = 33 years [15+(18-0)]</p> <p><u>Sexual Health</u>                              T = Date of discharge.                              Total Retention = 21 years [15+(18-12)]</p>
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**R Public Safety**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>R.00 – Public Safety and Emergency Operations</b>	CY+1	2	D	FOI	
<i>Administration and activities related to the Niagara Regional Police Service and Fire Coordinators.</i>					
<u>Includes</u> Correspondence with NRPS and Fire Coordinators; general discussion of public safety and/or emergency issues	<u>Excludes</u> Duplicate records created by NRPS or Fire Coordinators (transitory); Policies and Procedures (use A.05 - Policies and Procedures); long-term objectives (use C.03 - Strategic and Organizational Planning)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>R.01 – By-Law Enforcement</b>	CY+1	6	S	FOI	
<i>Enforcement of provincial statutes, regulations, and municipal by-laws. Investigation of potential by-law infractions, including Tobacco inspections and enforcement.</i>					
<u>Includes</u> By-law and regulatory enforcement records including but not limited to tobacco, tree cutting, sewer use, dumping, traffic, parking, property matters, seizure alert and seeing eye dogs.	<u>Excludes</u> Litigation and Dispute Resolution (use L.03); POA court tickets and proceedings (use A.13 - Provincial Offences Courts)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>R.02 – Environmental Protection Act Inspection (Part VIII)</b>	CY+1	N/A	P	FOI	37
<i>Inspections pertaining to pollution of land, water and air resources, and all aspects of the Environmental Protection Act, Part VIII.</i>					
<u>Includes</u> Inspection records; complaints; photographs and documentation of site status	<u>Excludes</u> All inspections conducted by Environmental Health, along with investigations of general health hazards (use P.14 – Environmental Health Inspections)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>R.03 – Emergency Response</b>	CY+1	7	S	FOI	
<i>Coordination of shared response between regional land, air and water emergency services, including 9-1-1 response and the Emergency Operations Centre.</i>					
<u>Includes</u> Records of response provided by various local or regional land, air and water emergency services associated with Niagara Region. Emergency Operations Centre records may include incident reports, status reports, situation reports, action plans, position logs, maps, resource requests and tracking, and event and status boards.	<u>Excludes</u>				
<u>Notes</u> Records of particularly significant community emergencies will be selected for Permanent or P* Archival retention.					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>R.04 – Ambulance Services</b>	CY	10	D	PIB	38
<i>Administration and delivery of Emergency Medical Services under the Ambulance Act, including all aspects of operations and delivery of services to individual clients and dispatch operations for ambulance services (Niagara EMS).</i>					
<u>Includes</u> Niagara EMS program and operational records; Ambulance Call Reports	<u>Excludes</u> General administration (use A.00 - Administrative Operations); service goals and objectives (use C.03 - Strategic and Organizational Planning)				

## S Community Services

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.01 – Seniors Services Operations</b>	CY+1	1	D	FOI	
<i>Correspondence unique to Long Term Care Homes and associated community programs. Accreditation and response to general inquiries.</i>					
<u>Includes</u> Correspondence; Accreditation records; general inquiries from public	<u>Excludes</u> General correspondence and administration (use A.00 - Administrative Operations)				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.02 – Long Term Care Resident Files</b>	T	10	D	PIB	39
<i>Collection and management of Long Term Care resident information, including nursing and supportive care. Closure and administration of resident files following death or discharge of resident.</i>					
<u>Includes</u> Resident files for long and short-term stays, including all records related to the resident during their stay in Long Term Care, and medical records. Includes consent forms related to personal health information and medical care or treatment, and pharmacy records i.e. prescriptions, narcotic sign-offs; 24-hour nursing reports; daily nursing activity logs; planners and other notes related to individual resident care	<u>Excludes</u> Consent forms related to individual resident financial matters (use S.02.03 – Resident Financial Records)				
<u>Notes</u> T = Date of discharge, or death of resident. New resident files are stored electronically in the Point Click Care system.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.02.03 – Resident Financial Records</b>	T	10	D	PIB	18, 39
<i>Administration of financial records and related agreements for individual residents in Long Term Care Homes.</i>					
<u>Includes</u> Admission agreements; consent forms related to individual resident financial matters; Access Niagara forms A & B; instructions; correspondence on financial matters; resident banking and/or financial account information	<u>Excludes</u> Consent forms related to personal health information and medical care or treatment (use S.02 – Long Term Care Resident Files)				
<u>Notes</u> T = Date of discharge, or death of resident					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.02.07 – Seniors Community Program Management</b>	EP	7	D	PIB	
<i>Administration and management of all programs related to Seniors Services and care in the community.</i>					
<u>Includes</u> Day Program; supportive housing; Respite Companion clients; client intervention and assistance; Home Help services; client/worker correspondence and communication	<u>Excludes</u>				

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.04.01 – SAEO Eligibility Review</b>	EP	See Notes	See Notes	PIB	
<i>Reviewing SAEO client records and status to determine eligibility. Also includes investigations of fraud.</i>					
<u>Includes</u> Eligibility Review Officer investigations; includes investigations that demonstrate fraud and those that show allegations are unfounded.	<u>Excludes</u>				
<u>Notes</u> EP = End of review, investigation or resolution of allegation. If investigation shows that allegation was unfounded, records are destroyed soon as possible. If suspicion of fraud is confirmed, records are maintained for the duration of criminal investigation and potential legal action. When resolved, records are incorporated to the existing client file when the case has been terminated from Ontario Works.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.04.03 – SAEO Client Files</b>	T+2	3	See Notes	PIB	
<i>Administration and operational management for provision of SAEO and Ontario Works assistance to individuals. Includes all information related to clients during period when assistance is received.</i>					
<u>Includes</u> Intake forms; financial information; benefits; Family Support programs; notes and all other information pertaining to individual Ontario Works clients	<u>Excludes</u>				
<p><u>Notes</u> Client files will be securely destroyed after the prescribed retention period, except in the following situations, when they will be retained indefinitely:</p> <ul style="list-style-type: none"> <li>• Where an overpayment is still outstanding</li> <li>• Where the applicant or recipient is being investigated for social assistance fraud</li> <li>• Where there are outstanding family support issues</li> <li>• Where a legal assignment is still outstanding</li> </ul> <p>Upon resolution, all documentation related to the resolution of these described situations will be housed within the client file.</p> <p><b>Continued on Next Page</b> <b>S.04.03 – SAEO Client Files (Notes) Continued</b></p>					
<p>The retention period of 5 years will commence upon resolution for terminated Ontario Works cases.</p> <p>If no financial supports are provided and the case is deemed ineligible, retention of this series changes to EP+2 years, when records will be securely destroyed.</p> <p>Sometimes, a client file is created but no services are provided due to withdrawal, “no shows” or no mandatory forms signed. These 'pending' client files will be retained for 1 year past the date of initial entry, then securely destroyed.</p>					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.04.08 – Legislated Programs</b>	EP	8	D	PIB	40
<i>Administration and operational management for Community Services programs as mandated by legislation, i.e. hostel services, dental and other programs. Includes OSS payments related to SAEO.</i>					
<u>Includes</u> Program administration and individual participation in Community Services programs legislated by Ontario law, including Hostel Services; Women's Place referrals; EI requests; Social Housing services; Job Development; Discretionary Benefits	<u>Excludes</u> SAEO and Ontario Works client files (use S.04.03); funeral files and related financial processes, including internment rights (use S.04.09)				
<p><u>Notes</u> EP = End of program, completion of service</p>					



Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.04.09 – Funeral File Management</b>	EP	9	See Notes	PIB	41
<i>Management of records related to funeral assistance provided by SAEO.</i>					
<u>Includes</u> Funeral Tracking Database; internment rights owned by Niagara Region; Certificates of Internment; Letters to Transfer Internment Rights			<u>Excludes</u>		
<u>Notes</u> EP = File is accepted for processing by Funerals and Recoveries CSW, fully reimbursed.  If denied, the file remains with Funerals and Recoveries CSW for 3 months and is forwarded to SAEO Records Management for 9 months of further storage. After 1 year from the date of denial, denied funeral files are securely destroyed.  9 year retention is dependent on the status of internment rights: <ul style="list-style-type: none"> <li>• If released to Next of Kin, the funeral file is sent to inactive storage for 9 years and then securely destroyed.</li> <li>• If Niagara Region holds the internment rights, the record is retained permanently, regardless of whether or not it has been fully reimbursed.</li> <li>• If no financial supports are provided, retention of this series changes to EP+2 years, when records will be securely destroyed.</li> </ul>					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.06 – Children’s Services Program Management</b>	EP	7	D	PIB	42
<i>Program administration for Children’s Services. Includes operation of Niagara Region Child Care Centres, Home Child Care Program and provider administration.</i>					
<u>Includes</u> Correspondence re: program administration; service provider records, including licenses and agreements; financial records related to program			<u>Excludes</u> General administrative records (use A.00 - Administrative Operations); original agreements (use L.01 - Agreement Development); financial records not related to Children’s Services programs (use F.02 - Financial Reporting)		
<u>Notes</u> EP = End of program or termination of services with provider					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>S.07 – Children’s Services Client Files</b>	T	7	D	PIB	42
<i>Collection, retention and management of client information as it relates to participation in Children’s Services programs.</i>					
<u>Includes</u> All information related to or provided by clients of Children’s Services programs; completed applications for fee subsidy; correspondence with client; appeals; client payments			<u>Excludes</u> Financial records not related to Children’s Services client payments (use F.02 - Financial Reporting)		
<u>Notes</u> T = client file closed, no longer receiving services or participating in Children’s Services programs Prospective clients may submit personal information to Children’s Services during the fee subsidy intake process. If their application does not proceed to the active client stage after 3 months, all personal information submitted during intake will be securely destroyed.					

**T Transportation Services**

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>T.00 – Transportation Management</b>	EP	7	D	PIB	
<i>Planning, designing and implementing traffic improvements, engineering, signals, expansion and other infrastructure within the Regional Road network. Includes inter-municipal transit management and Fleet Services.</i>					
<u>Includes</u> Project plans; installation of traffic signals; traffic signal timings and controller settings; interchange and intersection improvements, design; street realignments; road sign approvals; maps and routes; Niagara Specialized Transit, including individual applications and assessments; Roads Needs studies; Roads Review; QEW and local highways; railroad crossings; grade separation			<u>Excludes</u> Capital Projects (use O.01 - Capital Projects) Requests for Proposals (use F.08 - Purchasing)		
<u>Notes</u> PIB in this classification relates to information included on applications for Niagara Specialized Transit, i.e. medical assessments.					

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>T.01 – Regional Road Maintenance</b>	CY+1	14	D	A	28
<i>Maintenance and repairs for all Regional Roads, culverts, bridges and traffic signals. Includes reporting, tree cutting, snow removal and deicing operations.</i>					
<u>Includes</u> Maintenance closures; reports on road conditions; safety assessments; weather conditions; field notes; railway crossings and warrants; tree/brush cutting and removal; planting and roadside vegetation; mowing; snow removal; salt damage assessments; maintenance for traffic signal timings and controller settings; Adopt-a-Road program; Requests for Service			<u>Excludes</u> Requests for Proposals (use F.08 - Purchasing)		

Classification	Years Active	Years Inactive	Disposition	Sensitivity	Citation #
<b>T.02 – Traffic Management</b>	CY+1	2	D	A	
<i>Research and data collection for existing traffic conditions and patterns on Regional Roads.</i>					
<u>Includes</u> Traffic counts; traffic reports; turning movements; road markings; signs; photographs; related studies			<u>Excludes</u> Accident reports (use L.00 - Legal Consultation); road sign work orders and graphic design (use M.04 - Graphic Design and Visual Communication); any and all records related to the maintenance of roads and traffic-related equipment (use T.01 - Regional Road Maintenance)		



### Citation Appendix

Unless otherwise specified, citations refer to the Royal Statutes of Ontario.

In most cases, excerpts are pulled from [www.e-laws.gov.on.ca](http://www.e-laws.gov.on.ca) and were last accessed on May 2, 2013.

#	Code	Title	Citation	Excerpt
1	A.06	Records and Information Management	<i>Municipal Act, 2001</i> s.254(1), (9); 255(3)	254. (1) A municipality shall retain and preserve the records of the municipality and its local boards in a secure and accessible manner...
	C.01	By-Laws		(9) In this section, the requirement to retain and preserve records in an accessible manner means that the records can be retrieved within a reasonable time and that the records are in a format that allows the content of the records to be readily ascertained by a person inspecting the records.
	C.02	Council and Committee Proceedings		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.
2	A.07	Access to Information and Protection of Privacy	<i>Municipal Freedom of Information and Protection of Privacy Act</i> s.30(1); 39(2)	30. (1) Personal information that has been used by an institution shall be retained after use by the institution for the period prescribed by regulation in order to ensure that the individual to whom it relates has a reasonable opportunity to obtain access to the personal information.
			<i>Personal Health Information Protection Act</i> s.13(2); 56(2)(a)	39. (2) An appeal under subsection (1) shall be made within thirty days after the notice was given of the decision appealed from by filing with the Commissioner written notice of appeal.  13. (2) Despite subsection (1), a health information custodian that has custody or control of personal health information that is the subject of a request for access under section 53 shall retain the information for as long as necessary to allow the individual to exhaust any recourse under this Act that he or she may have with respect to the request.  56. (2) A complaint that a person makes under subsection (1) must be in writing and must be filed within, (a) one year after the subject-matter of the complaint first came to the attention of the complainant or should reasonably have come to the attention of the complainant, whichever is the shorter...
3	A.13	Provincial Offences Court	<i>Provincial Offences Act</i> O. Reg. 67/12, s.6(5)	6. (5) The period of time for which a document is to be retained is not affected by whether the document is filed or maintained in an electronic format.
			POA Transfer Project, "Managing Your POA Court: Manual for Provincial Offences Office Managers"	Specifies retention periods for various types of POA records.

4	C.01 C.02	By-Laws Council and Committee Proceedings	<i>Municipal Act, 2001</i> s.253(1)	253. (1) Subject to the Municipal Freedom of Information and Protection of Privacy Act, any person may, at all reasonable times, inspect any of the records under the control of the clerk, including, (a) by-laws and resolutions of the municipality and of its local boards; (b) minutes and proceedings of regular, special or committee meetings of the council or local board, whether the minutes and proceedings have been adopted or not; (c) records considered at a meeting, except those records considered during that part of a meeting that was closed to the public; (d) the records of the council; (e) statements of remuneration and expenses prepared under section 284. 2001, c. 25, s. 253 (1).
5	C.04	Agencies, Boards and Commissions	<i>Municipal Act, 2001</i> s.254(2)	254. (2) ...a local board that has ownership and control of its records shall retain and preserve the records in a secure and accessible manner.
6	C.06	Elections and Council Changeover	<i>Municipal Elections Act, 1996</i> s.88(1), (2)(b)	88. (1)The clerk shall retain the ballots and all other documents and materials related to an election for 120 days after declaring the results of the election... (2)When the 120-day period has elapsed, the clerk, (b) may destroy any other documents and materials related to the election.
7	D.01	Aggregate Resources	<i>Aggregate Resources Act</i> s.62(1)	62. (1) Every licensee and permittee shall keep, for a period of seven years, detailed records of the operation for which the licence or permit has been issued, including copies of all documents relating to quantities of material removed from the site, inventories of material on the site, sales and shipments.
			<i>Limitations Act, 2002</i> s.15(2)	15. (2) No proceeding shall be commenced in respect of any claim after the 15th anniversary of the day on which the act or omission on which the claim is based took place.
8	D.06	Land Division	<i>Planning Act</i> s.14.2(6), 44(10)	14.2 (6) The secretary-treasurer shall keep on file minutes and records of all applications and the decisions on them and of all other business of the authority, and section 253 of the <i>Municipal Act, 2001</i> applies...(see citation 1)
	D.10	Local Official Plans		44. (10) The secretary-treasurer shall keep on file minutes and records of all applications and the decisions on them and of all other business of the authority, and section 253 of the <i>Municipal Act, 2001</i> applies...(see citation 1)
	D.17	Minor Variances		
9	D.08	Natural Resources and Landforms	<i>Ontario Water Resources Act</i> s.53.1(7)(a)	53.1 (7) If an agreement under section 81 of the <i>Environmental Protection Act</i> was in force immediately before the repeal of Part VIII of that Act, the party which was administering Part VIII under the agreement shall, (a) keep all records in their possession or under their control with respect to matters continued under this section for a period of 6 years from the date of the repeal...
10	D.10	Local Official Plans	<i>Places to Grow Act, 2005</i> s.8(1), 9(1)	8. (1) A copy of a growth plan and of every amendment to it, certified by the Minister, shall be filed...with the clerk of each municipality and with the secretary-treasurer of each municipal planning authority and planning board having jurisdiction in the area covered by the plan or the amendment...

				9. (1) The Minister shall ensure that a review of each growth plan is carried out at least every 10 years after the date the plan comes into force to determine whether the plan should be revised.
			<i>Greenbelt Act, 2005 s.3(2)(b)</i>	3. (2) The Minister shall ensure that a copy of the Greenbelt Plan and of every amendment to it is filed, (b) with the clerk of each municipality that has jurisdiction in the Greenbelt Area
11	D.13	Niagara Region Policy Plan	<i>Planning Act s.3(10)</i>	3. (10) The Minister shall, at least every five years from the date that a policy statement is issued under subsection (1), ensure that a review of the policy statement is undertaken for the purpose of determining the need for a revision of the policy statement.
12	E.01	Environmental Planning	<i>Safe Water Drinking Act, 2002 s.17(2)</i>	17. (2) Every accredited operating authority of a drinking water system for which operational plans are required under this Act shall retain copies of the operational plans for the system in accordance with the Director's directions...
13	E.03	Environmental Assessments	<i>Environmental Protection Act s.168.3(1), s.168.4(5)</i>	168.3(1) The Director shall establish, maintain and operate a registry known in English as the Environmental Site Registry... 1. To allow the filing of records of site condition... 2. To facilitate public access to information contained in records of site condition that have been filed...  168.4(5) If a qualified person has relied on a report in making a certification...or in a record of site condition that has been filed under this section, the following persons shall retain a copy of the report for the period prescribed by the regulations: 1. The owner of the property who submitted the record of site condition for filing or who filed the record of site condition. 2. The qualified person who made the certification.
			<i>Environmental Protection Act O. Reg. 153/04 – Records of Site Condition s.18(1)</i>	18. (1) For the purposes of subsection 168.4(5) of the Act, the prescribed period for the retention of a report is seven years after the date the record of site condition listing the report is filed in the Registry.
			<i>Environmental Assessment Act s.30(3)</i>	30. (3) Upon request, the Director shall make available for inspection any record referred to in this section including any document that forms part of the record and shall make a document available as soon as practicable after the document is issued or received.
14	E.04.01	Compliance Reporting	<i>Environmental Protection Act, s.165.1(1)(3)</i>	165.1(1) Every person required by this Act or the regulations to retain a record shall make it available to a provincial officer for inspection upon his or her request. (3) If a record is retained in electronic form, the provincial officer may require that a copy of it be provided to him or her on paper or in a machine-readable medium or both.
	E.04.02	Certificates of Approval	<i>Limitations Act, 2002 s.17</i>	17. There is no limitation period in respect of an environmental claim that has not been discovered.
15	E.05	Environmental Enforcement	<i>Limitations Act, 2002 s.17</i>	17. There is no limitation period in respect of an environmental claim that has not been discovered.

			<i>Environmental Protection Act</i> O. Reg. 675/98 – Classification and Exemption of Spills and Reporting of Discharges s.12(1.1)	12. (1.1) ...the person having control of the pollutant shall make a record of the spill containing the details listed in subsection (2) and shall keep the record for five years after the spill and during that period shall make the record available for inspection upon the request of a provincial officer.
			<i>Environmental Protection Act</i> , O. Reg. 224/07 – Spill Prevention and Contingency Plans s.6(1)	6. (1) 7. Procedures to ensure that all steps taken under paragraph 6 to respond to a spill are recorded and that the record is retained for five years.
16	E.06	Waste Management	<i>Environmental Protection Act</i> , RRO 1990, Regulation 347 - General - Waste Management s.16(5)	16. (5) The operator of a waste management system for hauled sewage shall, (a) keep daily records of the premises from which hauled sewage is collected and the amounts of sewage collected from those premises; (b) keep daily records of the disposal site or disposal sites at which hauled sewage is discharged or disposed of and the amounts of hauled sewage discharged or disposed of at those sites; and (c) keep the daily records required by clauses (a) and (b) available for review by the Director, as the Director may require, for a period of at least two years after the calendar year ...
			<i>Environmental Protection Act</i> , RRO 1990, Regulation 347 - General - Waste Management s.17.2	17.2 If subject waste is stored at the waste generation facility for more than 90 days... A record made or updated under paragraph 5 or 6 must be retained until the date that the subject waste is no longer stored, and for at least two years after that date.
			<i>Environmental Protection Act</i> , RRO 1990, Regulation 347 - General - Waste Management s.18(8)(9)	18. (8) Every generator shall keep a record of the subject waste disposed of at the waste generation facility including the name, waste number, quantity and disposition of the waste. R.R.O. 1990, Reg. 347, s. 18 (8).  (9) A record referred to in subsection (8) may be disposed of after two years.
			<i>Environmental Protection Act</i> , RRO 1990, Regulation 347 - General - Waste Management s.29.4(f)	29.4 (f) a written record is kept each time hazardous waste or liquid industrial waste is received and stored at the facility or is transferred from the facility, and the record specifies the nature and quantity of the waste and is retained at the facility for at least two years after the record is made
			<i>Environmental Protection Act</i> , RRO 1990, Regulation 347 - General - Waste Management s.56(4)	56. (4) Each operator and owner of a selected waste depot shall ensure that each record made at the depot under subsection (1) is kept at the depot during a period of two years after it is made.
			<i>Environmental Protection Act</i> , O. Reg. 232/98 – Landfilling Sites s.20	20. The owner and the operator of a landfilling site shall ensure that daily records of site operations are made during the operation of the site and that the records are retained for at least two years after they are made.
			<i>Environmental Protection Act</i> , O. Reg. 101/94 – Recycling and Composting of Municipal Waste s.23	23. 26. A record shall be kept that includes information about, i. the type, amount and sources of wastes accepted at the site, ii. the processing that the wastes received, any significant problems that occurred during the processing and any actions that were taken in response to such problems,

16 ctd				<p>iii. the types and amounts of residues, wastes and materials transferred from the site, the purposes for which they were transferred and the names of the persons to whom residues, wastes and materials, other than compost, were transferred.</p> <p>27. Information in the record required under paragraph 26 shall be retained in the record for at least two years after the event to which the information relates.</p>
			<p><i>Environmental Protection Act, RRO 1990, Regulation 362 – Waste Management PCBs s.4(5)</i></p>	<p>4. (5) Two years after an operator of a waste disposal site gives written notice to the Director that the operator has ceased to be a holder of PCB waste, the operator may dispose of records kept under subsection (1).</p>
17	E.10	Environmental Laboratory Testing	<p><i>Safe Water Drinking Act, 2002</i> O. Reg. 170/03 – Drinking Water Systems s.13 O. Reg. 248/03 – Drinking Water Testing Services s.13(1)</p>	<p>These sections outline a wide range of water testing and reporting records that must be kept for a minimum of 2, 5, 6, or 15 years.</p> <p>Given the vital importance of drinking water quality for the health of Niagara residents, all water quality testing results and related reports are retained by Niagara Region for 15 years, regardless of test type.</p>
			<p>United Nations Industrial Development Organization, “Complying With ISO 17025: A Practical Guidebook.” Vienna, 2009</p>	<p>3.3.2. Quality system records There should be a documented policy on the period of retention of records. ISO 17025 has no actual period specified but the laboratory must commit to a policy. Accreditation bodies usually have their own regulations and these vary from body to body.</p> <p>However, a typical requirement is connected with the practice of most accreditation bodies of carrying out a full re-assessment of a laboratory every four years. The normal requirement then becomes that all records for the past four-year period must be available. After the re-assessment, most records for the four previous years can be disposed of. The only rider to this is that any records which are relevant to ongoing issues need to be kept for at least the duration of that issue.</p>
18	<p>F.01.06</p> <p>F.02</p> <p>F.03</p> <p>F.05</p> <p>F.07</p> <p>F.07.23</p> <p>F.08</p> <p>F.08.01</p> <p>F.08.04</p> <p>F.08.09</p> <p>F.08.11</p> <p>F.10</p>	<p>Backup Budget Submissions</p> <p>Financial Reporting</p> <p>Revenue Generation</p> <p>Property Assessments</p> <p>Payroll Management</p> <p>Income Tax Reporting</p> <p>Purchasing</p> <p>Disposal of Surplus Property</p> <p>Purchase Orders</p> <p>Requests for Proposals</p> <p>Vendor Submissions</p> <p>Banking and Investments</p>	<p><i>Income Tax Act (Canada)</i> R.S.C., 1985, c. 1 (5th Supp.)</p>	<p>230. (4) Every person required by this section to keep records and books of account shall retain</p> <p>(a) the records and books of account referred to in this section in respect of which a period is prescribed, together with every account and voucher necessary to verify the information contained therein, for such period as is prescribed; and</p> <p>(b) all other records and books of account referred to in this section, together with every account and voucher necessary to verify the information contained therein, until the expiration of six years from the end of the last taxation year to which the records and books of account relate.</p> <p>(4.1) Every person required by this section to keep records who does so electronically shall retain them in an electronically readable format for the retention period referred to in subsection 230(4).</p>

	F.12 P.01 S.02.03	Audits & Financial Compliance PH Financial Management Resident Financial Records	<i>Canada Revenue Agency Guide RC4409, "Keeping Records"</i>	As a general rule, you must keep all of the records and supporting documents that are required to determine your tax obligations and entitlements for a period of six years from the end of the last tax year to which they relate.  The six-year retention period under the ITA begins at the end of the tax year to which the records relate. The tax year is the fiscal period for corporations and the calendar year for all other taxpayers.
19	F.01 F.01.02 F.01.08 F.03.04 F.11 F.12	Budgeting Debt Management Journal Entries and General Ledger Development Charge Payments Fixed Assets Audits and Financial Compliance	<i>Canada Revenue Agency Guide RC4409, "Keeping Records"</i>	Records and supporting documents concerning long-term acquisitions and disposal of property, the share registry, and other historical information that would have an impact upon sale or liquidation or wind-up of the business must be kept indefinitely.  When a corporation is dissolved, the following records have to be kept for two years after the date of dissolution: <ul style="list-style-type: none"> <li>• all records and supporting documents to verify the tax obligations and entitlements; and</li> <li>• all the additional records that corporations have to keep, as listed above.</li> </ul>
20	F.03.04	Development Charge Payments	<i>Development Charges Act, 1997 s.28</i>	28. Despite any other Act, a municipality is not required to issue a building permit for development to which a development charge applies unless the development charge has been paid.
21	F.07 F.07.21 H.01	Payroll Management Attendance Reporting Employee Records	<i>Employment Standards Act, 2000 s.15(1), (5)</i>	15. (1) An employer shall record the following information with respect to each employee, including an employee who is a homemaker: <ol style="list-style-type: none"> <li>1. The employee's name and address.</li> <li>2. The employee's date of birth, if the employee is a student and under 18 years of age.</li> <li>3. The date on which the employee began his or her employment.</li> <li>4. The number of hours the employee worked in each day and each week.</li> </ol> <p>(5) The employer shall retain or arrange for some other person to retain the records of the information required under this section for the following periods:</p> <ol style="list-style-type: none"> <li>1. For information referred to in paragraph 1 or 3 of subsection (1), three years after the employee ceased to be employed by the employer.</li> <li>2. For information referred to in paragraph 2 of subsection (1), the earlier of,                         <ol style="list-style-type: none"> <li>i. three years after the employee's 18th birthday, or</li> <li>ii. three years after the employee ceased to be employed by the employer.</li> </ol> </li> <li>3. For information referred to in paragraph 4 of subsection (1) or in subsection (3), three years after the day or week to which the information relates.</li> <li>4. For information referred to in paragraph 5 of subsection (1), three years after the information was given to the employee.</li> </ol>
			Ministry of Labour, "Your Guide to the Employment Standards Act" Section 2 – Record Keeping	<a href="http://www.labour.gov.on.ca/english/es/pdf/es_guide.pdf">http://www.labour.gov.on.ca/english/es/pdf/es_guide.pdf</a>

22	H.02	Benefits Administration	Financial Services Commission of Ontario, "Management and Retention of Pension Plan Records by the Administrator"	<a href="http://www.fsco.gov.on.ca/en/pensions/policies/active/Documents/A300-200.pdf">http://www.fsco.gov.on.ca/en/pensions/policies/active/Documents/A300-200.pdf</a>  To prevent or minimize loss of important records, FSCO strongly recommends that all administrators make it a priority to establish a formal and comprehensive written records management and retention policy. Such a policy should set out appropriate practices and procedures that address for example, how plan records are to be managed, how long records are to be retained and the individuals who are responsible for these records.
			<i>Pension Benefits Act</i> , s.24.1	24.1 The administrator of a pension plan shall retain the prescribed records about the pension plan and the pension fund for the prescribed period of time.
23	H.03  H.03.01  H.03.02	Health and Safety Management	<i>Occupational Health and Safety Act</i> , s.26(1)(c)(d)(f) <i>Occupational Health and Safety Act</i> , s.26(1)(c)(d)(f)	26. (1) In addition to the duties imposed by section 25, an employer shall, (c) keep and maintain accurate records of the handling, storage, use and disposal of biological, chemical or physical agents as prescribed; (d) accurately keep and maintain and make available to the worker affected such records of the exposure of a worker to biological, chemical or physical agents as may be prescribed; (f) monitor at such time or times or at such interval or intervals the levels of biological, chemical or physical agents in a workplace and keep and post accurate records thereof as prescribed;
		Health and Safety – Ministry of Labour Reporting		
24	H.05	Training and Development	<i>Safe Water Drinking Act</i> , 2002 O. Reg. 128/04, s.29(7), 31(7)	29. (7) The owner or operating authority shall ensure that records are maintained for at least five years of the on-the-job practical training completed by the water quality analysts employed in the subsystem, including the names of the water quality analysts who attended training, the dates of the training, the method used for training, the instructor, the duration of each training session and the subjects covered.  31. (7) Same as above.
			<i>Safe Water Drinking Act</i> , 2002 O. Reg. 248/03 – Drinking Water Testing Services s.13(1) 5	13. (1) A person who provides drinking water testing services shall ensure that the following documents are kept for at least five years: 5. All documents related to staff training.
25	H.06	Workplace Safety and Insurance Board (WSIB)	<i>Workplace Safety and Insurance Act</i> , 1997, s.80, s.141.2 (9)	80. (1) A Schedule 1 employer shall keep accurate records of all wages paid to the employer's workers and shall keep the records in Ontario. 1997, c. 16, Sched. A, s. 80. (2) The employer shall produce the records referred to in subsection (1) when the Board or any of its officers requires the employer to do so. 2001, c. 9, Sched. I, s. 4 (2).  141.2 (9) The person shall keep a certificate or copy of a certificate obtained under this section for at least three years after the date it is obtained, and shall produce it for inspection at the request of the Board or of a person appointed or authorized by the Board.





28 ctd	P.02.04  T.01	Disease Inventory and Control  Regional Road Maintenance		
29	L.04  L.07	Property Interest Development  Property Project Management	<i>Real Property Limitations Act</i> s.4, 17(1)	<p>4. No person shall make an entry or distress, or bring an action to recover any land or rent, but within ten years next after the time at which the right to make such entry or distress, or to bring such action, first accrued to some person through whom the person making or bringing it claims, or if the right did not accrue to any person through whom that person claims, then within ten years next after the time at which the right to make such entry or distress, or to bring such action, first accrued to the person making or bringing it.</p> <p>17. (1) No arrears of rent, or of interest in respect of any sum of money charged upon or payable out of any land or rent, or in respect of any legacy, whether it is or is not charged upon land, or any damages in respect of such arrears of rent or interest, shall be recovered by any distress or action but within six years next after the same respectively has become due, or next after any acknowledgment in writing of the same has been given to the person entitled thereto or the person's agent, signed by the person by whom the same was payable or that person's agent.</p>
30	L.04	Property Interest Development	<i>Copyright Act</i> , s.22	<p>Subject to subsection (2), a court may not award a remedy in relation to an infringement unless</p> <p>(a) in the case where the plaintiff knew, or could reasonably have been expected to know, of the infringement at the time it occurred, the proceedings for infringement are commenced within three years after the infringement occurred; or</p> <p>(b) in the case where the plaintiff did not know, and could not reasonably have been expected to know, of the infringement at the time it occurred, the proceedings for infringement are commenced within three years after the time when the plaintiff first knew, or could reasonably have been expected to know, of the infringement.</p>
			<i>Patent Act</i> , s.48, s.76.1(3), s.83(7)	<p>48. No remedy may be awarded for an act of infringement committed more than six years before the commencement of the action for infringement.</p> <p>76.1 (3) Proceedings for an offence under subsection (1) or (2) may be commenced within, but not later than, two years after the time when the subject-matter of the proceedings arose.</p> <p>83. (7) No order may be made under this section in respect of a former patentee who, more than three years before the day on which the proceedings in the matter commenced, ceased to be entitled to the benefit of the patent or to exercise any rights in relation to the patent.</p>
			<i>Trademarks Act</i> , s.11.19(1)	<p>11.19 (1) Sections 11.14 and 11.15 do not apply to the adoption or use of a trade-mark by a person if no proceedings are taken to enforce those sections in respect of that person's use or adoption of the trade-mark within five years after use of the</p>

30 ctd				trade-mark by that person or that person's predecessor-in-title has become generally known in Canada or the trade-mark has been registered by that person in Canada, unless it is established that that person or that person's predecessor-in-title first used or adopted the trade-mark with knowledge ...
31	O.02	Maintenance	<i>Highway Traffic Act</i> , O.Reg 199/07, s.16(2)	16. (2) An operator shall retain the records described in subsection (1) for at least two years or, if a record relates to a vehicle that ceases to be operated by the operator, for six months after the vehicle ceases to be operated by the operator, whichever period is shorter.
32	O.03 O.04 O.09	Wastewater Facility Operations Water Facility Operations Water and Wastewater Maintenance	<i>Safe Drinking Water Act, 2002</i> O. Reg. 170/03 – Drinking Water Systems s.13 Schedule 8 s.8-2(1)(5)	13. (1) The owner of a drinking water system shall ensure that the following documents and records are kept for at least two years: <u>Schedule 8</u> 8-2. Equipment Maintenance (1) If a report that complies with section 21-5 of Schedule 21 has been prepared in respect of a drinking water system in accordance with that Schedule, the owner of the system and the operating authority for the system shall ensure that the maintenance schedule referred to in clause 21-5 (d) of Schedule 21 is complied with by a certified operator (5) The owner of the drinking water system and the operating authority for the system shall ensure that a record is made of the date and time of every action taken under subsections (1) to (4), the name of the person who took the action and the results of the action.
33	P.06.01	Medical (OHIP) and Dental Claims Processing	<i>Health Insurance Act</i> , s.37.1(1)	37.1 (1) For the purposes of this Act, every physician, practitioner and health facility shall maintain such records as may be necessary to establish whether he, she or it has provided an insured service to a person.
34	P.14	Environmental Health Inspections	<i>Food Safety and Quality Act, 2001</i> , s.45	45. No proceeding for an offence under this Act or the regulations shall be commenced more than two years after the later of, (a) the day on which the offence was committed; and (b) the day evidence of the offence first came to the attention of a director.
			<i>Health Protection and Promotion Act</i> , O.Reg 319/08 – “Small Drinking Water Systems”	10. (1) The owner and operator of a small drinking water system shall ensure that the following documents and other records are kept for at least five years: 1. Every record or report related to a test required under this Regulation. 2. Every record or report related to a test required under the Act or another regulation made under the Act.
35	P.20	Program Management	Association of Local Public Health Agencies (alPHA), “Guidelines on Minimum Retentions for Health Unit Records” – December 2012	<a href="http://c.ymcdn.com/sites/www.alphaweb.org/resource/resmgr/Records_Management/alPHA_Guidelines_Min_Retenti.pdf">http://c.ymcdn.com/sites/www.alphaweb.org/resource/resmgr/Records_Management/alPHA_Guidelines_Min_Retenti.pdf</a>
36	P.22	Client and Case Files	<i>Medicine Act, 1991</i> O.Reg 114/94, s.19(1)	19. (1) A member shall retain the records required by regulation for at least ten years after the date of the last entry in the record, or until ten years after the day on which the patient reached or would have reached the age of eighteen years, or until the member ceases to practice medicine, whichever occurs first, subject to subsection (2).

36 ctd			<i>Limitations Act, 2002 s.15(2)</i>	15. (2) No proceeding shall be commenced in respect of any claim after the 15th anniversary of the day on which the act or omission on which the claim is based took place.
			College of Physicians and Surgeons of Ontario, Policy Statement #4-12, "Medical Records"	<a href="http://www.cpso.on.ca/uploadedFiles/policies/policies/policyitems/medical_records.pdf">http://www.cpso.on.ca/uploadedFiles/policies/policies/policyitems/medical_records.pdf</a> The Regulation requires that physicians keep medical records for the following time periods: <ul style="list-style-type: none"> <li>• Adult patients: records must be kept for 10 years from the date of the last entry in the record.</li> <li>• Patients who are children: records must be kept until 10 years after the day on which the patient reached or would have reached the age of 18 years.</li> </ul> Notwithstanding the above requirements from the Regulation, the College recommends that records be maintained for a minimum of 15 years. This is because of a provision in the <i>Limitations Act</i> which states that some legal proceedings against physicians can be brought 15 years after the act or omission on which the claim is based took place. The College makes this recommendation to ensure that physicians will be able to provide evidence should it be required in any future legal proceedings brought against them.
37	R.02	Environmental Protection Act Inspection (Part VIII)	<i>Environmental Protection Act, O.Reg. 511/09, s.18</i>	18. (1) For the purposes of subsection 168.4 (5) of the Act, the prescribed period for the retention of a report is seven years after the date the record of site condition listing the report is filed in the Registry.
38	R.04	Ambulance Services	<i>Ambulance Act, O.Reg 257/00 – "General" s.17(1)(2)</i>	17. (1) The operator of an applicable enterprise shall, <ul style="list-style-type: none"> <li>(a) maintain financial records, including books of account and accounting records, in accordance with generally accepted accounting principles;</li> <li>(d) maintain personnel, equipment and supply records, as well as a record of daily hours of work performed by each employee of each applicable enterprise. O. Reg. 257/00, s. 17 (1).</li> </ul> (2) The operator of an applicable enterprise shall ensure that the records and statements referred to in subsection (1) are kept separate from those of any other applicable enterprise, business, undertaking or venture operated by the operator.
			Ministry of Health and Long Term Care, Emergency Health Services Branch, "Ambulance Service Documentation Standards" – April 2000	<a href="http://www.ambulance-transition.com/pdf_documents/standards_amb_service_documentation.pdf">http://www.ambulance-transition.com/pdf_documents/standards_amb_service_documentation.pdf</a> Reports made under this standard will be retained for a period of at least 5 years from the date of the documented event.
39	S.02	Long Term Care Resident Files	<i>Long Term Care Homes Act, 2007 O. Reg. 79/10 s.233(1)(2)</i>	233. (1) Every licensee of a long-term care home shall ensure that the record of every former resident of the home is retained by the licensee for at least 10 years after the resident is discharged from the home. (2) A record kept under subsection (1) must be kept at the home for at least the first year after the resident is discharged from the home.

40	S.04.03 S.04.08	Client Files Legislated Programs	Ministry of Community and Social Services, Ontario Works Policy Directives, #11.1 – “Delivery Standards”	<a href="http://www.mcsc.gov.on.ca/documents/en/mcsc/social/directives/ow/1101.pdf">http://www.mcsc.gov.on.ca/documents/en/mcsc/social/directives/ow/1101.pdf</a> All records relating to Ontario Works should be retained for not less than five years. The five-year period of retention applies to an applicant or recipient’s case file in total and the documentation contained in the case file. Any files or documents may be destroyed if they are inactive and date five or more years after the date the file was started. Exceptions to this rule exist
41	S.04.09	Funeral File Management	Community Services Department, Social Assistance and Employment Opportunities Policy - "Funeral File Standards and Retention Schedules"	Physical Funeral Files scheduled for destruction 1. File has been denied <ul style="list-style-type: none"> <li>• Remains with the Funerals and Recoveries CSW for 3 months</li> <li>• Forwarded to Records Management (RM) to be stored for 9 months</li> <li>• File destroyed after 12 months</li> </ul> 2. File has been fully reimbursed and Interment Rights have been released to NOK <ul style="list-style-type: none"> <li>• Forwarded to RM monthly for storage</li> <li>• File destroyed after 9 years</li> </ul> Physical Funeral Files which are a permanent record 1. File has been fully reimbursed but the Interment Rights are owned by Niagara Region <ul style="list-style-type: none"> <li>• Forwarded to RM for storage</li> </ul> 2. File has not been fully reimbursed <ul style="list-style-type: none"> <li>• Remains with Funerals and Recoveries CSW for 12 months</li> <li>• Forwarded to RM for storage</li> </ul>
42	S.06 S.07	Children’s Services Program Management Children’s Services Clients	<i>Day Nurseries Act</i> , R.R.O. 1990, Regulation 262 – “General” s.48(5)	48. (5) Every operator shall ensure that the records required to be maintained under this section with respect to a child are retained for at least two years after the discharge of the child.