

TORONTO MUNICIPAL CODE CHAPTER 219, RECORDS, CORPORATE (Local Boards)
 SCHEDULE D, TORONTO TRANSIT COMMISSION
 RECORDS RETENTION SCHEDULE

AD Functional Category: ADMINISTRATION

Records relating to administrative function of all departments such as records relating to general office information such as activity reports, executive correspondence, office administration records, associations, committee meetings, minutes, agendas, contact lists, office supplies, vendors and consultants, as well as the management of access requests under the MFIPPA legislation.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
AD-001	Access to Information and Personal Information Protection – Access Requests	Commission Services	T	5	T+5	D	Comments: T = File closed upon completion of case Legislation/Regulation: Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56 (Last amendment: 2007, c. 13, s. 45) s. 17. - Request; s. 18. - Notice of forwarding or transfer; s. 19. - Notice of decision; s. 20. - Notice of extension; s. 21. - Notice to affected person; s. 22. - Notice of refusal; s. 43. - Notice of order; s. 45. - Estimate of costs
	Records relating to the receipt and processing of access requests for TTC records and privacy complaints. Documents may include formal and informal requests for information, consultation documentation, correspondence, access decisions, fee estimates, third party notices, written appeal submissions to the Information and Privacy Commissioner of Ontario (IPC), IPC orders and decisions, and IPC compliance findings and recommendations.						

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AD-002	<p>Administrative Records - Executive Records</p> <p>Executive records are the administrative and operational records of the offices of the general manager offices. Certain positions below this level may be designated as executive records based on the nature of the office and its level of independent decision-making capability</p>	All	T	10	T+10	AR	<p>Comments: File closed at Executive's discretion</p> <p>Note: Executives will be advised that these files should not contain any original documents in their work area that are subject to a special statutory retention period.</p>
AD-003	<p>Administrative Records - Office Administration Records</p> <p>Records relating to general office administration functions and subjects not covered elsewhere. This may include daily correspondence and chronological files, staff summary sheets, monthly and annual planning calendars, monthly activity or status reports, completed request forms, mail registries or logs.</p>	All	C+2	0	C+2	D	
AD-004	<p>Associations and Organizations</p> <p>Records relating to internal and external professional associations, clubs, societies, and organizations in which the institution has membership, interest, or official capacity. Documents may include minutes of meetings, association annual reports, membership lists and registration, and correspondence.</p>	All	C+1	1	C+2	D	

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AD-005	Books/ Subscriptions/External Publications Records relating to the management of external publications such as library material used for reference purposes. Also includes the management of office subscriptions, books, and digital publications purchased by the institution. This includes subscriptions for professional newsletters, printed and electronic journals, business and news periodicals, and book orders. Subscriptions may be used for reference, research, or display purposes. Documents may include completed subscription order forms, copies of financial invoices, and correspondence.	All	S+2	0	S+2	D	
AD-006	Contact lists Listing of contacts and/or mailing lists of individuals who are employees or have dealings with the TTC. May be a database of employee contact information to be used in case of an emergency.	All	S	0	S	D	

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AD-007	Courier, Postal and Custom Services Records relating to the use of hard-copy mail and courier services by the TTC. Includes postal and mail functions with Canada Post, courier services, freight services, and customs information such as clearance and related documentation. Documents may include mailing lists, logbooks, shipment permits, mailing lists, copies of post office regulations, and reports on lost or damaged mail/courier packages.	All	C	2	C+2	D	
AD-008	Divisional Daily Activity Reports Records relating to documenting daily work activities as part of the TTC operations. This may include but not limited to transit control daily files, ticket and information clerks' files such as shifts, deposits, over/short detail, and any other activity reports that track or outline the day's work or employees' responsibilities.	All	C +1	2	C+3	D	
AD-009	Facility and Room Bookings Records relating to selecting, reserving, using and providing rooms and other facilities for meetings, seminars and other such gatherings.	All	C+1	1	C+2	D	

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Code	Records Title	Originating Office	A	I	Retention Total	Disposition	Comments/Legislation
AD-010	Meetings and Committees Records relating to meetings and committees of TTC staff that are not related to governance issues. May include regular or interim meetings held with external and internal client groups or individuals. Documents may include meeting agendas, minutes of meetings, and committee reports. Union meetings would be included. EXCLUDES: Corporate Records-Commission (GV-003);Corporate Records- Subsidiary Companies (GV-004); Council & Committee Proceedings (GV-005)	All	C+3	0	C+3	D	
AD-011	Office Supplies Records relating to the provision of office supplies and consumables, including stationery and letterhead. Documents may include completed material requisition forms, copies of purchase orders and purchase requisitions, copies of cheque requisitions, copies of supplies catalogues, and correspondence.	All	C+1	0	C+1	D	

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AD-012	Operational Reviews/Assessments Records relating to the production and use of operational reviews and/or assessing the feasibility of a new service, routes, products, etc. These are intended to provide objective and constructive assessments of such issues as customer relations, staff communications, resource management, performance measurement, hazard assessments and other topics of significant concern for the TTC. Operational reviews may range from TTC-wide reviews to reviews focused specifically on a single activity or unit. Documents include operational review reports and supporting correspondence.	All	T	7	T+7	AR	Comments: T=File closed upon termination of project.
AD-013	Planning – Annual Business Records relating to the production and use of operational plans, which clearly match the implementation of TTC's strategic plans against specific objectives. Annual business plans may include information on what activities staff has to undertake, specific time frames for each activity, and key events and issues. May range from simple timetables to complex plans. Documents may include financial spreadsheets, planning reports, work plans, service level agreements, and supporting correspondence.	All	C+3	7	C + 10	D	

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			A	I			
AD-014	Planning - Strategic	All	C+3	7	C + 10	AR	
	Records relating to strategic planning for departments, divisions, units, and overall TTC. Strategic planning is a management tool designed to assess and adjust TTC's direction and determine its visions and future objectives. Includes information on seminars, strategy planning sessions, and mission statements. Documents include objectives statements, long and short-term strategic planning reports, copies of financial statements and reports, five-year business planning notes, reports, and correspondence.						
AD-015	Policies, Procedures, Standards and Guidelines - Governance	All	S	20	S+20	AR	Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 6, Sched. 4, s. 27) s. 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.
	Records relating to the production and formal approval of official corporate statements, such as corporate policy, emergency plan, corporate security escalation plan, strike plan, environmental management manual, etc. May also include information on corporate and departmental program reviews, benchmarking and corporate performance management, and other issues related to corporate governance.						
	FOR: Engineering Design Standards SEE: Design Standards AS-005						
	Schedules and Service SEE: FUNCTION WORKS/OPERATIONS WO-006						

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Code	Records Title	Originating Office	A	I	Retention Total	Disposition	Comments/Legislation
AD-016	<p>Policies, Procedures, Standards and Guidelines – Administrative/Routine</p> <p>Records related to administrative and routine policies, procedures, directives and manuals that address internal departmental functions such as standard operating procedures.</p>	All	S+1	0	S+1	D	
AD-017	<p>Travel Arrangements</p> <p>Records relating to the arrangement and conduct of visits and travel by TTC employees and formal visitors. May include visits to, or visitors from, local, provincial, national, and international locations. Documents include travel itineraries, transportation and accommodation booking arrangements, correspondence with travel agents, hotel and airfare price lists, and documentation on individual visits and tours.</p>	All	C+2	0	C+2	D	

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AD-018	<p>Vendors, Suppliers and Consultants</p> <p>Records relating to reference information discussing the various products and services offered by external , contractors, vendors, and supply companies. Documents may include company brochures, supply catalogues, vendor announcements, external press releases, vendor price lists, vendor profiles and supporting correspondence.</p> <p>Excludes: LEGAL/Licensing: Contracts and agreements (LL005) FINANCE: Purchasing of goods and services (FM-028)</p>	All	C+2	0	C+2	D	
AD-019	<p>Workplace Space Planning and Moves</p> <p>Records relating to determining workplace space requirements, planning and implementing moves of office equipment and employees to different locations, and designing and implementing workplace consolidation initiatives. May include information relating to space allocation, tenancy expiry, and corporate organizational moves. Documents may include reports and statistics concerned with current and future space accommodation requirements, expansion plans, space inventories, move schedules, floor plans for all move stages, detailed needs analyses of client groups impacted by moves, copies of committee minutes and agendas, and all supporting correspondence.</p>	Engineering, Construction & Expansion	S	5	S+5	D	

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AD-020	<p>Investigations into Privacy Complaints & Breaches</p> <p>Records relating to formal and informal privacy complaints and breach investigations. Privacy Complaint - The Act creates a privacy protection scheme which the TTC must follow to protect an individual's right to privacy. The scheme includes rules regarding the collection, retention, use, disclosure and disposal of personal information in its custody or control. A Privacy Breach - occurs when personal information is collected, used, disclosed and or destroyed in ways that are not in accordance with the privacy provisions of the Municipal Freedom of Information and Protection of Privacy Act or the Personal Health Information Protection Act. Documents may include complaint correspondence, submissions to the Information Privacy Commission, investigation reports, briefing notes, recommendations, and interview documents.</p>	Commission Services	T	15	T+15	D	<p>Comments: File closed upon completion of case.</p> <p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 6, Sched. 4, s. 27) s. 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.</p> <p>Municipal Freedom of Information and Protection of Privacy Act, (General) R.R.O. 1990, Reg. 823 (Last amendment: O. Reg. 47/12)</p> <p>Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56 (Last amendment: 2007, c. 13, s. 45) PART II - Protection of Individual Privacy</p>

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AD-021	<p>Access & Privacy Consultations</p> <p>Records relating to advice and recommendations by CSO to program areas to ensure compliance with MFIPPA and PHIPA legislation. Contains many consultation subject areas, may contain personal information and legal opinions. Each case is defined by the department requesting advice. The case is closed when advice is provided by CSO.</p>	Commission Services	T+15	0	T+15	D	<p>Comments: File closed upon completion of case.</p> <p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 6, Sched. 4, s. 27) s. 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.</p> <p>Municipal Freedom of Information and Protection of Privacy Act, (General) R.R.O. 1990, Reg. 823 (Last amendment: O. Reg. 47/12)</p> <p>Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56 (Last amendment: 2007, c. 13, s. 45) PART II - Protection of Individual Privacy</p>

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AD-022	<p>Access to Information Request - Appeals</p> <p>Records relating to the processing of request appeals under MFIPPA and PHIPA. Request appeal status may be tracked electronically by unique request identification number. Copies of appeals documentations are filed in paper format, arranged by their respective request number. Documents include access request forms and supporting documentation, copies of responsive records, decision letters, Mediator's report, Notice of enquiry, appeals representations, IPC Order and all supporting correspondence.</p>	Commission Services	T	15	T+15	D	<p>Comments: Conclusion of appeal process.</p> <p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 6, Sched. 4, s. 27) s. 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.</p>

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AS Functional Category: Assets and Property/Equipment Management/Maintenance

Description: Records relating to the engineering design and development, construction, renovation, operation, and maintenance of TTC’s physical assets and property and equipment, which it owns or leases and the associated professional standards, drawings and specifications. This may include buildings, facilities, lands, vehicles, uniforms and any other assets that must be maintained according to legislation and best practices.

Code	Records Title	Originating Office	Retention			Disposition	Comments/Legislation
			A	I	Total		
AS-001	<p>Building Operation and Maintenance</p> <p>Records relating to the monitoring and scheduling of condition and maintenance of building structures, subways and systems. Consists also of monitoring and maintaining components forming part of the property systems in accordance with manufacturer’s recommendations, industry standards, legislated requirements and best practices. Property systems may include (but not limited to): heating and cooling system (incl. chillers HVAC, compressors, cooling towers, boilers), elevating devices, electrical wiring, plumbing, fire alarm, emergency backup (especially. power generation), etc. Records may include maintenance manuals, technical reports, technical bulletins, prototype notices and building and equipment operating manuals for the maintenance of the equipment.</p>	Operations	T+2	5	T+7	D	<p>Comments: T = File closed after the site has been decommissioned</p>

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Code	Records Title	Originating Office	Retention			Disposition	Comments/Legislation
			A	I	Total		
AS-002	Construction and Renovation						
	Records relating to construction and renovation of TTC buildings and all subway locations including works for the City and other 3 rd parties. Documents may include specifications, reports, commentary, guidelines, architectural and engineering drawings, consultant reports, land appraisals, photographs, material and environment testing reports, and building phase reports. May also include copies of contracts, building permits, and insurance damage claims and drawing release letters.	Operations	T	20	T+20	AR	Comments: T = File closed after the site has been decommissioned
	Excludes: LEGAL: Permits – Building permits and Inspections (LL-013) LEGAL: Contracts and agreements (LL-005) LEGAL: Claims (LL-002, LL-003)	Engineering, Construction & Expansion					Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 16, Sched. 4, s. 27) s. 15. (2) - No proceeding shall be commenced in respect of any claim after the 15 th anniversary of the day on which the act or omission on which the claim is based took place.
AS-003	Engineering Development and Planning						
	Records relating to the development and planning of engineering projects. This includes projects undertaken both by TTC, the City and private sector organizations. Includes copies of site specific engineering drawings, engineering proposals, application reviews, copies of agreements and contracts, and engineering and special studies.	Engineering, Construction & Expansion	T+2	5	T+7	AR	Comments: T = File closed after the site has been decommissioned

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			A	I	Total		
AS-004	Engineering Design Development Documentation Records related to the engineering design development of a specific project/contract. May include field notes and drawings for property survey; in-house and consultant engineering reports; development review records; design notes; utilities identification reports; design documentation; and cost estimates. FOR: Utility Applications and Plans SEE: WO-010	All	T+2	5	T+7	AR	Comments: T = File closed after the site has been decommissioned
AS-005	Design Standards Records relating to engineering design standards for TTC infrastructures.	Engineering, Construction & Expansion	T+2	P	P	P	
AS-006	Employee Uniforms Records relating to the management, evolution and inventory control of special, safety, protective, and required clothing and footwear for TTC employees. This includes information on designated uniforms for operators, supervisors, inspectors, security, cleaning staff, labourers and other unionized and non-union workers and TTC summer staff. Documents may include clothing specification sheets, order tracking reports, complaints, copies of purchase orders, copies of invoices, and correspondence. Equipment and Operating Manuals SEE: Building Operation and Maintenance (AS-001)	Human Resources	C+1	1	C+2	D	
AS-007	Inventory Management - Surplus Assets Declaration for surplus assets, sales delivery slips authorization for surplus material sold.	Materials & Procurement	C+1	6	C+7	D	

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	Inventory Management – Stock Codes/Material Requisitions	Materials & Procurement	S	0	S	S	
	Inventory requests for the creation of stock codes.						
	FOR: RFPs and Tenders SEE: FINANCIAL MANAGEMENT – Purchasing of Goods and Services (FM-028)						
AS-008	Property Design Planning	Operations	C+2	17	C+20	AR	Comments: T = File closed after the site has been decommissioned
	Records relating to internal initiatives intended to ensure effective construction and renovation of TTC property, including buildings and other structures, through analysis of, and compliance with, all issues that may affect the actual work. This is performed prior to the construction or renovation work actually being undertaken. May include information on floor load capacity, space planning, need for ventilation, and other design requirements. Documents may include project proposals, structural investigation reports, feasibility studies, preventative maintenance studies, technical and development reviews, noise and signage studies, safety plans or studies, consultant selection criteria, staffing layout plans, detailed needs analysis reports, and copies of capital budget statements.	Engineering, Construction & Expansion					Legislation/Regulation: Planning Act, R.S.O. 1990, c. P.13 (Last amendment: 2011, c. 6, Sched. 2) s. 41. (4) approval of proposed plans, drawings and designs
		Property Development					
	Excludes: LEGAL: Permits – Building permits and Inspections (LL-013) LEGAL: Contracts and agreements (LL-005) LEGAL: Claims (LL-002, LL-003)						

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AS-009	Project Management – Non Construction	All	T +1	9	T+10	D	T= completion of project
	Records relating to the collection, usage, and maintenance of documentation concerned with the effective management and control of all corporate and system-wide projects conducted by and/or for the TTC. May include information relating to project status reporting, planning and estimating, progress tracking, quality assurance, and contingencies. Documents may include copies of requests for proposals and purchase orders, vendor timesheets, copies of organizational charts, copies of vendor catalogues, copies of presentations, memorandums, project control books, and all supporting correspondence.						10 years after file closed upon project successfully completed or prematurely cancelled and no more documents are added to the file (i.e., at end of project closure phase) then destroyed, subject to archival review
	Excludes: Environmental assessments (EV-005) Work orders (WO-013) Timesheets for TTC staff – Attendance & Scheduling (OARS) (FM-005) LEGAL: Contracts and agreements (LL-005)						

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AS-010	<p>Property /Equipment Maintenance and Inspection Reporting</p> <p>Records relating to the ongoing and scheduled maintenance and inspections of TTC buildings, property and vehicle components such as brakes, new wheels, decals, farebox etc. May include information on building, station, escalator, elevator inspections, yearly inspection of physical security measures and janitorial services. Documents may include inspection reports including those after a patron injury, call reports for elevator stoppages, preventive maintenance reports, Technical Standards and Safety Authority (TSSA) corrective repairs, inspection test and record logbooks, maintenance logs, deficiency reports, copies of work orders, copies of contracts and supporting agreements, and correspondence.</p> <p>See also: Building Operation and Maintenance</p> <p>Excludes:</p> <p>Work Orders (WO-013) Contracts and agreements (LL-005)</p>	Operations	T	20	T+20	D	<p>T = inspection date</p> <p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 16, Sched. 4, s. 27) s. 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.</p> <p>TSSA – technical standards and safety authority</p>

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AS-011	<p>Public Art & Art in Public Transit Facilities</p> <p>Records relating to public art which is owned and displayed by the TTC and/or exists on TTC property or in public transit facilities. Art may include paintings, etchings, pictures, tapestries, statuarities, memorial and monument artworks, and other works of art with artistic and/or historical value. May include information relating to artists, designers, competition judges, and the acquisition of art via donations or commissions. Documents may include inventories of public and transit facilities art collections, photographs relating to the inventory, conservation reports, copies of agreements and contracts, and correspondence.</p>	<p>Engineering, Construction & Expansion</p> <p>Commission Services</p>	C+2	P	P	AR	
AS-012	<p>Recordings - Security Audio Recordings – Grounds</p> <p>Recordings relating to security surveillance TTC locations including audio recordings of incoming calls to TTC Security. Audio tapes will be re-used within a specified time period except where a recording, documenting a particular incident, is retained for law enforcement purposes.</p> <p>If the recording is downloaded to document a particular incident for law enforcement purposes, it is then retained for claims management.</p>	Transit Enforcement	24hrs	0	24hrs	D	<p>Comments:</p> <p>Applies to audio recordings except those retained for law enforcement purposes.</p> <p>T= file closed upon resolution</p>
			T+3 years	0	T+3 years		

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Code	Records Title	Originating Office	Retention			Disposition	Comments/Legislation
			A	I	Total		
AS-013	Recordings - Security Closed Circuit Recordings	Transit Enforcement	15hrs	0	15hrs	D	Streetcar or Bus Surface Vehicles
	Closed- circuit television recordings made at designated locations such as surface vehicles, TTC property, etc. In each case, recording mediums (VHS tapes, DVDs, CDs, audio tapes, etc) will be re-used within a specified time period.		72hrs	0	72hrs	D	Subway Vehicle and Subway System
			7 days	0	7 days	D	Wheel Trans Vehicles
	If the recording is downloaded to document a particular incident for law enforcement purposes, it is then retained for claims management.		C+3 years	0	C +3 years	D	T= file closed upon resolution
							Applies to all recording mediums used with a closed circuit system (VHS, CD, DVD) except those retained for law enforcement purposes.
							ONTARIO PRIVACY COMMISSIONER- "Privacy and Video Surveillance in Mass Transit Systems: A Special Investigation Report".
AS-014	Recordings – Carhouse Transmission Audio Recordings	Operations	C+1	0	C+1	D	
	The intended purpose is to ensure the strict radio protocol adherence to carhouse transmissions for car houses.						

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Code	Records Title	Originating Office	Retention			Disposition	Comments/Legislation
			A	I	Total		
AS-015	Security and First Aid Records relating to the physical security of TTC buildings, properties, and facilities. Security measures are intended to guard against damage and unauthorized intrusion and to ensure personal safety. May include information on identification tags, security and alarm systems, authorized use of keys and access cards, first aid treatment as administered by transit enforcement and security services personnel and employee evacuations. Documents may include security clearance files, security logs & security user guide books.	Transit Enforcement	C+2	4	C+6	D	
AS-016	Security Investigation Records Records relating to audio tapes and closed-circuit television recordings documenting particular incidents and retained for law enforcement purposes. Also includes all other evidence documenting an incident including notes, memo books, photos , security threat assessments reports, written request to review audio or closed –circuit recordings and requests by Toronto Police Services to remove a recording for law enforcement purposes.	Transit Enforcement	T	20	T +20	D	Recordings retained for law enforcement purposes. File closed at termination of investigation.
AS-017	Wheel Trans Customer Files Records relating to information of Wheel Trans customers. Documents include customer applications, approvals and rejections, audits, medical history, etc.	Operations	T	3	T+3	D	Comments: T = termination of service

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CO Functional Category: Communications, Promotion and External Relations

Description: The function of providing internal/external publications and communications including advice, and implementation of communication strategies that support business objectives, advertising of TTC products, services and events and the liaison activities with external groups. Includes all corporate communications, publications, media releases, executive speeches, web site, events, advertising and promotion of those events. Records relating to events planning and support, film production, inquiries and complaints, market research, news releases and media relations.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
CO-001	Customer Information and Programs Records relating to implementation of communication strategies that support customer information programs and initiatives such as Ride Guide, PoleCards, Maps, etc.	Strategy & Customer Experience	C+5	5	C+10	D	
CO-002	Exhibits Records relating to all aspects of planning and mounting exhibits. Documents may include research notes, information on design, layout, implementation, and promotions of exhibits, lists of didactics and labels, correspondence, copies of exhibit materials, photographs of exhibits, information about supplies, information relating to exhibit openings, educational programming materials, brochures and/or posters, press releases, and copies of exhibit reviews.	All	T+1	10	T+11	AR	Comments: File closed upon completion or closure of exhibit.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
CO-003	<p>Film Productions</p> <p>Records relating to the production of individual films for or at TTC locations, which may include commercials, music videos, television programs, movies, and all other film production initiatives. May include information relating to filming locations, production companies and/or individuals, and types and subject content of film productions. Documents may include crew lists, production filming schedules, film permit applications, scripts, film listing logs, copies of film permits and supporting documentation.</p>	Strategy & Customer Experience	C+2	8	C+10	D	Legislation/Regulation: Municipal Code Chapter 459, Filming
CO-004	<p>Inquiries, Complaints and Commendations</p> <p>Includes records regarding general inquiries, suggestions, complaints and commendations regarding TTC service or operations including complaints and commendations regarding operators, collectors, fare or service. Also includes inquiries from councillors, concerns about the services provided by the TTC and responses to these inquiries.</p>	Strategy & Customer Experience	C+1	1	C+2	D	
CO-005	<p>Market Research</p> <p>Records relating to the development and administration of market research initiatives. Market research is conducted to obtain information about the needs and wants of TTC customers with the aim being to ensure high-quality services. Documents may include correspondence, questionnaires, surveys, market research reports, memoranda, and other supporting documentation.</p>	Strategy & Customer Experience	T	3	T+3	AR	Comments: File closed upon completion of project.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
CO-006	<p>Marketing Communications, Advertising and Promotion, and Programs</p> <p>Records relating to implementation of communication strategies that support business objectives, advertising of TTC products, services and events and the liaison activities with external groups. Includes all brochures, web site, events, advertising and promotion of those events.</p>	Strategy & Customer Experience	C+5	5	C+10	D	
CO-007	<p>Media Relations</p> <p>Records relating to the promotion of the TTC through fostering positive and ongoing relationships with local, provincial, national, and international news media. Includes information on print, radio, television, and other types of news reporting. May also include information on media promotion projects. Documents may include media contact lists, lists of standard media interview questions, and correspondence.</p>	Corporate Communications	C+2	4	C+6	D	
CO-008	<p>Official Photos & Other Media</p> <p>Official photographs of TTC events, milestones, official openings, TTC staff, etc and associated media such as CDs DVDs, Video, etc that documents TTC history and achievements.</p>	<p>Corporate Communications</p> <p>Strategy & Customer Experience</p>	C+2	4	C+6	AR	
CO-009	<p>Official Statements/Corporate Publications</p> <p>Records relating to the development and production of media releases, official statements announcements and corporate publications by the TTC. Includes corporate publications like the Coupler and Branch and Corporate notices. Documents may also include supporting correspondence and memoranda.</p>	Corporate Communications	C+2	4	C+6	AR	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
CO-010	<p>Promotional Support by TTC of City of Toronto Events and Tourism - External</p> <p>Records relating to the promotional support provided by the TTC for externally-produced cultural, communities, City of Toronto and Tourism Toronto special events. May include, parades, and festivals. TTC support is in the form of promoting transit to large city events electronically in printed materials</p>	Strategy & Customer Experience	C+5	0	C+5	D	
CO-011	<p>Special Events Planning and Programming</p> <p>Records relating to the planning and programming of TTC corporate events and events such as, Doors Open, Subway Musicians program, etc. May include information on logistics on organizing various TTC special events. Documents may include event plans and memoranda, contact lists, event schedules, information kits, lists of volunteer requirements, safety and crowd control reports and correspondence. TTC may assist external organizations to hold events on TTC property (subway stations, etc.) Support provided by the TTC may include providing information and approval to hold event on TTC property.</p>	Strategy & Customer Experience	C+5	0	C+5	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
CO-012	Trade Shows Records relating to the planning of, and participation in, trade shows, which are exhibitions held for members of a common or related industry or profession. This includes trade shows organized and presented by either the TTC or external agencies. May include information relating to exhibit layout and design, TTC employee participation, registration, and event production. Documents may include copies of public relations packages, attendance lists, copies of supply lists, copies of catering requests and forms, invitation lists, brochures, copies of press releases, posters, explanatory labels for exhibit items, copies of research notes, and supporting correspondence.	All	C+2	4	C+6	D	
CO-013	TTC Support Person Assistance Card Program Records relating to applications for the TTC's Support Person Assistance Card Program.	Strategy & Customer Experience	C	5	C+5	D	

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EV **Functional Category: Environment, Safety & Sustainable Resources** Records relating to environmental services and the safety of our environment. Records include the assessment, preservation and conservation of not only the natural environment, natural life forms and natural resources but also the physical working environment of staff to reduce stress and remain healthy. Includes records on environmental approvals and compliance, fire safety, ergonomics, air and water records, pollution, conservation and energy efficiency, pollution, hazardous materials and waste recycling.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-001	Air Quality Records relating to the monitoring of indoor and outdoor air quality. Includes information on emissions such as smog, aerosols, asbestos, ozone, particulates, and toxic airborne substances. Documents include copies of air quality standards and guidelines, copies of announcements and warnings, brochures, complaints, and inquiries.	Safety Engineering, Construction & Expansion	T	7	T+7	D	Comments: T = File closed upon completion of report or investigation of case. Legislation/Regulation: Environmental Protection Act Regulations (Airborne Contaminant Discharge Monitoring and Reporting), O. Reg. 127/01, amended by: O. Reg. 196/01 - copy of report and any records are kept for at least seven years after the day the report submitted and any other record required prepared under this Regulation is kept for at least seven years after the day the record is required to be prepared.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-002	<p>Conservation Studies</p> <p>Records relating to studies and reports which discuss the conservation and preservation of the natural environment. This includes information on all ecological issues relating to conservation, including soil, water, wildlife, and vegetation.</p>	Safety	T	7	T+7	AR	<p>Comments: File closed upon termination of study.</p> <p>Legislation/Regulation: Lakes and Rivers Improvement Act, R.S.O. c. L. 13 (Last amendment: 2012, c. 8, Sched. 26)</p> <p>s. 21. - All plans, orders and reports shall be kept on file.</p> <p>Environmental Protection Act Regulation (Records of Site Condition) O. Reg. 153/05 – PART XV.1 OF THE ACT (Last amendment: O. Reg. 269/11)</p> <p>s. 18. (1) (Retention and storage of reports) - 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.</p>
EV-003	<p>Energy Efficiency</p> <p>Records relating to the conservation and efficient use of heat, electricity, and other natural resources. May include information on solar energy, geothermal energy, wind energy, and energy-efficient appliances. Documents include educational materials, reports and studies, and correspondence.</p>	All	S	7	S+7	AR	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-004	Environmental Applications and Approvals	All	T+2	T+5	T+7	D	T = approval of application
	Any facility that releases emissions to the atmosphere, discharges contaminants to ground or surface water, provides potable water supplies, or stores, transports or disposes of waste, must have a Certificate of Approval from the Ministry of the Environment (MOE) before it can operate lawfully. It is the responsibility of owners and operators of these facilities to apply for and obtain Certificates of Approval. Records include applications and approvals for air and noise, waste disposal site approvals, waste management system approvals, sewage work approvals, municipal and non-municipal drinking water approvals. Toronto and Region Conservation Authority (TRCA) applications and requirements are included within this series.						Legislation/Regulation: Environmental Assessment Act, R.S.O. 1990, c. E. 18, ss 30(1), maintain a record for every undertaking in respect of which an application is submitted
	Approvals from all other federal, provincial or municipal governments would be included here.						

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-005	<p>Environmental Assessments</p> <p>Records relating to studies of environmental issues and impacts. These assessments are required by legislation and are responsible for determining the state of the current environment and the impacts that development activities might have on it. Includes information relating to transit infrastructure expansion, water, air, and other environmental issues. Documents include special studies such as diesel emissions and reports, environment planning documents, engineering plans, and correspondence.</p> <p>FOR: Soil/Geotechnical reports SEE: EV-014</p>	All	T	7	T+7	AR	<p>Comments: T = File closed upon completion of assessment</p> <p>Legislation/Regulation: Environmental Assessment Act R.S.O. 1990, c. E.18 (Last amendment: 2010, c. 16, Sched. 7, s. 1) s. 30. (1) - maintain a record for every undertaking in respect of which an application is submitted.</p>
EV-006	<p>Ergonomics</p> <p>Records relating to identifying and analyzing workplace design issues on TTC owned or leased premises, so as to create a safe workplace environment that maximizes employee physical and psychological comfort and productivity. May include information on placement of office furniture, artwork, plants, chairs, and equipment such as farebox handling, brake pedal forces, etc; ergonomic risk factors; and acquisition of suitable tools, machines, and systems. Documents may include completed ergonomic assessment forms, completed ergonomic consultation forms, reports and recommendations concerning routine workplace improvements, ergonomic evaluation statements, copies of quotation requests and service requests, and all supporting correspondence.</p>	Safety	C+2	5	C+7	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-007	Fire Emergency Incident Reports Records containing incident date, event times, vehicles assigned, and any other pertinent information involved at the incident. This report is completed for all responses by Fire and Ambulance Services to incidents.	Safety	T+5	2	T+7	D	T = File to remain active until resolution/closure of case. Legislation/Regulation: City of Toronto Municipal Code Chapter 79, Fire Services § 79-7. Reporting § 79-8. (8) For keeping an accurate record, in convenient form for reference, of all fires, rescues and emergencies responded to by the Fire Department § 79-20. Responding to rescues and emergencies.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-008	<p>Fire Prevention Inspection Reports</p> <p>Records relating to both routine and requested inspections of buildings and properties in order to assess compliance with mandated fire safety provisions. This reporting involves making observations, documenting the existence of any fire safety violations, and reporting on what must be performed in order to ensure compliance with fire safety provisions. Documents may include completed inspection referral forms, testing and inspection reports, and all supporting correspondence.</p>	Safety	T+3	18	T+21	D	<p>Comments:</p> <p>T=completion of inspection, with any violations and outstanding issues fully resolved.</p> <p>Legislation/Regulation: City of Toronto Municipal Code Chapter 79, Fire Services §79-18 - Inspection of premises and by-law enforcement.</p> <p>Fire Protection and Prevention Act, 1997, Regulation (Fire Code) O. Reg. 213/70 (Last amendment: O. Reg. 150/13. s.1.1.2.1 (3) - records shall be retained for a period of at least two years after being prepared.</p> <p>Fire Protection and Prevention Act, S.O. 1997 Inspections (Last amendment: 2011, c. 13) PART VI Inspections 19. (9) - Copy of a document that purports to be certified by an inspector as being a true copy of the original is admissible in evidence to the same extent as the original and has the same evidentiary value.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-009	<p>Fire Safety Planning</p> <p>Records relating to documenting the planning and preparation necessary so that individual buildings will comply with required fire safety provisions. May include information relating to firefighting equipment locations within buildings, fire alarm systems, locations of exits and staircases, evacuation and emergency guidelines, names of emergency contact personnel, vehicle access to the respective building, locations of elevators, owner responsibilities, and firefighting equipment inspection and maintenance. Documents include fire safety plan reports, self compliance surveys, risk assessments and all supporting correspondence.</p>	Safety	S	15	S+15	D	<p>Comments: S = Approval of an updated fire safety plan.</p> <p>Legislation/Regulation: Fire Protection and Prevention Act, 1997, Regulation (Fire Code) O. Reg. 213/07 (Last amendment: O. Reg. 150/13. Section 2.8. Emergency Planning.</p>
EV-010	<p>Ground Pollution</p> <p>Records relating to ground pollution as a result of chemical spills, and industrial waste disposal. This includes the contamination of soil, surface water, and underground water. Also includes information on treatment initiatives to minimize or eliminate the effects of ground pollution. Includes complaints, reports and studies, newspaper clippings, and correspondence.</p>	All	C+2	7	C+9	AR	<p>Comments: T = after the date the record of site condition listing the report is filed in the MOE.</p> <p>Legislation/Regulation: Environmental Protection Act 1990 Regulations (Records Of Site Condition - PART XV.1 Of The Act), O. Reg.153/04, 04 (Last amendment: O. Reg. 269/11) s. 18. (1) (Retention and storage of reports) - 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.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-011	<p>Hazardous Materials</p> <p>Records relating to the storage, transportation, and handling of hazardous materials. Hazardous materials are any substance or material which may result in health injuries, destruction of life and environmental conditions, and facility damage. This includes toxic, flammable, corrosive, and explosive materials. Documents include disposal instructions, health and safety measures documentation, hazard assessment reports, and recommendations, and correspondence.</p>	All	T	2	T+2	AR	<p>Comments: T= File closed upon completion of statistical reporting</p> <p>Legislation/Regulation: Environmental Protection Act Regulations (General - Waste Management), R.R.O. 1990. Reg. 347 (Last amendment: O. Reg. 348/12) s. 16. (5) (c) - The operator of a waste management system for hauled sewage shall keep the daily records for a period of at least two years after the calendar year to which the records relate.</p>
EV-012	<p>Hazardous Wastes</p> <p>Records relating to the collection and processing of hazardous wastes that pose a health and safety hazard, such as paint, batteries, antifreeze, and adhesives. May include information brochures, collection schedules and collection reporting statistics.</p>	Safety	C+4	0	C+4	D	<p>Legislation/Regulation: Environmental Protection Act Regulations (Recycling and Composting of Municipal Waste), O. Reg. 101/94, s 10, 15, 23, 25, 31 - .</p>
EV-013	<p>Pollution</p> <p>Records relating to issues and initiatives concerning multiple types of pollution, including soil, water, air and noise. These records are used for reference purposes. Includes reports, studies, correspondence, and newspaper clippings.</p>	Safety	C+6	0	C+6	D	<p>Legislation/Regulations: Municipal Code Chapter 681, Sewers.</p>
EV-014	<p>Soil/Geotechnical Reports</p> <p>Records include geotechnical and soil reports.</p>	Engineering, Construction & Expansion	T+3	P	P	P	<p>T= termination of project/contract</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-015	Waste Recycling	Operations	C+6		C+6	D	
	Records relating to the reduction, reuse, recycling or diversion of solid and liquid waste materials. Includes the recycling of newspapers, cardboard, other curb side materials, automobile tires, white goods, scrap metal, and soil. Documents may include copies of committee minutes and agendas, copies of recycling contracts, copies of public brochures and promotional materials, and lists of recyclable versus non-recyclable materials.	Safety					

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-016	Water Quality Testing Records relating to the testing, control, and monitoring of drinking water quality. Water quality testing is undertaken to determine the types and quantities of contaminants in drinking water, such as lead and bacteria. Includes copies of policies and procedures, water testing results reports, water quality monitoring reports, complaints, and inquiries.	Safety	T	16	T+16	D	Comments: T = File closed upon completion of inspection and statistical reporting. Legislation/Regulation: Safe Drinking Water Act Regulations (Drinking-Water Systems), O. Reg. 170/03 (Last amendment: O. Reg. 420/12) s. 13. (3) - owner of a drinking-water system shall ensure that documents and records are kept for at least 15 years.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
EV-017	Weed Control Records relating to the control of weeds, for aesthetic and safety reasons and to protect the land's native biodiversity from invasive plant species. Methods of weed control may include fire, spraying, uprooting, and mowing. Includes weed complaints, destruction work orders, and charges for failure to control weeds in compliance with regulations and legislation.	Operations Safety	C+2	4	C +6	D	Legislation/Regulation: Weed Control Act, R.S.O. 1990, c. W.5 (Last amendment: 2009, c. 33, Sched. 1, s. 27) s. 15. - Record of expenses of weed inspector. Pesticides Act Regulations, (General), O. Reg. 63/09 (Last amendment: O. Reg. 42/13) s. 62. 2. 4 (Indoor fumigations under coverings or inside sealed containers) - keep the record for a period of at least two years after the fumigation is complete; s. 65. (2) (c) (Outdoor fumigations of soil) - keep the record for at least two years after the fumigation is complete; s. 73. (4) (Aerial application, land) - keep the record for a period of at least two years after the extermination is complete; s. 85. (3) (Aerial application, water) - keep the record for a period of at least two years after the extermination is complete.

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FM Functional Category: Financial Management

Description: Records relating to finances and accounting processes at the TTC and its subsidiaries, including the receipt, control, and expenditure of funds. Includes records relating to liability, risk management, payroll, taxation, treasury, purchasing, budgeting and financial reporting.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-001	Annual Reports Records relating to internally-produced annual reports concerning the TTC's annual and long-term goals, as well as financial and other reporting data. These reports describe activities and results over the past year in reference. They discuss management findings and analysis, financial statements, independent auditing results, financial highlights, and other related financial and management information. May also include interim reports such as TTC and EAC Consolidated Year-end reports, Work Order Closing – TTC – Year-end.	Finance	C+2	P	P	P	
FM-002	Accounting and Finance Administration Records relating to the overall management of TTC's financial and accounting functions and processes. May include information on accounting systems, workflow reports and diagrams, chart of accounts, financial signing authority, copies of federal and provincial guidelines and compliance requirements, and correspondence. Work Order accounts, approvals, Accounts Data base Listing – TTC and EAC Consolidated Project Reports/Year-end TTC (after work order closing).	Finance	Current year	7	C+7	D	Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable accounts and vouchers to verify information to be kept six years from end of last tax year to which they relate. City of Toronto Act, 2006, s.138 (Municipal Act, S. O. 2001, c. 25, s. 286) - receipts for money payable to the municipality.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-003	<p>Accounts Payable</p> <p>Records relating to the processing of payments made by TTC to external suppliers of goods and services. May include information on advance payments of expenses. Source documents initiating payments include vendor invoices, receipts such as returns of fare media, payment certificates, cheque requisitions, and miscellaneous transaction data. May also include accounts payable control reports and payment vouchers and ticket sales payables to tenant carriers. May include information on the administration and receipt of refunds and credits/credit notes received from vendors for return of materials/products.</p>	Finance	C+1	6	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>Electronic Commerce Act, 2000, S.O. 2000, c. 17 (Last amendment: 2013, c. 2, Sched. 5) s. 12. - Legal requirement to retain a document satisfied by the retention of certain electronic documents.</p> <p>Canada Evidence Act, R.S.C., 1985, c. C-5 (Last amended on October 5, 2012) s. 30. (1) a record made in the usual and ordinary course of business that contains information in respect of that matter is admissible in evidence under this section in the legal proceeding on production of the record.</p>

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FM-004	<p>Accounts Receivable</p> <p>Records relating to revenues received by the TTC through the sale of goods or services rendered including point of sale, Metropass Discount Plan, etc. This includes revenues generated from charging parking, permits and other fees. May include information on the administration and receipt of refunds and credits/credit notes received from vendors for return of materials/products. Documents may include hand-written and machine-readable receipts, payment balancing stubs, invoices documenting the receipt of payment from customers, accounts receivable and revenue reconciliation statements, copies of cheques, payment batch reports, cash reports, Rental & Service Agreements, Rental & Service Order Forms and all supporting correspondence.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4)(b) - Every person required to keep records and books of account shall retain, 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>City of Toronto Act, S.O. 2006, c.11 (Last amendment: 2011, c. 9, Sched. 41, s. 2) s. 138. (1) (a) - collecting money payable to the City and issuing receipts for those payments.</p>

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FM-005	<p>Attendance and Scheduling (OARS) Records relating to the attendance and scheduling for TTC employees. These records document an employee's hours of work, overtime hours, lieu time, vacation time, statutory holidays, sick leave and other related correspondence. The media format for these records is paper and electronic. These reports are kept as part of the official record collection in Pay Period Processing (FM-022). Documents may include vacation requests, attendance registers, shift schedules, notes for extended leave, time sheets, crew cards and all supporting correspondence.</p> <p>FOR: Master Payroll Records SEE: FM-021 Pay Period Processing</p>	All	C+3	0	C+3	D	Legislation/Regulation: Employment Standards Act, S.O. 2000, c.41, (Last amendment 2011, c. 1, Sched. 7 s. 1) s. 15. (5) The employer shall retain the records of the information required for the following periods: 3. - three years after the day or week to which the information relates; 4. - three years after the information was given to the employee

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-006	<p>AUDITS: SEE GOVERNANCE – Audits (GV-002)</p> <p>Bank Statements and Reconciliations</p> <p>Records relating to the receipt and use of bank statements and reconciliations. Bank statements provide information on withdrawals from, and deposits into, bank accounts over a given period of time, and they also indicate a bank account's current financial status. Reconciliations compare the balance of a bank account in TTC records with the balance appearing in the banks' records and explain any discrepancies. Documents also include transfers, notices of stop payments returned/cancelled cheques, copies of financial policies and procedures, and correspondence.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013)</p> <p>s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-007	<p>Budget –Capital (TTC, Wheel-Trans)</p> <p>Records relating to the management and administration of the capital budget account. The Five-year capital budget controls the allocation and appropriation of funds planned to be expended for capital items in a given fiscal year. Capital budgeting is necessary to construct or acquire fixed assets for the TTC. Documents may include budget submissions, contractor and hard costs data, and internal chargeback costs directives.</p>	Finance	T	7	T+7	AR	<p>Comments: T = File closed from end of the last year in which the capital project budget is expended.</p> <p>Legislation/Regulation: City of Toronto Act, S.O. 2006 c.11, Sched. A (Last amendment 2011, c. 9, Sched. 41, s. 2) s. 228. - The City shall in the year or the immediately preceding year prepare and adopt a budget including estimates of all sums required during the year for the purposes of the City.</p> <p>City of Toronto Municipal Code Chapter 71, Article II, Budgets, § 71-7 Capital Budget (section last amendment: City of Toronto By-law No. 331-2005).</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-008	<p>Budget – Operating</p> <p>Records relating to the management and administration of the operating budget accounts. The operating budget concerns the allocation and appropriation of funds necessary to finance all operating expenses for a fiscal year, for all TTC departments and offices. Operating expenditures are used during a particular period directly in support of daily operations, such as wages, office supplies, and maintenance costs. Includes copies of budget process procedures, directives, variance reports, expenditure forecasts and reports, and budget submissions.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: City of Toronto Act, S.O. 2006 c.11, Sched. A (Last amendment; 2011, c. 9, Sched. 41, s. 2) s. 228. - The City shall in the year or the immediately preceding year prepare and adopt a budget including estimates of all sums required during the year for the purposes of the City.</p> <p>City of Toronto Municipal Code Chapter 71, Financial Control, Article II, Budgets, § 71-6. Operating Budget (section last amendment: City of Toronto By-law No. 1405-2007).</p>
FM-009	<p>Budget- Subsidiaries</p> <p>Records relating to the budgets and monitoring of budgets for subsidiary companies, and external entities such as Toronto Coach Terminal Inc.(TTCI), , Toronto Transit Infrastructure Ltd. (TTIL), and Toronto Transit Commission Insurance Company Ltd (TTCICL).</p>	Finance	C+2	8	C+10	D	<p>Legislation/Regulation: City of Toronto Act, 2006.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-010	<p>Capital Assets</p> <p>Records relating to TTC capital and fixed assets, which are long-term assets that are not purchased or sold in the normal course of business. Also includes records with respect to declaring a property surplus to TTC requirements. May include information on capital assets such as machinery, land and land improvements, equipment, works of art and historical treasures, infrastructure, and vehicles. Documents include capital assets inventories, capital depreciation statements, capital asset reports and capital acquisition project summary.</p>	Finance	T	7	T+7	AR	<p>Comments: T= Life of Asset</p> <p>Legislation/Regulation: Municipal Affairs Act, R.S.O. 1990, c. M.46 (Last amendment 2009, c.33, Sched. 6, s. 73) s. 3. (c) - Municipal Audit of accounts, registers, records, vouchers, receipts and other books and documents relating to the assets, liabilities, revenues, expenditures, funds and money of municipalities and the reports, returns, statements and information to be made and furnished by municipal auditors and otherwise with respect to the performance of their duties.</p> <p>Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-011	<p>Cost Sharing</p> <p>Records relating to the sharing of total costs for sponsored corporate projects between two or more parties, even if only one party directly benefits from the project. Cost sharing arrangements may be between the TTC and external entities, or among internal TTC units. May include information on direct and indirect costs calculation, verification of cost sharing among sponsors, cost sharing allocation, individual project accounts, carryovers of project monies into other accounting cycles, and cost sharing tracking. Documents may include cost sharing request forms, cost sharing budget sheets, cost sharing project applications, and all supporting correspondence.</p>	Finance	T+2	10	T+12	D	<p>Comments: T = File remains active 2 years after cost sharing project closes.</p>
FM-012	<p>Employment Workforce Statistics</p> <p>Records relating to the forecasting of growth and attrition rates of the TTC. Statistics taken from the actual versus budget figures supplied by departments. Statistics relating to the level, type and rate growth of employment within the TTC. Includes unemployment statistics, growth rate, composition of work force, etc.</p>	Finance	C+5	10	C+15	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-013	<p>Fares and Transit</p> <p>Records relating to the management and disbursement of TTC and regional carriers' fares and passes. Includes records relating to fares, prepaid regional bus tickets, and any passes such as Metropass, student, seniors, weekly, visitor, park and ride, etc. and passes issued to special groups using TTC transit. Includes charter applications, reconciliations, working papers and related documentation.</p>	Finance	C+2	5	C+7	D	Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable, accounts and vouchers to verify information to be kept six years from the end of last tax year to which they relate.
FM-014	<p>Fare Media Destruction Certificates</p> <p>Records relating to the daily summary of collectors' returns of fare media for destruction. Includes fare media destruction certificates for Metropass and GTA passes to validate and confirm destruction of this media.</p>	Operations	C+2	5	C+7	D	Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable, accounts and vouchers to verify information to be kept six years from the end of last tax year to which they relate.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-015	<p>Financial Management Reports</p> <p>Records relating to the operational levels of the TTC, where the transaction processing systems capture important financial events such as accounts payable, accounts receivables, purchasing, selling activities, account activities. Includes monthly accounting detail, cost allocations, monthly financial analysis, new cost centre /account documentation rationale for new cost centres.</p> <p>Records include: Overhead reports, HST rebate monthly reports, accounts payable details-consolidated, project reports (3rd extract), JBCS activity by account, project reports, All GL Extracts/Reports except the GL Database (see FM-19).</p> <p>Also, Accruals, Fringes, Labour Transfers, etc. (For Capital Accounting only.)</p>	Finance	C+2	8	C+10	D	Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable, accounts and vouchers to verify information to be kept six years from the end of last tax year to which they relate.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-016	<p>Annual/Periodic Financial Statements and Reports (TTC & Subsidiaries)</p> <p>Records relating to the production and use of financial statements and reports, which are sources of financial information for a wide variety of public users (auditors, creditors, provincial and federal government agencies, etc.). These documents provide summaries, details, and analyses of the financial position of the TTC and its subsidiaries. Documents may include leadsheets, schedules, working papers, provision binder, deferred revenue analysis, auditors' reports and financial statements and notes.</p>	Finance	C+2	P	P	P	<p>Legislation/Regulation: City of Toronto Act, S.O. 2006, c.11, Sched. A (Last amendment 2011, c. 9, Sched. 41, s. 2) s. 138. (1) Treasurer responsible for handling all of the financial affairs of the City; s. 138. (1) (d) - maintaining accurate records and accounts of the financial affairs of the City; s. 231 - Annual financial statements; s. 233 - Auditing of financial statements.</p> <p>City of Toronto Municipal Code Chapter 71, Financial Control (City of Toronto By-law No. 152-2000).</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-017	<p>Fundraising and Donations</p> <p>Records relating to the development and organization of fund-raising activities such as the United Way and donation solicitations. Includes information on charitable campaigns and financial donations, including donated funds, received by the TTC from various organizations and individuals. Documents include copies of committee minutes and agendas, activity planning schedules and itineraries, donation receipts, and correspondence.</p>	All	C+2	5	C+7	AR	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013)</p> <p>s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-018	<p>General Ledger Accounts (TTC & Subsidiaries))</p> <p>Records relating to the administration and accounting control of general ledger accounts. A general ledger account serves as a repository of transactions from all sources, including the General Journal, (by corporation) is used to produce financial statements. Records include GL Database.</p>	Finance	C+2	P	P	P/AR	Legislation/Regulation: Income Tax Regulations (Canada), C.R.C., c. 945 (Last amended on February 14, 2013) s. 5800 - General ledger or other book of final entry to be kept two years after dissolution of corporation.
FM-019	<p>Journal Entries (TTC & Subsidiaries)</p> <p>Records relating to the production and use of journal entries. These documents record the purchase or sale of goods and services (e.g. from TTC to outside agencies and also between TTC departments), transfer revenue and charges, and correct posted transaction errors. Documents may include completed journal entry forms, transaction journals, cash books, copies of invoices and receipts, and correspondence back-up working papers.</p>	Finance	C+2	5	C+7	D	Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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.

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FM-020	<p>Payroll Benefits (Employee)</p> <p>Records relating to the management of employee benefits plans which provide full or partial financial coverage of various benefits to TTC employees and/or their relatives. Records include completed benefit enrolment forms. Benefits coverage may include health and dental plans, tuition coverage for courses, group life insurance, long term disability coverage, and accidental death and dismemberment plans, sick benefits from the Sick Benefit Association. May include information relating to insurance or benefits carriers' policies and directives, deducting benefits coverage from the TTC payroll, and types of benefits coverage. Documents may include copies of insurance or benefits carriers' policies, managerial directives and reports, benefits coverage notifications, benefits coverage statistical reports, and all supporting correspondence.</p> <p>Human Resources is responsible for determining eligibility for benefits, determining what benefits are provided to TTC employees, administering the Sick Benefit plan, etc.</p>	<p>Finance</p> <p>Human Resources</p>	T	7	T+7	D	<p>Comments: T=File closed upon termination of employment or cessation of benefits.</p> <p>Legislation/Regulation: Canada Pension Plan, R.S.C. 1985, c. C-8, (Last amended on April 1, 2013) s. 24. (2) - Keeping of records and books of account - Every employer required by this section to keep records and books of account shall retain those records and books of account and every account and voucher necessary to verify the information contained therein until the expiration of six years from the end of the year in respect of which those records and books of account are kept.</p>

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FM-021	<p>Pay Period Processing</p> <p>Records relating to the administration and processing of employee salary and expense payments during regularly-scheduled pay periods for union and non-union employees. May include information relating to payroll generation, overriding deductions, year-end payroll reporting, and payroll variance reporting. Documents may include payroll registers, time sheets, job tickets, employee expense reports, time cards, original and amended T4 statements, payroll adjustment and variance reports, unclaimed wages and all supporting correspondence.</p> <p>See Also: Attendance and Scheduling for OARS Departmental entries FM-005</p>	Finance	C+2	5	C+7	D	<p>Legislation: Employment Insurance Act (Canada), 1996, c. 23, s. 87 - Records, books of account to determine premiums, accounts and voucher to verify information to be kept six years from which records kept.</p> <p>Employment Standards Act, S.O. 2000, c.41, s. 15(5) - records to be kept three years after the employee ceased to be employed.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-022	<p>Pension Plan Investment and Administration</p> <p>Records relating to the administration of the TTC's pension plan as administered by the Pension Fund Society. Includes accounting, actuarial, banking, payroll records, annual information returns, solvency funding financial statements, retirement compensation agreement/supplemental pension plan correspondence and contributions from employers, tax reconciliation, survivorship/guarantee register, membership register</p> <p>FOR: Pension Fund Society Board Meeting Minutes and related materials SEE: GV-004</p>	Pension Fund Society	T+2	5	T+7	D	<p>Comments: 7 years after File closed upon termination of the last surviving beneficiary of the pension policy</p> <p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>Limitations Act, S.O. 2002, c. 24, Sched. B (Last amendment: 2010, c.16, Sched. 4, s. 27) s. 4. - A proceeding shall not be commenced in respect of a claim after the second anniversary of the day on which the claim was discovered s. 5. (1) - Discovery</p>

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FM-022	Pension Plan Investment and Administration (continued)						<p>City of Toronto Act, 2006, Regulation (Financial Activities) O. Reg. 610/06 (Last amendment: O. Reg. 372/11) s. 49. (1) - Investment report, - the council shall require the treasurer to prepare and provide to the council, each year or more frequently as specified by the council, an investment report.</p> <p>Financial Services Commission of Ontario (FSCO) Policy A300-200</p>
FM-023	<p>Pension Plan/Fund Working Files</p> <p>Plan records that relate to the day-to day operations of the pension plan and pension fund.</p> <p>Records relate to pension and actuarial working files such as pension adjustments for annual calculation for T4 submissions and reporting to Revenue Canada, annual analysis of employees pension data for entitlements.</p>	Pension Fund Society	C+2	5	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 – Records and books of account to determine tax payable, accounts and vouchers to verify information to be kept six years from the end of last tax year to which they relate</p>

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FM-024	<p>Pension Plan Beneficiaries and Entitlements</p> <p>Records relating to plan beneficiaries including those that are currently employed plan members, retired members, terminated members who have an entitlement under the plan, their current or former spouses — and in the event of death, their beneficiaries, dependents and estates. May include pension enrolment forms, records such as individual plan beneficiaries and payment of pension entitlement such as pension statements, election/option statements, waiver forms, correspondence related to inquiries or complaints, court documents related to spousal relationship breakdowns, payment/transfer information, forms for plan enrolment, beneficiary designation, proof of age, address changes, spousal declaration, and congratulation letters.</p> <p>Registration documents include information on conditions for membership, benefits and rights, requirements for entitlement, methods of calculating contributions, benefits, interest and administration costs, and treatment of surplus.</p>	Pension Fund Society	T+1	6	T+7	D	<p>7 years after file closed upon termination of the last surviving beneficiary of the pension policy then destroyed.</p> <p>Financial Services Commission of Ontario (FSCO) Policy A300-200</p> <p>Pension Benefits Standards Act, 1985 (c. 32 (2nd Supp.))</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-025	<p>Personal Expense Claims</p> <p>Records relating to TTC employees' claims for reimbursement for financial expenses. Personal expenses may be incurred in the course of normal business operations, including travel, attending conferences, and vehicle use. Documents may include receipts, invoices, expense claims statements, and correspondence.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013)</p> <p>s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>
FM-026	<p>Petty Cash</p> <p>Records relating to the management of petty cash accounts, which consist of tangible cash stored in departments and offices. Petty cash funds are used for the purchase of inexpensive, out-of-pocket goods and/or services, for which immediate reimbursement can be claimed. Documents include petty cash account reconciliations, requests for reimbursement, receipts, and initial requests for access to petty cash funds.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013)</p> <p>s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-027	<p>Property Tax Evaluation and Appeal</p> <p>Records relating to evaluation, assessment, appeal, modification and cancellation of municipal property taxes. Includes the assessment evaluation of individual commercial and residential properties by the City, the assessment appeal process under the Assessment Act, and the tax appeal process under the Municipal Act for cancellation, refund or reduction of tax. Documents include summaries of assessments, aerial photographs, inspection reports, rental income statements, appraisals, recalculation of property taxes, minutes of settlement</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B., s 4 - a proceeding shall not be commenced in respect of a claim after the second anniversary of the day on which the claim was discovered.</p>
FM-028	<p>Purchasing of Goods and Services</p> <p>Records relating to the procurement and acquisition of goods and services from external contractors and vendors. May include information on manufacturing requirements and delivery time frames. Documents may include purchase orders, purchase requisitions, requests for proposals (RFPs), quotation requests, company evaluation forms, vendor proposals, and tender contracts. Records relate to both pre-award and post award contracts.</p>	<p>Finance</p> <p>Materials & Procurement</p>	T	7	T+7	D	<p>Comments: T=File closed upon termination or expiry of agreement.</p> <p>Legislation/Regulation: Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
FM-029	<p>Reconciliation Daily Records</p> <p>Records relating to reconciling the accounts to ensure complete and accurate records of the transactions initiated for the accounts. Records relating to but not limited to the daily operation of the Main Vault, Pass Vending Machines, Token Vending Machines, Coin Counting Machines and all other working funds (e.g. Ticket Agents, Suppliers and Collectors. These records are filed daily or by period and include cash summaries, balance of funds with cash reconciliation, receipts, transaction summaries and account balances.</p>	All	C+1	6	C+7	D	<p>Legislation/Regulation:</p> <p>Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable accounts and vouchers to verify information to be kept six years from end of last tax year to which they relate. City of Toronto Act, 2006, s.138 (Municipal Act, S. O. 2001, c. 25, s. 286) - receipts for money payable to the municipality.</p>
FM-030	<p>Subsidies/Grants/Funding</p> <p>Records relating to subsidies, and grants received and administered by the TTC. Includes information on obtaining and distributing federal, provincial, and municipal subsidies and grants. Documents include follow-up spending evaluation reports, grant applications, review and decision statements, calculations, account statements correspondence, and supporting documentation relating to the TTC's entitlement to subsidies and grants. Includes funding programs such as Infrastructure stimulus fund, Canada strategic Infrastructure Fund, Transit Secure Funding, Government/Transit Technology and Infrastructure program other federal/provincial/city funding programs.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation:</p> <p>Income Tax Act, (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230 - Records and books of account to determine tax payable, accounts and vouchers to verify information to be kept six years from end of the last tax year to which they relate. Audit Act, R.S.O. 1990, c. A.35, s. 13 - Financial statement of disposition of grant payment.</p>

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FM-031	<p>Taxation Records relating to federal and provincial taxes, and other taxation matters such as tax provision reports prepared prior to the preparation/issuing of the quarterly financial report. Includes Income Tax Payable Roll forward documentation, cost information, deferred revenue schedules, tax memos, etc. Includes the Harmonized sales tax (HST), fuel and gasoline tax rebates for non-licensed equipment such as backhoes, lawnmowers, and power take-off units. Documents include monthly tax returns and supporting documents, tax rebate claims, tax refund claims, annual income tax returns, T4ANR slips and summaries, reports, and correspondence. Also includes tax provision reports.</p>	Finance	C+2	5	C+7	D	<p>Legislation/Regulation: Excise Tax Act (Canada), R.S.C. 1985, c. E-15 (Last amended April 1, 2013) s. 286. (3) - Keep records until the expiration of six years after the end of the year to which they relate.</p> <p>Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.) (Last amended on March 1, 2013) s. 230. (4) (b) - Every person required to keep records and books of account shall retain, 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>Fuel Tax Act, R.S.O. 1990, c.F.35 (Last amendment 2013, c. 2, Sched. 7) s. 6. 1 (2) - shall retain the records and books of account, as well as any other documents necessary to verify the information in the records and books of account, for a period of seven years following the end of the fiscal period to which the records and books of account relate, unless written permission for their disposal is received from the Minister.</p>
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FM-031	Taxation (continued)							Fuel Tax Act Regulations (General), R.R.O. 1990, Reg. 464 (Last amendment: O. Reg. 532/07) s. 9. (2) (e) - maintain records, invoices, books of account or other documents need not maintain records, invoices, books of account or other documents where (e) a period of seven years has expired since the end of the calendar year to which the records, invoices, books of account or other documents relate.
FM-032	Employee Payroll Files	Commission Services	T	7	T+7	D	Comments:	T = Termination of employment, or termination of retirement benefits, whichever is longer Legislation/Regulation: Employer Health Tax Act, R.S.O. 1990, c. E.11 (Last amendment 2012, c.8, Sched. 13) s. 12. (4) - records, books of account shall, until permission for their disposal is given by the Minister, retain each such record and book of account and every primary source document required to support and verify the entries and information in records and books of account.
	Records relating to individual employees' pay history profiles. Includes information on rates of pay, hours of work, reported absences, garnishments, pay rate changes, and both elected and mandatory payroll deductions for each employee. Documents include completed payroll notification forms concerning newly hired staff, completed benefit enrolment forms, completed federal record of employment forms, tax credit return statements, previous pay adjustment sheets, performance pay transition sheets, copies of court orders, and all supporting correspondence.							

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FM-032 **Employee Payroll Files (continued)**

Employment Insurance Act
(Canada), 1996,
c. 23 (Last amended on June 9,
2013)
s. 87. (3) - Records, books of
account to determine premiums,
accounts and voucher to verify
information to be kept six years
from which records kept.
Employment Standards Act,
S.O. 2000, c.41 (Last
amendment 2011, c. 1, Sched. 7
s. 1)
s. 15. (5) The employer shall
retain the records of the
information required for the
following periods:
1. – three years after the
employee ceased to be
employed by the employer
2. - three years after the
employee's 18th birthday or
three years after the employee
ceased to be employed by the
employer.

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GV Functional Category: Governance

Records relating to the ways in which the TTC is governed and regulated to ensure efficiency, effectiveness, and compliance with statutory requirements. Includes records of the TTC's legislative process, bylaws, and agendas and minutes of the commission and its committees. Also includes information received from federal, provincial and other municipal governments.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
GV-001	<p>Access to Information and Personal Information Protection – Compliance</p> <p>Records relating to strategies and initiatives undertaken to ensure TTC is in compliance with the public's right of access to TTC records and the protection of personal information resources. Documents may include impact assessments, copies of policies and guidelines, data-sharing checklists, and supporting correspondence.</p> <p>FOR: Access to Information and Personal Information Protection – Access Requests SEE: Administration – AD-001</p>	Commission Services	T	2	T+2	D	<p>Comments: T= File closed upon completion of case</p> <p>Legislation/Regulation: Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56 (Last amendment: 2007, c. 13, s. 45) Compliance with: s. 4. - Right of access; s. 5. - Obligation to disclose; s. 6. (2) - Exemptions; s. 7. - Advice or recommendations; s. 8. - Law enforcement; s. 9. - Relations with governments; s. 10. - Third party information; s. 12. - Solicitor-client privilege; s. 13. - Danger to safety or health; s. 14. - Personal privacy limitation; s. 15. - information to be published.</p>

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GV-002	<p>Audits</p> <p>Records relating to developing, administering, and conducting audits of TTCs business and financial processes. The goal of audits is to analyze operating processes to determine compliance with objective and recognized performance standards and measurements, and to make recommendations for improvement. May include audit information on personnel, systems, environment, structure, and other functions. Includes internal audits, external audits, federal audits, and Auditor General audits. Documents include audit reports, audit statements, and correspondence.</p>	<p>Audit Department</p>	T	7	T+7	AR	<p>Comments: File closed upon termination of the audit process.</p> <p>Legislation/Regulation: City of Toronto Act, S.O. 2006, c.11 (Last amendment: 2011, c. 9, Sched. 41, s. 2) s. 179. (1) - The City, its local boards (restricted definition) and the city-controlled corporations and grant recipients referred to in subsection 178 (3) shall give the Auditor General such information regarding their powers, duties, activities, organization, financial transactions and methods of business as the Auditor General believes to be necessary to perform his or her duties under this Part; s. 179. (2) - The Auditor General is entitled to have free access to all books, accounts, financial records, electronic data processing records, reports, files and all other papers, things or property belonging to or used by the City, the local board (restricted definition), the city-controlled corporation or the grant recipient, as the case may be, that the Auditor General believes to be necessary to perform his or her duties under this Part;</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
GV-002	Audits (continued)						s. 179 (3) - A disclosure to the Auditor General under subsection (1) or (2) does not constitute a waiver of solicitor-client privilege, litigation privilege or settlement privilege.
GV-003	Corporate Records - Commission The function of governing the organization and the exercise of authority and control to ensure good corporate governance. Records relating to the meetings, duties, and functions of the TTC. Includes resolutions, agendas, minutes of meetings, correspondence, memoranda, , and committee reports. . NOTE: Certified True Copies are retained on-site for 10 years prior to transfer to Archives.	Commission Services	C+3	P	P	P	
GV-004	Corporate Records - Subsidiary Companies The subsidiary companies of the TTC include Toronto Coach Terminal Incorporated, Toronto Transit Infrastructure Limited, TTC Insurance Company Limited. Records relate to agendas, meeting minutes, directorships, corporate registers , by-laws and history of the companies. Includes Affiliates such as: Pension Fund Society; Sick Benefit Association NOTE: Certified True Copies are retained on-site for 10 years prior to transfer to Archives.	Commission Services	C+3	P	P	P	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
GV-005	Council and Committee Proceedings Records relating to the meetings, duties, and functions of the City Council, including its standing committee, sub-committees, and taskforces; community councils and their committees"	Commission Services	C+3	0	C+3	D	
GV-006	Government Departments and Agencies Records relating to federal, provincial, municipal government departments and agencies whose functions may impact on, or be involved with the TTC's administration and operations. Subjects may include the exchange of information, routine notifications and inquiries, and offers of service. Documents may include government strategy and planning reports, government funding statements, government submissions and correspondence.	All	C+3	0	C+3	D	
GV-007	TTC By-laws Records relating to the development, review, and City Council approval and adoption of TTC by-laws such as By-law no. 1 and TTC Records Retention by-law.	Commission Services Legal	P	0	P	P	.
GV-008	Risk Management Records relating to the initiatives undertaken to identify, measure, and effectively manage TTC's risks (exposures to loss). Risk management is intended to minimize the costs of risks on the operating functions of the TTC. Documents may include copies of claims risk management policies and procedures, reports, audits such ISO, APTA – American Professional Transportation Society and supporting correspondence.	Finance Legal	C+2	4	C+6	AR	Legislation/Regulation: City of Toronto Act, S.O. 2006, c.11 Sched. A (Last amendment: 2011, c. 9, Sched. 41, s. 2) s. 237. (2) - Information be provided relating to the efficiency and effectiveness of the City's operations.

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HR Functional Category: Human Resources

Records relating to TTC employees and personnel services. Includes records relating to recruiting, training, labour relations, health and safety, staff benefits, and salary administration.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-001	<p>Applications and Resumes – Unsolicited</p> <p>Records relating to the receipt and processing of unsolicited resumes and applications for employment opportunities that are either not presently existent and/or not advertised. Documents may include resumes, completed application forms, and related correspondence.</p>	Human Resources	1	0	1	D	Legislation/Regulation: Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56 (Last amendment: 2007, c. 13, s. 45) s. 30. - Dispose of personal information under the control of the institution accordance with the regulations.
HR-002	<p>Application File - Employee Special Constable Status</p> <p>Records relating to the application process which occurs every five years to Toronto Police to renew their status as a special constable. Records may include application for hire or renewal, personal history forms, police checks, police waiver forms, recommendation letters, driver’s licence copy and related correspondence.</p>	Human Resources Transit Enforcement	T +1	6	T+7	D	T=File closed upon termination of employment 7 years after file closed upon termination of employment then destroyed. Employment Standards Act, S.O. 2000, c. 41, s. 15.
HR-003	<p>Corporate Organization and Organization Charts</p> <p>Records relating to the development and ongoing maintenance of the TTC’s organizational framework and structure. Documents include departmental function statements, mission statements, organizational charts, reorganization plans, and related correspondence.</p>	Finance	S+5	0	S+5	AR	5 years after superseded, then destroyed, subject to archival review

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-004	Employee Activities/Programs Records relating to employee activities and programs such as pensioners' reception, long service and seasonal functions/ receptions.. Records may include invitations, menus, itineraries, programs plans, etc.	All	C+2	0	C+2	D	
HR-005	Employee Alcohol and Drug Test Results and Documentation Positive alcohol and drug test results (includes alcohol results of .02 BAC or higher) and related investigation documentation and forms including alcohol test forms, employer's copy of the controlled substances test chain of custody and control form and consent forms. All unannounced test results and schedules. Documentation of refusals to take required alcohol and/or drug tests. Annual summary reports of drug and alcohol test results. Negative drug test results which includes dilute negative and cancelled certification, reasonable cause and post-incident alcohol and drug test results and related investigation documentation and forms including alcohol test forms, employer's copy of the controlled substances test chain of custody and control form and consent forms.	Human Resources	C	5	C+5	D	U.S. Federal Regulations 49 C.F.R. subpart D – Handling of Test Results, Records, Retention, and Confidentiality No specific Canadian legislation

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-006	<p>Employee History Data</p> <p>Records relating to TTC employees' work history. May also include information on retirements, layoffs, and resignations. Documents may include resumes, offer letters, successful job call results, previous employment reference checks, criminal record checks, photocopies of degrees and diplomas, educational transcripts, letters of discipline, employee contact information sheets, performance appraisals, accident/incident reports, copies of employment letters, return to work notifications, absence history reports, promotions, commendations, complaints, training records and personal contact information sheets.</p> <p>FOR: Employee Check-in and Off Duty sheets SEE: WO-001</p>	Human Resources	T +1	6	T+7	D	<p>T=File closed upon termination of employment</p> <p>7 years after file closed upon termination of employment then destroyed subject to archival review.</p> <p>Employment Standards Act, S.O. 2000, c. 41, s. 15.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-007	Employee Intelligence Files TTC employees who could be potentially involved in criminal activity. Records relating to CPIC (Canadian Police Information Reports, general occurrence and arrest reports and Toronto Police memo book entry.	Human Resources Transit Enforcement	C+7	0	C+7	D	

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HR-008	Employee Medical Data	Human Resources	T	20/40	T+20/ T+40	D	<p>Comments:</p> <p>T=File closed upon termination of employment. Prior to inactive storage files are separated according to: the period of 40 Years from the time records were first made or the period of 20 Years from the time the last of the records were made.</p> <p>Legislation/Regulation:</p> <p>Occupational Health and Safety Act, R.S.O. 1990, c. O.1 (Last amendment: 2011, c. 11, ss. 1-18)</p> <p>s. 26. (1) (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 ;</p> <p>s. 26. (1) (h) - establish a medical surveillance program for the benefit of workers.</p> <p>Occupational Health and Safety Act, O. Reg. 490/09 (Designated Substances) (Last amendment: O. Reg. 149/12)</p> <p>s. 30. (1) 1. - The 40th anniversary of the date the first record was created in the personal exposure; 2. The 20th anniversary of the date the last record was added to the personal exposure record.</p> <p>s. 31. (1) 1. - The 40th anniversary of the date the first record was made; 2. The 20th anniversary of the date last</p>
<p>Records relating to the medical status, conditions, and recovery of individual TTC employees. This includes situations concerning the sustainment of physical injuries and the development of medical conditions causing disability or impairment, both work and non-work related. May include information relating to clarification of medical conditions, mental health status, determination of whether and/or when an employee should return to work, and confirmation of job duties the employee is and is not capable of performing. Documents may include doctors' notes and referrals, copies of resumes and training certificates, medical progress notes, and all supporting correspondence.</p>							

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Employee Medical Data (continued)

record was made.

Additional Legislation:
 Personal Health Information
 Protection Act
 Regulated Health Professionals
 Act
 Workplace Safety and
 Insurance Act
 Ontario Human Rights Code
 Canadian Standards Act for the
 Selection, Use and Care of
 Respirators
 College of Nurses,
 Occupational Therapists, and
 Physicians and Surgeons.

HR-009	Employee Awards	Strategy & Customer Experience	C +3	0	C+3	D
	Records relating to employee recognition awards and other rewards such as award of excellence, safety awards, staff recognition award, zero absence award					

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-010	<p>Employee Suggestion Plan</p> <p>Records relating to suggestions by employees for improvements to the operations of the TTC such as methodologies for productivity improvement, and improving customer service.</p> <p>Ergonomics SEE: Function- Environmental, Safety and Sustainable Resources – EV-006</p>	Human Resources	C +3	0	C+3	D	
HR-011	<p>Grievances and Arbitrations</p> <p>Records relating to complaints received from TTC unionized employees concerning workplace and personal treatment, benefits, discipline, promotions, and any other issues as defined in the collective agreement. Includes information on addressing and resolving the grievances, such as mediation and formal adjudication hearings involving arbitrators. Documents may include completed grievance forms, copies of meeting minutes, adjudication hearing schedules, arbitration notices, minutes of settlements, memorandum of settlement and all supporting correspondence.</p>	Human Resources	T	21	T+21	D	<p>Comments:</p> <p>T = File closed upon resolution or settlement of case. Occupational Health and Safety Act, R.S.O 1990, c.O. 1s. 49(2) Last Amendment: 2009, c.33, Sched. 20, s.3. a complaint must be file not later than 30 days after the event to which the complaint relates. Limitations Act, S.O. 2002, c. 24, Sched. B., ss15(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.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-012	<p>Human Rights Complaints and Investigations</p> <p>Records relating to receiving, investigating, and resolving complaints from City staff persons, residents and recipients of municipal services concerning discrimination and/or harassment based on human rights protected grounds, as listed in the City of Toronto's Human Rights and Anti-Harassment Policy. May include information on both informal and formal complaints, as well as advice and consultation on human rights-related subject matters such as policy development, communication tools and training. Documents may include statements of complaint and completed complaint forms, investigation reports and recommendations, witness interview notes, copies of policies, research, and all supporting documentation and correspondence regarding the exploration and resolution of complaints and consultations.</p>	Human Rights	T	10	T+10	AR	<p>Comments: T = File closed upon resolution of investigation</p>
HR-013	<p>Job Bid Documents</p> <p>Record of employee bids. Sign-up for available posted work/bump information which may be used for audit and potential grievances.</p>	<p>Operations</p> <p>Service Delivery</p>	C+2	0	C+2	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-014	<p>Job Classifications</p> <p>Records relating to the classification of employment positions within the TTCs organizational hierarchy. Job classification assigns jobs into grades based on a number of categories, including required education, work experience, and supervisory skills. Documents include employee skills inventories, copies of job descriptions, job classification history files, and job classification action requests and appeals.</p>	Human Resources	S	10	S+10	D	10 years after superseded, then destroyed

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-015	<p>Labour Negotiations</p> <p>Records relating to conducting labour negotiations, which involve discussions and meetings between The TTC and employee groups, such as unions, to achieve resolution on a wide range of issues pertaining to unionized employees. These issues may include staff reductions and layoffs, staff recalls, promotions and wage increases, working conditions, disciplinary actions, seniority rights, and restructuring. May include information on collective bargaining, dispute mediation, and conflict resolution. Documents may include proposals and final collective agreements; employment contracts; union contracts; and any other negotiated agreements between the TTC and the respective unions or workers' representatives.</p>	Human Resources	T	21	T+21	AR	<p>Comments: Permanent Retention – often required to investigate the history of an issue in order to defend position taken.</p> <p>Legislation/Regulations: Labour Relations Act, 1995, c. 1, Sched. A (Last amendment: 2009, c. 33, Sched. 20, s. 2) s. 90. - Collective agreements to be filed.</p> <p>Labour Relations Act, 1995, Regulation (General), O. Reg. 94/7 (Last amendment: O. Reg. 259/07) s. 1. (2) - A record of all awards filed shall be maintained</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-016	Occupational Health and Safety Records relating to the TTC's responsibility to provide its employees with a safe and healthy workplace through assessment of occupational hygiene, ergonomics, and safety issues. Records may also include correspondence regarding concerns, employee surveys, research materials, data collection, analytical results, and reports, Health and Safety committees' records, workplace inspection reports, provincial workplace safety boards' records, safety audit reports, safety statistic reports, first aid , program records, WHIMIS records, material safety data sheets (MSDS).	Safety Human Resources	C+9	7	C+16	AR	Legislation/Regulation: Occupational Health and Safety Act, R.S.O. 1990, c. O.1 (Last amendment: 2011, c. 11, ss. 1-18), s. 9. (2) - joint health and safety committee; s. 9. (12) - certification requirement; s. 9. (20) - response to recommendations within 21 days; s. 9. (22) - maintain and keep minutes; s. 9. (28) - scheduled inspections; s. 9. (30) - inspection reports; s. 26. (1) (c) - keep and maintain records of handling, storage, use and disposal of agents; s. 26. (1) (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; s. 26.(1)(f) - post records of monitoring levels in workplace. Workplace Safety & Insurance Act 1997, Regulation, (First Aid Requirements) R.R.O. 1990, Reg. 1101 s. 5. - Every employer shall keep a record of all circumstances respecting an accident as described by the injured worker, the date and time of its occurrence, the names of witnesses, the nature and exact location of the injuries to the worker and the date, time and nature of each first aid treatment given.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-017	<p>Pay Equity</p> <p>Records relating to the evaluation of job positions by comparing duties, skills, and responsibilities of similar positions. The objective is to ensure equal pay for work of equal value. Documents may include copies of policies, classification ratings, job evaluation information, position description questionnaires, action plans, and information about designated worker groups.</p>	Human Resources	S	7	S+7	AR	<p>Legislation/Regulation: Pay Equity Act, R.S.O. 1990, c. P.7 (Last amendment: 2009, c. 33, Sched. 18, s. 24)</p> <p>s. 13. - Pay equity plans be prepared to provide equity in each establishment and for job classes to which the plan applies.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-018	<p>Staff Competition and Recruitment</p> <p>Records relating to the recruitment of staff for existing or future jobs and appointments within the TTC. This includes permanent, seasonal, and contract job postings. May include information on applicant screening and testing, conducting interviews, and acceptance and rejection of candidates. Documents may include completed request for employment forms, job postings, solicited resumes and employment applications, job skills test sheets, interview questions and sheets, scoring matrices, competition lists, reference checks, background for awarding positions such as health service notices and all supporting correspondence.</p>	Human Resources	T	6	T+6	D	<p>T= file closed upon closing of competition</p> <p>Toronto Municipal Code, c. 169, s. 5. 6 years after file closed upon closing of competition then destroyed.</p> <p>Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56, s. 30(4) (last amendment: 2007, c. 13), s. 45 - Dispose of personal information under the control of the institution accordance with the regulations.</p>
HR-019	<p>Training and Development</p> <p>Records relating to the design, delivery, and follow-up activities associated with training and skills development opportunities provided to TTC employees. This includes seminars, workshops, and conferences including orientation training of new employees. May include information relating to review and quality control of training course materials, training fees, and statistical data such as course attendance figures. Documents may include training materials such as workbooks and answers to exercises, lists of attendees, training course statistical reports, training course calendars, and all supporting correspondence.</p>	All	C+2	5	C+7	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-020	<p>Training/ Certification – Record of</p> <p>Records relating to the registration of employee training, certification and qualifications for equipment operation, hazardous material handling and emergency procedures, technical and machine training. Documents may include: pre-requisite certification; registration application forms; copies of certificates; test and result information; driver abstracts, commercial vehicle operator records (CVOR), registration billing information; employee sign off sheets indicating that employees have received training; instruction sheets; copies of hazardous material data sheets; informational materials, reports; and all other related documentation and correspondence.</p>	<p>Training</p> <p>Human Resources</p>	T	21	T+21	D	<p>Comments: File closed upon termination of employment</p> <p>Legislation/Regulation: Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s 25. Maintain record of participant (employee) training on technical and hard skills. Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s 54 (materials concerning content, frequency and manner of instruction of any training program). Current (for employment duration of employee) + 1 active + 4 inactive.</p> <p>Transportation of Dangerous Goods Regulation (Canada) SOR/2012-245 (Amendment 11) Part 6 – Training s. 6.1 to s. 6.8 Training Certificate Requirements and Proof of Training Employer's and Person's Responsibility</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-021	<p>Training Program - Safety and Technical</p> <p>Records relating to the administration and development of technical training programs and skills development opportunity offered to employees. Includes information on training programs such as: equipment operation, handling of hazardous material, transportation of dangerous goods, training programs on safety, security and accident prevention on the work site. Documents may include source files, owner sign off sheets, instruction sheets; authorized instructors competency certificate or declaration; detailed session plan and program change logs, teaching aid package; test questions and answers; required fees; material price list and contact names; employee sign off sheets template, used to indicating that employees have received training; copies of hazardous material data sheets; informational materials, reports; and all supporting correspondence.</p> <p>See Also: Training/Certification- Record of (HR-021)</p>	<p>Training</p> <p>Human Resources</p>	S	21	S+21	D	<p>Legislation/Regulation: Occupational Health and Safety Act, R.S.O. 1990, c. O.1 (Last amendment: 2011, c. 11, ss. 1-18)</p> <p>s. 7.5 (1) - collect information about a worker's successful completion of an approved training program for the purpose of maintaining a record of workers who have successfully completed approved training programs;</p> <p>s. 54. (p) - materials concerning content, frequency and manner of instruction of any training program.</p> <p>Transportation of Dangerous Goods Regulation (Canada) SOR/2012-245 (Amendment 11) Part 6 – Training</p> <p>s. 6.1 to s 6.8 Training Certificate Requirements and Proof of Training Employer's and Person's Responsibility</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
HR-022	<p>Workers' Compensation & Disability Management</p> <p>Records relating to tracking and monitoring of all individual TTC employees' claims for financial and/or medical compensation as a result of personal injuries, illness, or other medical conditions preventing employees from fulfilling regular job duties. This includes workers' compensation and long term disability claims. Documents may include injury report forms, copies of long term disability and workers' compensation claims that have been submitted, disability recurrence continuity reports, completed summary claims information cards, and all supporting correspondence.</p>	Human Resources	T	7	T+7	D	<p>Comments: T = 7 years after file closed upon termination of employment</p> <p>Legislation: Workplace Safety and Insurance Act, 1997, Regulation (First Aid Requirements) R.R.O. 1990, Reg. 1101 s. 5. - Every employer shall keep a record of all circumstances respecting an accident as described by the injured worker, the date and time of its occurrence, the names of witnesses, the nature and exact location of the injuries to the worker and the date, time and nature of each first aid treatment given.</p>

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IM Functional Category: Information Management & Technology

Records relating to the TTC's information technology environment including systems, supports, hardware, software, applications and telecommunications systems, CADD technology, industrial computing, in addition to internet/intranet and website development and maintenance. Also information and records management services such as records and archival management

Information Technology

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-001	<p>Backup Data</p> <p>Records relating to data stored by Information Technology Services as annual network backups, annual and monthly GroupWise backups, and unique or one-time backups, e.g. when a server is de-commissioned. This series includes the backed up data as well as the associated backup metadata. Backup data is created primarily for long-term system recovery requirements, such as loss or damage to computer hardware. In certain circumstances backup/recovery data is used to recover individual data files or forensically for investigations. Unique or one-time backups may be created by ITS for various reasons, e.g., to mitigate against the risk of unsuccessful data migration or unanticipated failure of a new production system. Backup data and media are organized or classified by the backup application.</p> <p>NOTE: Daily, weekly and monthly</p>	Information Technology Services	C+1	0	C+1	D	<p>Daily, weekly and monthly are transitory.</p> <p>NOTE: The idea that system backups suffice as an electronic recordkeeping system is a persistent misconception. There is a difference between backing up for disaster recovery and preserving electronic records for future retrieval. Preserving involves the proper application of records retention schedules and the preservation, in viable and usable formats, of records with permanent or long-term value.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-002	<p>Computer Hardware and Software</p> <p>Records relating to computer software and hardware, which are computing programs that can be used in conjunction with various computer and operating systems. May include information on tracking of software upgrades, sign-in authorization codes, and software development. Documents may include upgrade notifications, requests for additional site/user licenses on network applications, requests for hardware installations, hardware inventories, software inventories and software installation. May include recommendations or reports regarding specific software products, user lists, copies of purchase orders, copies of license agreements, and software user manuals.</p>	Information Technology Services	S	7	S+7	D	
IM-003	<p>Computer Systems Networks</p> <p>Records relating to the TTC's interconnected computing systems and components, which are cables and other devices that connect workstation computers with one another for the purposes of data transmission and sharing. Includes the establishment and ongoing management of local area networks (LAN). Documents may include network functional review statements and reports, user complaints, network needs specifications, and correspondence.</p>	Information Technology Services	S	7	S+7	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-004	<p>Computer System Access and Security</p> <p>Records relating to the security and confidentiality of the TTC's online information resources. Includes information about computer security practices and tools. Documents may include access requests, computer monitoring reports, and user authorization lists, accounts schema, privileges and computer security, threat assessments and justification for reasons (including request forms) for alternative security practices or configurations.</p>	Information Technology Services	S	7	S+7	D	
IM-005	<p>Computer Solutions Documentation</p> <p>Records relating to the use of internally produced supporting documentation concerning the development and maintenance of computer solutions used by the TTC. This applies to both internally developed and externally purchased software computer solutions. May include information on the planning, implementation, testing, documentation, deployment and maintenance of the IT solution. Documents may include feasibility studies, requirements or analysis, use cases, architecture, information security, design, development, testing, implementation, manuals, operating procedures, TTC specific installation and configuration instructions, user guides and reports, post implementation and closeout and all supporting correspondences.</p>	Information Technology Services	S	7	S+7	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-006	Computer Systems Operations						
	Records from vendors and external organizations such as standards, procedures and operating instructions on the operation and maintenance of computer hardware and software. Includes user guides, maintenance support materials, desktop service related manuals and instructions, backup instructions and related documentation for the maintenance of the mainframe.	Information Technology Services	Life of System	0	Life of System	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-007	<p>Information Technology Project Management Governance</p> <p>Records relating to the project management and governance of IT Projects. May include information on the leadership, organizational structures, process, decision rights and accountability framework of the IT Project. Documents may include Request Planning, Integration Management, Scope Management, Time Management, Cost Management, Financial Reporting, Quality Management, Resource Management, Facilities Management, Communication Management, Risk and Issue Management, Safety Management, Contract Management, Procurement Management, Training Management and all supporting correspondences. May include copies of financial reporting, procurement documentation, contracts and resource related documentation.</p>	Information Technology Services	T+5	0	T+5	D	T= completion or termination of project

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-008	<p>Information Technology Services Requests</p> <p>Records relating to tracking computer end-user problems and requests and the action taken to resolve the problems or requests. Help Desk and service requests such requests for technical assistance on software use, requests for additional hardware or software, service call information on hardware and/or software.</p>	Information Technology Services	C+1	1	C+2	D	
IM-009	<p>Internet and Intranet Development</p> <p>Records relating to the development and maintenance of the TTC's internet and intranet online web sites and services. Internet resources are made available to the public at large and can be hosted both locally and on external servers, whereas Intranet resources are hosted only locally on a TTC server solely for internal employee access. Includes information on website development, technical design information, and user requirements. Documents may include Internet and Intranet review statements and reports, user complaints, website information content specifications, and correspondence. Previous versions of the website are evaluated for archival value.</p>	Information Technology Services	S	7	S+7	AR	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-010	<p>Telecommunications and Electronic Communication Systems</p> <p>Records relating to the installation, maintenance, operation, and use of telecommunications equipment and systems. Includes information on telephone, cable, fibre optics, electronic mail, voice mail, fax, pager, cell phone, and emergency systems and processes. Documents include requests for installation or maintenance, change requests, copies of service contracts and maintenance agreements, copies of purchase orders, and service call requests to service providers.</p>	Information Technology Services	S	7	S+7	D	
RECORDS, ARCHIVES & INFORMATION MANAGEMENT							
Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-011	<p>Archives</p> <p>Records relating to the administration and operation of the TTC archives. The archives serves as the repository for records with scholastic and historical value which are retained in perpetuity. May include information on special archival projects. Documents may include copies of transfer authorizations for archival custody, archives usage reports and statistics, and correspondence.</p>	Commission Services	C+2	4	C+6	AR	

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IM-012	<p>Archival Accession Control</p> <p>Records relating to the transfer of legal and physical custody of records to the archives. Accession control involves documenting the titles, dates of receipt, donor information, size, general description, and location for each collection of similar types of records now in archival custody. Documents include accession control sheets, which list all records received by the archives on an annual basis.</p>	Commission Services	C+2	P	P	P	Legislation/Regulation: Ontario Heritage Act, R.S.O. 1990, c. O.18, s 23 - shall keep a Register.
IM-013	<p>Records Retention and Disposition</p> <p>Records relating to the development and implementation of the records retention and disposition scheduling initiatives. Includes information relating to all issues that may affect the development and approval of the TTC's records retention schedules, which officially govern for how long information is kept and whether it is destroyed. Documents may include records retention schedules, copies of current and former by-laws, and municipal legislation, records inventories, and all supporting correspondence.</p>	Commission Services	C+2	P	P	AR	Legislation: City of Toronto Act 2006

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-014	<p>Records Destruction Certificates</p> <p>Records relating to records destruction certificates, which authorize the destruction of TTC records in accordance with formally-approved records retention schedules. Includes destruction of paper, microform, and electronic records. Documents include records destruction certificates, applications for records destruction, destruction notices, and records destruction statistics and reports.</p>	Commission Services	C+2	48	50	D	<p>Legislation:</p> <p>City of Toronto Act, 2006</p>
IM-015	<p>Records Centre Operations</p> <p>Records relating to the operations and management of the TTC's records storage facilities. These facilities provide cost and space-effective storage for inactive records, which are seldom referred to but cannot yet be destroyed. May include information relating to inactive records retrieval and storage locations. Documents may include completed records transfer lists, box contents listings, disposition notifications, copies of records destruction certificates, and all supporting correspondence.</p>	Commission Services	C+2	P	P	AR	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
IM-016	<p>Records Disaster Contingency Planning and Recovery</p> <p>Records relating to the development and implementation of a comprehensive records disaster contingency plan, which documents the backup and recovery procedures for all TTC records in the event of a records disaster. Also includes information relating to the actions taken in the event of actual records disasters. Documents may include photographs of damaged records, status reports, the records disaster contingency plan, phone lists of key persons to contact in the event of records disasters, lists of vital records, and all supporting correspondence.</p>	<p>Information Technology Services</p> <p>Commission Services</p>	S	7	S+7	AR	

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LL Functional Category: Legal and Licensing

Records relating to legal matters involving the TTC. Includes permits, leases, deed agreement, contracts, licenses, insurance policies. Also includes records relating to lawsuits and legal issues, such as copyright protection.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-001	<p>Accident/Occurrence and Incident Reports</p> <p>Records relating to the TTC’s reporting of accidents or incidents that have occurred on TTC properties and that may involve members of the public, staff, and buildings and structures. Accident reporting concerns events such as vandalism, arson, vehicle accidents, and personal injuries that have occurred. Incident reporting concerns events that had the potential to be accidents, but were not accidents, and are used for tracking hazardous trends. May also include detailed investigative reports for individual accidents or incidents, which document synopses of events, probable causes, and recommendations for improvement. Documents may include completed accident and incident report forms, detailed investigative full and summary reports, 24 hour reports, on-call summaries and all supporting correspondence.</p> <p>SEE ALSO: Fire Prevention Inspection Reports & Fire Emergency Incident reports: FUNCTION: Environment, Safety & Sustainable Resources - EV-007, EV-008</p> <p>NOTE: Any and all reports involving TTC employees should be filed within the Employee History Data folder –HR-007.</p>	Service Delivery, Operations	C +1	6	C+7	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-002	Legal & Claims	Legal	T	15	T+15	D	T= expiry of a limitation period, resolution by settlement, dismissal or judgement. <u>Limitations Act, S.O 2002, c.24, s.4</u>
	Records relating to the administration of, and consultation for, legal and claims matters, insurance claims, contractual claims or extensions and litigation affecting or initiated by employees or other parties. This may include information on legal opinions and decisions, litigation fees, legal challenges and issues, by-law enforcement court cases, personal injury, and judicial decisions. Documents may include accident benefit files, damage and injury reports, medical reports, subpoenas, copies of contracts and legislation, copies of property plans, legal exhibits such as photographs, legal research documentation, and supporting correspondence.		T	21	T+21	D	T= matter involving infant with no Litigation Guardian.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-003	Complaint Investigations Involving Transit Enforcement Personnel Records relating to the investigation of complaints related to the performance of Transit Enforcement Officers and TTC Special Constables. Records may include letters of complaint, statements, investigation reports, summary reports, evidence, photos, video recordings and all supporting correspondence.	Transit Enforcement Human Resources	C+1	6	C+7	D	
LL-004	Contracts & Agreements Records relating to the negotiation, formation, and use of all official contracts and agreements, which are typically used to establish a legal relationship governing goods and services, the use or transfer of property, and the performance of obligations. Contracts and agreements may be between the TTC and external organizations or individuals. Documents may include both draft and approved contracts and agreements, memoranda of understanding, and supporting correspondence. Record series includes software license agreements.	Legal	T +1	6	T+7 (before Dec. 31, 2003)	AR	T = expiry of contract Limitations Act S.O. 2002, c.24 s.4
			T+1	2	T+3		Contracts or agreements entered into or completed up to December 31, 2003 = T+7 years Contracts or agreements entered into after December 31, 2003 T+3 years

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-005	<p>Copyright</p> <p>Records relating to copyright privileges issued to the TTC. Copyright is an exclusive legal right granted to publish, produce, sell, and distribute intellectual properties. May include information on copyright infringements and permission to use copyright materials. Documents include applications for copyrights, copyright approval statements, and supporting correspondence.</p>	Legal	T	P	P	P/AR	<p>Comments: File closed upon copyright authorization received.</p> <p>Legislation/Regulation: Copyright Act (Canada), R.S.C. 1985, c. C-42 (Last amended on: November 7, 2012) s. 56. - Application for registration of copyright.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-006	<p>Easements</p> <p>Records relating to the need for and issuance of easements, which are rights to use the TTC's or privately-owned land for a specific purpose, such as constructing a right-of-way. erecting structures. Documents may include requests for easements, official easement permits, copies of easement agreements, and supporting correspondence.</p>	Legal	T	7	T+7	D	<p>Comments: File closed upon expiration of right. Legislation/Regulation: Electricity Act, 1998, S.O. c. 15, Sched. A (Last amendment: 2013, c.2, Sched. 4, s. 46) s. 46. (1) - If, immediately before the repeal of section 48 of the <i>Power Corporation Act</i> under the Energy Competition Act, 1998, land was subject to a right referred to in subsection 48 (2) or (3) of the Power Corporation Act, the land continues to be subject to the right until the right expires or until it is released by the holder of the right. City of Toronto Municipal Code, Chapter 363, Article V, Right of Entry (City of Toronto By-law 1154-2008).</p>
LL-007	<p>Employee Investigation Files</p> <p>Records relating to TTC employees who are under investigation or have been charged with an offence. Typically used in a legal proceeding.</p>	<p>Legal</p> <p>Human Resources</p>	T +1	6	T+7	D	T= case settled or closed

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-008	<p>External Legal Correspondence</p> <p>Records relating to routine inquiries received by The TTC from external lawyers and other external legal professionals. These inquiries are made to obtain information from TTC, including documents such as outstanding work orders and zoning information compliance letters that may influence external legal cases and matters. Documents may include letters of inquiry and notifications, inquests from coroners, offers of assistance, responses to inquiries, and supporting correspondence.</p>	Legal	T	4	T + 4	D	<p>Comments: File closed upon resolution or notice of decision.</p> <p>Also pertains to requests for information on employees. Code HR-007 – Retention T + 7 And Code HR-013 – Retention Permanent</p>
LL-009	<p>Filming Permits</p> <p>Records relating to TTC’s issuance of film permits, which are granted to companies and/or individuals involved in movie, television, video, and all other types of film production. These permits provide legal permission for the production company or individual to conduct filming at TTC locations. May include information relating to permit holder, filming location, location of production vehicles, and special film production instructions. Documents may include film permits, location filming vehicle permits, filming policy documents and supporting correspondence.</p> <p>SEE ALSO: Film Production - Communications, Promotion & External Relations (CO-003)</p> <p>FOR: Insurance Policies and Certificates SEE: Contracts and agreements (LL-004)</p>	Legal	T	13	T+13	D	<p>Comments: T = File closed upon completion of film production</p> <p>Legislation/Regulation: City of Toronto Municipal Code Chapter 459, Filming</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-010	<p>Leases</p> <p>Records relating to obtaining and issuing leases, which convey the right to use, possess, or control property belonging to another party in exchange for financial compensation. Leases allow TTC to use properties, facilities, and vehicles belonging to external organizations on a temporary or ongoing basis. Also includes information on the leasing out TTC properties and buildings to other parties. Documents may include copies of financial arrangements, draft and approved lease agreements, applications for property transfer, memoranda of understanding, and supporting correspondence.</p> <p>FOR: Contracts & agreements SEE: (LL-004)</p>	Legal	T	20	T + 20	D	<p>Comments: File closed upon termination of lease.</p> <p>Legislation/Regulation: Limitations Act, S.O. 2002, c. 24, Sched. B., ss 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.</p>

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RECORDS RETENTION SCHEDULE

LL-011	Permits - Building Permits & Inspections	Operations	T+1	T+14	T+15	D	Comments:
	<p>Records relating to building permits and building inspections. These permits and inspections relate to all disciplines including but not limited to Heating/Ventilation/Air Conditioning, Plumbing, Architectural, including foundation, shoring, drain, site servicing. Also includes Conditional and Part Permits, demolitions, sign permit, bridge construction, tree cut, revoked permits and Occupancy permits. Inspection records include Inspection Status letters on building folders; Inspection clearance letters for occupancy; Inspection Investigation Cards: fire damage inspection requests; outstanding inspections or deficiencies; orders; Inspection monitoring of Development Agreement/Undertakings. Documents may include permit applications, certified building plans, plan examiners & inspectors notes, inspection reports, orders to comply, and building permits.</p> <p>For: Utility Permits see: FUNCTION: WORKS/OPERATIONS: Utility Applications and Plans –WO-010</p> <p>For: Film permits SEE: (LL-009)</p>	<p>Safety</p> <p>Engineering, Construction & Expansion</p>					<p>T =15 years after the later of January 1, 2004 or file closed upon completion of final inspection then destroyed.</p> <p>Legislation/Regulations: City of Toronto Municipal Code Chapter 363, Building Construction and Demolition, Article I – Building Permits; § 363-10. Notification of inspections Limitations Act, S.O. 2002, c.24, Sched. B (Last amendment: 2010, c. 16, Sched. 4, s. 27) s. 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.</p> <p>Building Code Act, S.O. 1992, c. 23 (Last amendment: 2010, c. 19, Sched. 2) s. 3. (9) - Every municipality and every upper-tier municipality that has jurisdiction for the enforcement of this Act shall retain such records as may be prescribed by regulation for the prescribed period of time.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
LL-012	<p>Provincial Offences Ticket Books (POT books)</p> <p>Records include copies of by-law tickets for offences occurring on TTC properties such as smoking, loitering, vandalism, refusal to pay, failure to comply with posted notices, etc. The information is primarily used as a statistical database.</p>	Transit Enforcement	C+1	2	C+3	D	
LL-013	<p>Trademarks</p> <p>Records relating to the use of TTC trademarks, which are words and/or symbols that identify, and are associated with, TTC services.. May include information on trademark availability, registration, and infringement. Documents may include completed applications for trademark registration, lists descriptions of trademarks, trademark uses criteria and supporting correspondence.</p>	Legal	C+2	P	P	P	<p>Legislation/Regulations: Trade-marks Act (Canada), R.S.C. 1985, c. T-13 (Last amended on December 31, 2008)</p> <p>s. 30. - Application for registration of trade-mark.</p>

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WO Functional Category: Works/Operations

Records relating to the maintenance and administration of day-to-day TTC operations including records relating to garbage collection, parking, plumbing, metering, service log sheets, scheduling and service changes, waybills and ride guides, work orders, snow removal, utilities applications and plans and pre-trip inspections on vehicles.

Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-001	<p>Employee Check-in & Off-Duty Sheets</p> <p>Records related to the tracking of employees at each station. Check-in sheets are for day, afternoon and evening shifts. Off duty sheets record who is absent and why as well as who replaced the operator (and payment consequences for both). Records may be transferred to Legal for pending claims.</p>	Service Delivery	C+1	2	C+3	D	
WO-002	<p>Garbage Collection</p> <p>Records relating to solid waste garbage collection at TTC locations. This also includes garbage collection from TTC tenants and from TTC events. Includes collection schedules, collection statistics and collection reports.</p>	Operations	C+2	2	C+4	D	
WO-003	<p>Log Sheets</p> <p>Records relating to the use of log sheets for recording data about services performed by TTC departments and staff. Log sheets record information about time spent, location, employee name(s), and type(s) of services performed.</p>	All	T	T+2	T+2	D	T= File closed upon last entry in Log Sheet.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-004	<p>Metering</p> <p>Records relating to measuring the amount of water, hydro, etc supplied and used by TTC buildings. May include information relating to both current and previous consumption meter readings, meter reading issues, and routine and requested visits to record meter data. Documents may include copies of meter service orders and meter reading statistics.</p>	Operations	C+2	4	C+6	D	Legislation/Regulation Municipal Chapter Code 849, Water and Sewage Services
WO-005	<p>Parking</p> <p>Records relating to the operations and administration of TTC parking areas. May include information on parking rates, disabled parking spot reservations, fire routes, parking facilities, and service reports.</p>	Property Development	S	10	S+10	D	S= Change in operating policy Legislation/Regulation: Municipal Code Chapter 950, Traffic and Parking
WO-006	<p>Plumbing and Drainage Maintenance</p> <p>Records relating to routine plumbing and drainage maintenance and inspections. This refers to work the TTC may perform on drains located in stations, buildings and adjacent properties, Includes copies of plumbing permits, engineering drawings, plumbing routing plans, and private drain location maps.</p> <p>For Plumbing permits see: LEGAL/LICENSING: Permits - Building Permits and Inspections (LL-013)</p>	Operations	T	7	T+7	D	Comments: T = File closed upon completion of maintenance inspection project. Legislation/Regulation: Municipal Code Chapter 681, Sewers, Article I, Sewage and Land Drainage

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Code	Record Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-007	Schedules and Service Records relating to upcoming service details such as service changes and summaries describing these changes. Records form basis of work by schedule writers which becomes the communication device for customers' notification of changes in service.	Strategy & Customer Experience	C+2	17	C+19	D	

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Code	Record Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-008	<p>Signs, Banners and Canopies</p> <p>Records relating to the use and display of signs, banners, and canopies. Documents may include sketches and drawings of banners and signs and accompanying correspondence.</p>	<p>Strategy & Customer Experience</p> <p>Operations</p> <p>Engineering, Construction & Expansion</p>	T	5	T+5	D	<p>Comments: T = when sign no longer in use. File closed upon expiration of permit.</p> <p>Legislation/Regulation: City of Toronto Municipal Code Chapter 693, Signs</p>
WO-009	<p>Snow Removal</p> <p>Records relating to snow removal from TTC locations which is undertaken to ensure public safety and to facilitate vehicle movement. Includes information on salting, sanding, snowploughing, snow blowing, and shovelling. Documents include snow removal schedules, snow route plans, and complaints.</p>	Operations	C+2	13	C+15	D	<p>Legislation/Regulation: City of Toronto Municipal Code Chapter 719, Snow and Ice Removal.</p> <p>Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 16, Sched. 4, s. 27) s. 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.</p>

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-010	<p>Traffic Signs and Signals Equipment</p> <p>Records relating to the manufacture, installation, and inspections of traffic signs and signals equipment. May include inspection reports, copies of vendor brochures and catalogues, product specifications, copies of purchase orders, and error reports.</p>	<p>Engineering, Construction & Expansion</p> <p>Operations</p>	T +2	13	T+15	D	<p>T= Decommissioning of signal system or traffic signs</p> <p>Legislation/Regulation: Highway Traffic Act, R.S.O. 1990, c H.8 (Last amendment: 2012, c. 8, Sched. 22, s. 20) s. 144. (31) - approvals of erection of traffic control signals and signal systems.</p> <p>Limitations Act, S.O. 2002, c. 24, Sched. B. (Last amendment: 2010, c. 16, Sched. 4, s. 27) s. 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.</p>
WO-011	<p>Transit Control & Communication Information System (C.I.S.) Audio Recordings</p> <p>Transit Control and Communication Information Systems (C.I.S) audio recordings are internally recorded calls initiated or received at either the Transit Control Centre or at the various C.I.S. offices and equipped transit vehicles across the entire TTC system. The audio recordings capture operational and emergency related communications on a 24 hour basis largely involving emergency response personnel, TTC operating personnel, supervisors and other authorized internal and external parties. Records may be transferred to Legal for pending claims.</p>	Operations	C+3	0	C+3	D	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-012	<p>Transportation Monitoring and Travel Survey Programs</p> <p>Records relating to travel surveys and monitoring of TTC operated transportation programs. Includes information on ridership statistics, monitoring programs and ridership indicators. Documents include travel and transportation studies, statistical data and reports</p>	All	C+19	0	C+19	AR	
WO-013	<p>Utility Applications and Plans</p> <p>Records relating to applications for the installation of utilities on land properties and sites. This includes the routing of fiber-optics, phone lines, cable, power, and gas lines. Documents include construction reference drawings, applications, completed approval forms, utility permits, and copies of notices of hearings</p>	<p>Operations</p> <p>Engineering, Construction & Expansion</p>	T+2	P	P	P	

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-014	<p>Vehicle Pre-Trip/Post Trip Inspections & Vehicle Sign-in sheet</p> <p>Records relating to the regular and ongoing automotive inspections of the TTC's revenue and non-revenue vehicles. These inspections examine the mechanical and operating conditions of vehicles prior to them being used for daily trips and tasks and after they have been returned by the operator. Inspection results and recommendations are recorded in inspection reports. Documents may also include supporting documentation such as the vehicle sign-in sheet signed by the operator after returning a vehicle.</p>	All	CY+3	0	CY+3	D	Legislation/Regulation: Highway Traffic Act, (Commercial Motor Vehicle Inspections) R.R.O. 1990, Reg. 575, ss 11(b) - Keep inspection report that does not show a defect(s) for three months after report is completed.

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Code	Records Title	Originating Office	A	I	Total	Disposition	Comments/Legislation
WO-015	Waybills, Run/ Crew Guides, Transfer Distribution Sheets	Service Delivery	C+1	2	C+3	D	<p>A waybill is an Operator's individual schedule that they pick up at the beginning of their shift, along with the fare box and transfers. It is a personal log kept by all TTC operators which serves as a tally-sheet and provides details of the day's events. Also included is the run guides that validates the times taken to reach each destination. Transfer Distribution report is to show the number of transfers allocated to all runs for each route for a given period. The Summary of Transfer reports the total number of transfers allocated to each route without listing all the runs.</p> <p>Crew Guide outlines the details of the work involved in the operation of a route identifying the crews that Operators/Collectors work.</p> <p>These documents are required in the event of a legal claim against the TTC.</p>

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Code	Record Title	Originating Office	A	I	Total	Disposition	Comments Legislation
WO-016	Work Orders & Material Requisitions	Operations	C+2	4	C+6	D	
	Records relating to the creation and processing of Work Orders. Work Orders are initiated internally and issued to TTC employees indicating required tasks to be performed such as repairs and design. Includes cyclical, emergency, preventive, non-emergency and maintenance completed Work Orders and Material Requisition forms, estimates, summaries and final charges.	Engineering, Construction & Expansion					

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