

TORONTO TRANSIT COMMISSION REPORT NO.

MEETING DATE: SEPTEMBER 30, 2010

SUBJECT: UPDATE OF TTC RECORDS RETENTION BY-LAW

ACTION ITEM

RECOMMENDATION

It is recommended that the Commission:

1. Endorse staff proceeding with a formal update to the TTC Records Retention By-law by;
 - i) undertaking a detailed internal assessment of TTC record holdings;
 - ii) identifying specific records that have archival value;
 - iii) researching the legalities for each required retention period;
 - iv) ensuring consistency with the City of Toronto Record Retention By-law; and
 - v) engaging internal and external stakeholders in the finalization of the by-law update prior to submission to the Commission and City Council for approval.

2. Note that the TTC, as part of a separate project, is currently piloting an electronic records management program with plans to incorporate the by-law retention requirements into the system.

FUNDING

Sufficient funds are available in the 2010 TTC Operating budget for this project.

BACKGROUND

The TTC Records Retention By-law, attached as Schedule 'A', was enacted on November 26, 1998. There has been no update since its inception 12 years ago.

DISCUSSION

Maintaining an up-to-date records retention schedule is vital to the effective management of TTC information. A records retention schedule describes records by their function and sets a minimum period of time for which the records must be retained before they become eligible for destruction. Every record must have an approved retention schedule assigned to it before it can be destroyed or disposed of. Retention and disposition requirements stated in records retention schedules are based upon the administrative, legal, fiscal, and historical values of the particular records.

Given the elapsed time since the TTC Records Retention By-law was enacted it is now necessary to undertake an updated analysis of current record holdings at the department level and the laws governing the functions they support. Additionally, the TTC is in possession of very unique historic records that are in need of identification and inclusion in the TTC archival collection currently held at the City of Toronto Archives.

Through the combined efforts of TTC staff, City of Toronto Archives staff and a third party records management professional, it is expected that this project can be completed by the end of 2010. The work, as described in the recommendations of this report, is thorough and will ensure the highest level of integrity, protection and retention efficiency for the TTC's records.

September 13, 2010

1-11

Attachment – Schedule 'A'

SCHEDULE "A"

In Column 1 TITLE	In Column 2 DESCRIPTION	In Column 3 RETENTION	ITEM NUMBER
Corporate Administration	Agendas, Minutes and Reports		
	- Commission; Board of Directors (Toronto Coach Terminal Inc.; Toronto Transit Consultants Limited; Pension Fund Society; Sick Benefit Association); Executive Committee	Permanent	1
	- Joint Health and Safety	5 years	2
	- All Other Meetings	2 years	3
	Annual Reports - TTC	Permanent	4
	Archives		
	- Agreements		
	- Donation/Gift	Permanent	5
	- Loan	2 years after return of material	6
	- Reproduction/Research	5 years	7
	- Oral History , Audio Records and Glass Negatives	Permanent	8
	- Requisitions	2 years	9
	By-laws	Permanent	10
	Contracts/letter agreements/precedent letters	10 years	11
	Correspondence/Logs/Registers		
	- Corporate/Executive	5 years	12
	- Finance, Human Resources, Planning, Research	3 years	13
	- All other departments	2 years	14
	- Social/Recreational (Council/Association)	5 years	15

Corporate Administration	Freedom of Information		
	- Requests	1 year	16
	- Delegation of Authority	2 years	17
	- Privacy Compliance Reviews	2 years	18
	Internal Audit		
	- Manual	Until superseded	19
	- Reports - External	Permanent	20
	- Reports - Internal	10 years	21
	- Working Papers	7 years	22
	Policies/Procedures		
	- Corporate	Permanent	23
	- Office Administration; Operating; Safety	5 years after superseded	24
	Registrations - Memberships	1 year	25
	Regular Negatives; Prints; Video Tapes	5 years	26
Engineering and Construction	Accident/Occurrence Reports	Permanent	27
	Account Validation Requests	10 years after completion of project	28
	Addenda - originals	25 years after completion of project	29
	Aperture Cards	25 years after project completion	30

Engineering and Construction

Contracts/Projects		
- Complaint files	7 years after completion of project	31
- Litigation	25 years after file closure	32
- Supporting Documentation	10 years after completion of project	33
Design Records - Architectural, Mechanical, Electrical, Structural, Design Support, Paving and Restoration, Storage Tanks (Aboveground and Underground)	7 years after decommissioning of structure/equipment	34
Drawings/Prints/Tracings	7 years after decommissioning of structure/equipment	35
Estimating Records	10 years after completion of project	36
Internal Work Authorizations	2 years after completion of project	37
Manuals		
- General	Until Superseded	38
- Technical	7 years after decommissioning of structure/equipment	39
Master Project Schedule	2 years after completion of project	40
Materials List	10 years after completion of project	41
Photographs - Construction Progress	7 years after decommissioning of structure/equipment	42

Engineering and Construction	Reports			
	- Construction/Inspection	10 years after completion of project	43	
	- General	Until superseded	44	
	- Studies/Tests/Technical	7 years after decommissioning of structure/equipment	45	
	Roadwork - City	10 years after completion of project	46	
	Soils	Permanent	47	
	Specifications - Master Specifications, Contract History, Drawings, Addenda, Support Papers, Backup	10 years after completion of project	48	
	Survey Notes	25 years after completion of survey	49	
	Financial	Accounts Payable/Receivable		
		- Cheque Requisitions; Invoices; Statements; Authorizations - Expenditures	7 years	50
Banking Records				
- Deposits; Reconciliations; Statements; Summaries		7 years	51	
Budgets				
- Corporate - Capital; Operating; Summaries		5 years	52	
- Workforce - Annual Reports		Permanent	53	
- Workforce - General		7 years	54	
- Workforce - Monthly Reports		2 years	55	
- Working Papers		2 years	56	

Financial	Cash - Books; Statements	7 years	57
	Cheques - Benefits; Capital; General; Payroll	7 years	58
	Contracts - For Financial Services	7 years after completion of contract	59
	Depreciation Schedules	Permanent	60
	Design Assistant Program Memos	Until termination	61
	Disbursements	7 years	62
	Expenditure Summary	1 month	63
	Expense Records		
	- Regular reports and documents	10 years	64
	- Year End Reports	Permanent	65
	Fares and Fare Media		
	- Media - GTA Pass; Student Photo ID; TTC Passes (Metropass)	Until superseded	66
	- Sales Records	7 years	67
	- Sales Reports	1 year	68
	Financial Extracts	Until project completion	69
	Financial Planning - Long Range	15 years	70
	Insurance		
	- Policies / Property Valuations	5 years after expiry	71
	- Supporting Documents	10 years after expiry	72
	- Inventories - Financial - Annual	7 years	73
	Journals - Cash; Expense; General; Payroll	7 years	74

Financial

Ledgers

-	Accounts Payable/Receivable; General; Operating Administrative	7 years	75
-	Bad Debt	10 years	76
-	Capital Stock; Property; Securities; Payroll	Permanent	77

Payroll Records

-	Attendance Records	3 years	78
-	Canada Savings Bonds	7 years	79
-	Deductions	7 years	80
-	Direct Deposit Information Cards	Until termination, resignation, retirement	81
-	Employment and Wage Records	5 years	82
-	Garnishees	7 years	83
-	OARS - Online Attendance Reporting System	7 years	84
-	Overtime Reports - Operations	3 years	85
-	Pay Off Orders	3 years	86
-	Sign-In Sheets	1 year	87
-	Time Cards/Sheets	2 years after work is performed	88
-	Unclaimed Wages	7 years	89
-	Unemployment Insurance	7 years	90
-	Vacation Pay	7 years	91
-	Workforce Statistics	7 years	92

Financial

Receipts

-	Fare Media Delivery	2 years	93
-	Other Financial	7 years	94
-	Payroll	1 year	95

Registers

-	Cheque; Payroll	Permanent	96
-	Financial	2 years	97

Remittance Documents

-	Advice	6 months	98
-	Slips	7 years	99

Sales Records

-	Collections; Customer Centre; Expenses	7 years	100
-	General	1 year	101

Securities Documents

Permanent	102
-----------	-----

Statements

5 years	103
---------	-----

Statistical Data Lists

10 years	104
----------	-----

Stock Documents

Permanent	105
-----------	-----

Subsidiary Company Records

-	Accounts Payable/Receivable Invoices	7 years	106
-	Ledgers	Permanent	107
-	Registers - Administration	2 years	108
-	Reports - Annual	Permanent	109

Financial	Taxes		
	- Federal - Excise; Income	7 years	110
	- Fuel Consumption	5 years	111
	- Municipal	7 years	112
	- Provincial - Income; Retail Sales	7 years	113
	Trial Balance	7 years	114
	Vouchers		
	- Cash; Cost/Expense; Payroll	7 years	115
	- Journal	15 years	116
Human Resources	Administration Documents	5 years	117
	Applications - Internal, Refused	6 months	118
	Absence Records	5 years	119
	Benefit Plans - Enrolment	5 years	120
	Contracts		
	- Employees	10 years after completion of contract	121
	- Labour Unions	Permanent	122
	Departmental File	Destroy on transfer of documents to master file	123
	Employment Equity	5 years	124

Human Resources

Health		
- Health File	50 years after resignation, retirement or termination	125
- Pre-Employment Health Record (Not hired)	5 years	126
Job Bidding Documents	3 months	127
Job Descriptions, Job Evaluations (including working papers)	5 years after update	128
Master File - Discipline Documents, Employee Suggestions, Grievances (Including Steps 2,3,4)	10 years after termination	129
Organization Charts	Permanent	130
Performance Appraisals/Reviews	10 years after termination	131
Planning	10 years after termination	132
Pre-employment Documentation - Refused	1 year	133
Reports		
- Labour/Industrial - External	10 years	134
- Overtime - Ontario Labour Standards Act	2 years	135
Sick Benefit Association		
- Administration; Annuities; Financial Statement; Claims	5 years	136

Human Resources

Training and Development

- Administration/Co-ordination Documentation; Strategies; Reports	5 years	137
- Handbook	5 years after superseded	138
- Program Documentation Operations/Maintenance	5 years after superseded	139
- Rule Book	10 years after superseded	140
Wage and Salary Administration Information	5 years	141
Workplace Safety and Insurance Board (Workers' Compensation)		
- Agreement; Authorization; Claims; Documentation; Reports	5 years after employee deceased	142

Legal

Agreements - Annuity	Permanent	143
Claim Files	25 years after file closure	144
Constructive/Wrongful Dismissal	10 years after dismissal	145
Inquests		
- General	20 years after conclusion	146
- Coroner's	Permanent	147
Ledgers/Registers - Legal Files	Permanent	148
Litigation	25 years after file closure	149
Noise and Vibration - Claims and Complaints	20 years after file closure	150
Ontario Municipal Board Applications	25 years after file closure	151

Legal	Trademarks/Copyright	Permanent	152
Management Information Systems	Data Control Documents	1 year	153
	Licences - Software	5 years after expiry	154
	Mainframe Computer System Back-up	Until superseded	155
	System Documentation	5 years after superseded	156
	Telephone - Emergency Contact List/Employee Directory	Until superseded	157
Marketing	Advertising; Promotion	10 years	158
	Audio Tapes		
	- TTC Customer Service (INFO)	24 hours unless incident/until resolution of incident	159
	- Wheel Trans Customer Service, Despatch, Reservations	2 months unless incident/until resolution of incident	160
	Contracts - Musicians	2 years after expiry	161
	News Releases	10 years	162
	Publications		
	- Customer Information: Brochures	Until superseded	163
	- Coupler Magazine	Permanent	164
Materials and Procurement	Contracts - Procurement	Permanent	165
	Expediting Documents	5 years	166
	Inventory - Materials	7 years	167
	Ledgers - Materials/Stock	7 years	168
	Materials Documents	5 years	169

Materials and Procurement

Material Requisitions			
-	Internal - Charged Back	3 years	170
-	Internal - No Charge Back	1 year	171
-	External	7 years	172
	Operating Documents (Forms, Graphics History File)	4 years after obsolete	173
	Purchase Authorizations	2 years after final payment	174
Purchase Orders			
-	Annual	Until final payment is made	175
-	Back-up	1 year after final payment	176
-	Clothing, Glasses, Materials	3 years	177
-	General (Commission P.O.'s)	7 years	178
-	Memos / Record of Invoice Received	1 year	179
	Quotes	7 years	180
Receipts			
-	Materials	3 years	181
-	Stores	7 years	182
	Stock Documents	5 years	183
	Tenders and Related Documents	7 years	184

Operations - Equipment	Contracts - for Services - Oil, fuel, power wash, calibrating	10 years after completion of project	185
(includes Wheel Trans)	Drawings		
	- Final	10 years after completion	186
	- Working Copies	5 years	187
	Keys/Locks	Until superseded or life of equipment or facility	188
	Manuals - Maintenance	30 years or life of equipment or vehicle	189
	Projects		
	- Vehicle Rebuild	30 years or life of equipment or vehicle	190
	- All Other Projects	5 years	191
	Requisitions - Service - Internal	3 years	192
	Reports		
	- Active Vehicle Allocation; Daily Bus Availability; Fleet Size; Operational General	1 Year	193
	- Daily ALRV/CLRV Summary; Daily Defect Sign in Sheets; Daily Vehicle Run in Sheets; Mileage, Miles Per Defect; Vehicle Change	3 years	194
	- Equipment Inspection; Maintenance Engineering Problem; Miles Per Chargeable Change-off; Preparation of Trains for Service Checkers List Form 1417; Safety Inspection Form 588; Sign-In, Found-In and Yard Defects Form 218; Standard Inspection Report Forms; Subway Trouble Report 4526	2 years	195
	- Garage Fuel Consumption	Until facility decommissioned	196
	- Technical	10 years	197

Operations - Equipment (includes Wheel Trans)	Specifications		
	- Design/Support Papers	10 years	198
	- Engineering	30 years or life of equipment or vehicle	199
	- External	5 years	200
	Work Orders		
	- Keys/Locks/Service	3 years	201
	Aperture Cards	7 years after decommissioning of structure/equipment	202
	Drawings/Prints/Tracings	7 years after decommissioning of structure/equipment	203
Operations - Engineering (includes Wheel Trans)	Manuals		
	- Maintenance	Life of equipment	204
	- Technical	7 years after decommissioning of structure/equipment	205
	Reports		
	- Construction; Inspection	10 years after project completion	206
	- Studies; Tests; Technical	7 years after decommissioning of structure/equipment	207
	Specifications		
	- Design Records; Support Papers	7 years after decommissioning of structure/equipment	208

Operations Service- (includes Wheel Trans)	Applications - Commercial Vehicle Operator Registration Certificate	Until superseded	209
	Applications - Wheel Trans Service		
	- Approved	2 years after termination of service	210
	- Refused	1 year from date of refusal	211
	Data Control Documents	1 year	212
	Headway Recordings	1 month	213
	Logs - (includes CIS)	3 years	214
	Maps - Routes	Permanent	215
	Notices/Circulars/Operating Documents	1 year	216
	Planning - Non-Financial	5 years	217
	Pocket Timetables	1 year after update	218
	Projects - Service Planning	5 years after completion	219
	Reports		
	- Accident/Occurrence, Inspectors' Service, Surface Supervisory - 185L, Witness	7 years	220
	- Operational	1 year	221
	- Technical (includes Noise/Vibration)	10 years	222
	Run Sheets - Operators'	2 years	223
	Schedules and Crew Guides	1 year after update	224
	Stop Cards	2 years	225

Operations Service-	Transit Control		
(includes Wheel Trans)	- Audio Tapes	1 year unless incident/until incident resolution	226
	- Documents	1 year	227
	Way Bills	6 months	228
Operations - Track and Structures	Certificates of Payment	10 years after completion of project	229
(includes Wheel Trans)	Contracts - General Files and Supporting Documentation	10 years after completion of project	230
	Design Records	7 years after decommissioning of structure/equipment	231
	Developments - Files and Drawings	10 years after completion of project	232
	Drawings/Print/Tracings	7 years after decommissioning of structure/equipment	233
	General Files	5 years	234
	Inspections		
	- Structural	10 years	235
	- Switch;Track Patrol; Workplace; Zone	5 years	236
	Manuals		
	- General	Until superseded	237
	- Technical	7 years after decommissioning of structure/equipment	238
	PUCC Applications	5 years	239

Operations - Track and Structures (includes Wheel Trans)	Rail Project Sheets	20 years	240
	Reports		
	- General	Until superseded	241
	- NDT Test; Technical Investigation	10 years	242
	- Studies; Tests; Technical	7 years after decommissioning of structure/equipment	243
	Specifications	Until superseded	244
Pension Fund Society	Accounts Payable Vouchers - General Account	7 years	245
	Actuarial Reports	Permanent	246
	Beneficiary Cards and Fiche for Leavers	10 years	247
	Books of Original Entries	10 years	248
	Cheque Registers - Pension Payroll	Permanent	249
	Correspondence - Internal External	4 years	250
	Employee Records	7 years	251
	Estate Files	5 years after deceased	252
	Estimates	5 years	253
	Final Papers	10 years	254
	Financial	7 years	255

Pension Fund Society	Guarantee and Survivor Elections	5 years after deceased	256
	Ledger - General	Permanent	257
	Performance Measurement Reports	Permanent	258
	Reports - General	5 years	259
Property Management	Contracts - Leases - Concessions	10 years after expiry	260
	Commuter Parking Documents	10 years	261
	Deeds and Mortgages	5 years after sale or expiry	262
	Development Files	25 years	263
	Drawings - Buildings/Property	Until sale or disposition	264
	Property Permit Requests	1 year	265
	Boiler and Pressure Vessel Certificates of Inspection	6 years	266
Safety	Confined Space Records	2 years	267
	Employee Safety Training and Development	Permanent	268
	Environmental		
	- Assessment and Audits	Permanent	269
	- Compliance	10 years after completion	270
	- Hazards	Until superseded	271
	Exposure Records	40 years from first air sample or 20 years from last air sample	272
	Fire Safety Records	2 years	273
	Inventories - Safety	3 years	274

Safety	Investigators' Notebooks	5 years	275
	Occupational Hazards	Permanent	276
	Orders - Ministry of Labour	Permanent	277
	Reports		
	- Accident/Occurrence	7 years	278
	- Internal Safety Audit	10 years	279
	Safe Driver/Zero Injury Records	5 years	280
	Safety Information	5 years	281
	System Safety	5 years	282
	System Safety Plan	10 years after superseded	283
	Security	Human Rights	
- Cases/Investigations		5 years after file closure	284
- General		5 years	285
Investigators' Notebooks		5 years	286
Parking Violations		2 years	287
Surveillance Video Tapes		72 hours unless incident/until resolution of incident	288
All Other Security Related Information		10 years	289

September 23, 2010