



By-law 2017-151

A by-law establishing schedules of retention periods
for all records kept by the City of Markham

WHEREAS, Section 254 of the *Municipal Act*, as amended, provides that the Council of a Municipality shall retain and preserve its records in a secure and accessible manner and establish retention periods during which the records must be kept by the Municipality;

Now therefore the Council of The Corporation of the City of Markham hereby enacts as follows:

1. The retention periods for all records as stipulated in the table attached hereto as Schedule A and forming part of this by-law, are hereby adopted.
2. Any of the records set out in Schedule A, may be destroyed after the prescribed retention period for each record has expired.
3. That By-law 2001-101 as amended is hereby repealed.

Read a first, second, and third time and passed on December 12, 2017.

"Kimberley Kitteringham"

Kimberley Kitteringham
City Clerk

"Frank Scarpitti"

Frank Scarpitti
Mayor

CLASSIFICATION STRUCTURE AND RETENTION BY-LAW

OVERVIEW

The records classification and retention structure is a valuable tool to manage the records and information created or received by the City of Markham and as such, it is an important strategic business resource. The systematic application of managing information through a classification structure allows for the control of information assets throughout its lifecycle – from creation to destruction. By consistently identifying information, regardless of where it is held, the structure removes barriers to access (assuming appropriate permissions) while also protecting privacy and allows information to be available in a timely fashion to those who need it. This access is essential for supporting decision-making and sharing the knowledge developed through collaboration efforts. Such a system also supports accountability and good governance, protects personal and confidential information, captures and preserves the corporate memory and the history of the City of Markham while improving organization efficiencies and mitigating risk.

The City of Markham's Classification and Retention By-law is the official policy for the management of records at the City. It provides staff with the authority to manage records in accordance with relevant policies, legislation and regulations. The City of Markham has adopted the International Organization of Standards (ISO 15489) standard of a functionally based classification structure to provide a hierarchical framework for the organization and description of records. The structure is based on the content of the document and applies to all records, regardless of whether they are in paper, digital, image, audio or video format. Each classification category is accompanied by a retention timeframe that reflects applicable legislation and business need. The City's retention requirement for a record is fully satisfied by the creation and preservation of an authentic digital copy. The resulting digital record must then be retained for the remainder of the applicable retention period. The main reasons for a functional approach are as follows:

- Eliminates duplication of records because all records related to a specific function are grouped together rather than split up among departments. For example, all agreements and contracts would be under the function of LEGAL, LICENSING & PERMITS;
- Provides integrity and thus reliability when searching for information within the central repository because all "like" things are filed together rather than "classified" under different departments;
- Business functions are independent of organizational structure. Changes in organizational structure do not affect the classification scheme. It doesn't have to be "re-invented";
- Department names are forever changing, but functions remain constant;
- Reduces silos of information.

The functions of the City of Markham are as follows:

Administration
Asset Management and Maintenance
Communication, Promotion & External Relations
Employee Management
Environment, Sustainability & Safety
Financial Management

Governance
Information Technology
Legal, Licensing and Permits
Planning, Development and Building
Project Management
Recreation and Cultural Services

DEFINITIONS

RECORD

The International Organization for Standardization (ISO) defines a record as “*recorded information in whatever physical format created, collected or received in the initiation, conduct or completion of an activity which has content, context and structure, is authoritative and reliable and provides evidence of decision-making*”. Records can include books, papers, maps, electronic documents, digital, video, voice recordings, web pages, etc.

TRANSITORY RECORD is useful for only a short time and has minor importance. When its use is over it should be deleted or destroyed. A transitory record can be destroyed at any time before the retention period of the original document as the official or original document is held by the originator/primary area of accountability and subject to the approved retention period. Examples of transitory records include the following:

- personal messages
- Teams chats
- general notices and announcements
- copies of documents and emails
- cc, bcc, or FYI emails kept only for convenience
- drafts and working documents to prepare final records with a few exceptions such as agreements/contracts, drafts in developing legislation.

NON-RECORD has no bearing on the organization's functions, operations, or mandate. A non-record may be a general distribution item, reference book, published legislation from other municipalities or government agencies or extra copy/convenience copy. A non-record is typically used, if ever, only for a very limited period of time. It does not have to be collected and maintained. This document is not required to be retained and therefore does not appear on a records retention by-law.

When applying the retention by-law to the City of Markham records, the above definitions of a record, transitory and non-record, determine what should be classified and focus on core business documents generated by the originator or the primary area of accountability.

However, notwithstanding the above definition of a transitory record, it is recommended that convenience copies and drafts be subject to classification rather than building up and taking up space on the server.

Convenience Copies

- Convenience copies are, by definition, not considered records. However, recent legal actions have drawn attention to the use of convenience copies for purposes of evidence or discovery. Incidents have occurred where primary documents have been destroyed as per established retention by-law but convenience copies still existed in the organization. These copies have been deemed to be official and subject to discovery or legal proceedings. Given these legal implications it is important for the City of Markham, if required, to classify convenience copies and ensure they are tracked and destroyed or disposed of no later than the retention period of the original document.
- Convenience copy holders are encouraged to destroy these copies on a regular basis. Convenience copies can be destroyed at any time before the retention period of the original document as the official or original document is held by the originator/primary area of accountability and subject to the approved retention period. A convenience copy cannot be held longer than the original document's retention period. Convenience copies cannot be sent to off-site storage. Only the original document from the originator / primary office of accountability identified on the retention by-law will be sent to off-site storage, as applicable, and in accordance with the retention by-law.

DEFINITIONS OF TABLE HEADINGS

RECORD SERIES AND FILING METHODOLOGY

Record series are defined as a group of related records that have the same form and function, are filed as a unit and are maintained together for retention scheduling purposes. Record series are destroyed as a unit when the retention period is up unless there is a litigation or audit hold on the record series. The record series are grouped into broad organizational functions, then by the activities that take place within each function. Activities are created based on the roles and responsibilities of staff who partake within that activity. Within each activity are the records that are created through that activity – it is the evidence of a business transaction – these are the record series where retention is applied. The types of documentation found in each record series are described in what is referred to as a scope note.

ACCOUNTABILITY

This classification scheme identifies the Office of Accountability – the business unit or department who is accountable for ensuring that the official record is managed throughout its lifecycle. This is the business area that has primary interest or ownership of the records. They are considered to be the official holder of the original records. When accountability refers to the “originator” it applies if all departments in the City are involved in creating and saving records for that record series. There is no one department accountable. Everyone is accountable for their own records.

RETENTION

The column labelled “**Total Retention**” specifies the length of time records must be kept. An event such as the termination of an agreement or project close may be used to indicate when the retention calculation begins. Retention periods are reviewed and approved by the Office of Accountability, Legal and Clerk’s authority.

DISPOSITION

The column labelled “**Disposition**” refers to how the records are disposed of at the end of their lifecycle. Once the records have reached the end of their total retention period they may be totally destroyed/expunged, or all or part of the record series may be designated as archival selection or archival which means the entire record series is kept for future generations. Records identified in the classification structure and retention by-law can only be destroyed/disposed of in accordance with the City of Markham’s records destruction procedures and in conjunction with approval from Legal and Clerks. All destroyed records should be documented by a certificate of destruction as proof of final disposition. The certificate of destruction is a permanent document to prove destruction took place, what records were destroyed and when they were destroyed.

SECURITY CLASSIFICATION

In order to protect the confidentiality, integrity and availability of the City of Markham’s data, each record series is assigned a security classification, being public, internal or confidential. (*See legend for definitions –pg.4*)

CITATIONS AND COMMENTS

The Citation/Comments column provides the cross-reference identifier to the legislative citations that are recommended as applicable for each category of records. FED refers to the Federal legislation and ONT refers to Ontario legislation.

LEGEND FOR RETENTION TERMS

Code	Definition	
A	Archival	Record Series which has been assessed to have historic significance. Archival documents are retained for 10 years at which point they are appraised again for historic importance and possibly archived for another 10 years. Every 10 years they are reviewed for historical significance. For electronic records they are reviewed to determine if these will continue to be migrated.
AS	Archival Selection Before Destruction	Refers to reviewing the records series before destruction to see whether they have historic significance prior to destruction. This is different from archival because in the case of an archival designation the entire records series is kept for posterity, whereas, in archival selection before destruction, records are “selected” for potential historic significance. The entire record series is not kept.
CY	Current Year	Refers to January 1 st to December 31 st .
FY	Current Fiscal Year	Refers to January 1 st to December 31 st . NOTE: City of Markham’s fiscal year is the same as the calendar year. However for financial information, most times, the retention is referred to as fiscal year.
D	Destroy	Requires that upon expiration of the retention period the document is destroyed – shredded, recycled, deleted (expunged).
S/O	Superseded or Obsolete	Refers to the replacement of a document once it has been updated or revised. The new document supersedes the previous version.
T/E	Event Trigger for termination or close of an event or activity	Refers to a record being retained until it has been closed or terminated, typically used for case-based or project records where the retention refers to the case being closed or the transaction being completed. For example, this retention applies to an employee file and is triggered at the point at which the employee leaves the organization. These records are usually maintained until the case or transaction or employee record is closed/terminated plus a pre-defined number of years, e.g. T/E+3 means retained until the case is closed plus 3 more years.
PIB	Personal Information Bank	Refers to records of individuals who are identifiable by home address, phone number, SIN#, OHIP#, etc. This information is protected under the MFIPPA legislation.
P	Permanent	Refers to records that are typically covered by legislation such as by-laws, council and statutory committee meetings or retained until the City of Markham ceases to exist as a municipality.

SECURITY CLASSIFICATION LEVELS

Public: This classification applies to information in the public domain. The information is fit for distribution via public channels such as email and websites. Disclosure of *Public* information is not expected to adversely impact the City of Markham, its employees, its stakeholders, its business partners, and/or its customers.

Internal: This classification applies to general information intended or appropriate for any internal audience or a restricted external audience such as stakeholders. Internal access is unrestricted, but external access is based on a business need-to know basis.

Confidential: This classification applies to the most sensitive business information that is intended for a limited audience. Its unauthorized disclosure could seriously and adversely impact the City of Markham, its employees, its stakeholders, its business partners, and/or its customers. Records, which are designated as confidential, are accessible only by a defined sub-group of the City of Markham. Access permissions may be given to staff based on their membership to a specific group or individually as City of Markham management deems appropriate.

SUMMARY OF CITY OF MARKHAM FUNCTIONS/ ACTIVITIES & RECORD SERIES

ADMINISTRATION	ASSET MANAGEMENT AND MAINTENANCE	COMMUNICATION, PROMOTION & EXTERNAL RELATIONS	EMPLOYEE MANAGEMENT	ENVIRONMENT, SUSTAINABILITY & SAFETY	FINANCIAL MANAGEMENT
<u>ADMINISTRATION</u> - Administrative Records – Office Administration - Research & Reference Materials - Templates & Forms – Blank - Meetings & Committees – Internal	<u>MANAGEMENT & MAINTENANCE– FIXED ASSETS</u> - Asset Register - Asset Lifecycle Reserve - As-Built & Infrastructure Drawings - Approved Infrastructure & Equipment - Uniform Management - Construction or Renovation – Municipal Owned Buildings - Facilities/Property Security Administration - Recordings- Security Closed Circuit Recordings - Facilities/Building Operations & Maintenance - Work Orders - Service & Repair Requests <u>FLEET/VEHICLE MAINTENANCE</u> - Fleet/Vehicle History & Maintenance Records	<u>MEDIA & PUBLIC RELATIONS</u> - Backgrounders & Briefing Notes - Complaints, Commendations, Issues from residents - General Enquiries - Media Relations - Media Coverage about the City of Markham - Photographs – Programs, Events, and Promotions - Presentations and Speeches <u>GRAPHIC DESIGN/ PUBLICATIONS/ WEBSITE CREATION & COORDINATION</u> - Corporate Identity - Promotional/ Publications Material & Information Packages - FINAL - Promotional/ Publications Material & Information Packages Production & Distribution - Web/Social Media Analytics	<u>ORGANIZATION & POSITION MANAGEMENT</u> - Job Descriptions - Organization Charts - Restructuring – Organizational Changes <u>RECRUITMENT & SELECTION</u> - Recruitment & Staff Selection - Volunteer Management <u>STAFF MANAGEMENT</u> - Employee Employment Records - Employee Medical Records - Employee Recognition Program - Employee Surveys - Workforce/talent Management - Time & Attendance Reporting - Workplace Safety & Insurance Board (WSIB) & Disability Management <u>COMPENSATION & BENEFIT ADMINISTRATION</u> - Employee Compensation - Employee Benefit Programs	<u>ENVIRONMENTAL PLANNING & PROTECTION</u> - Environmental Applications & Approvals - Environmental Assessments & Studies - Environmental Monitoring & Control - Pesticide/Herbicide Application - Pollution & Control - Weather Monitoring <u>CONSERVATION & SUSTAINABILITY</u> - Energy Conservation and Sustainability Programs - Water Conservation and Sustainability Programs <u>WASTE</u> - Waste Management <u>WATER & WASTEWATER PROTECTION & COMPLIANCE</u> - Drinking Water Quality Management Standard (DWQMS) - Water/Wastewater Laboratory Services - Water Distribution Operations - Wastewater Collection Operations	<u>CITY REVENUES ADMINISTRATION</u> - Accounts Receivable Processing - Cash Receipts - Development Charges - Grants to City <u>MUNICIPAL TAX ADMINISTRATION</u> - Tax Billing – Municipal - Tax Account Auto Pay Documentation - Tax Certificates – Municipal - Assessment Rolls - Property Tax Assessment & Levy Adjustments & Appeals - Tax Appeals by City - Property Tax: Charity & Vacancy Rebates - Tax Account – General Administration <u>WATER ACCOUNT ADMINISTRATION</u> - Water Billings - Water Account Auto Pay Documentation - Water Certificates – Municipal - Water Collections - Water Account – General Administration

ADMINISTRATION	ASSET MANAGEMENT AND MAINTENANCE	COMMUNICATION, PROMOTION & EXTERNAL RELATIONS	EMPLOYEE MANAGEMENT	ENVIRONMENT, SUSTAINABILITY & SAFETY	FINANCIAL MANAGEMENT
	<u>LINEAR INFRASTRUCTURE MANAGEMENT</u> • Linear Asset Design/ Planning/ Reconstruction • Maintenance & Repairs • Utility Location Records <u>PARKS/TREES MANAGEMENT</u> • Parks Maintenance Files • Tree Inventory • Tree Inspections	<u>EVENTS/COMMUNITY OUTREACH</u> • Event Arrangements & Logistics – Corporate, Employee or Community/Outreach <u>BUSINESS & STAKEHOLDER RELATIONSHIP MANAGEMENT</u> • External Sector Organizations & Associations • Business Contacts & Directories • Business Attraction/Retention/ Expansion Management • Economic Research • Sponsorship & Partnership Relations	• Employee Benefit Programs (Fire Fighters) • Pay Equity <u>TRAINING & SKILLS DEVELOPMENT</u> • Employee Orientation & Onboarding • Learning & Development Programs –Internal • Training Opportunities – Offsite • Mandatory Certification Training • Occupational Health & Safety Training <u>LABOUR & EMPLOYEE RELATIONS</u> • Employee Sexual Harassment Complaints • Respect in the Workplace Policy Complaints • Grievances • Arbitration Decisions • Labour Negotiations <u>PENSION ADMINISTRATION</u> • See Employee Benefit Programs	• Backflow Prevention Program • Private Water • Recreational Water Testing <u>HEALTH & SAFETY MANAGEMENT SYSTEM</u> • Building Fire Safety • Hazard Recognition Assessment & Control Activities • Hazardous Materials – Assessment & Control • Workplace Emergency Response Management	<u>ACCOUNTING ADMINISTRATION</u> • Accounts Payable Processing • HST Returns • Write Offs/Debt/Arrears • Securities – Letters of Credit (LC) & Cash • Banking Transactions & Reconciliations • General Ledger • General ledger Reconciliation • Month-end closing & Analysis <u>FINANCIAL PLANNING & INVESTMENT MANAGEMENT</u> • Annual Financial Planning & Budgeting – (Operational & Capital) Working Papers (FOR DEPTS.) • Budget – Operating & Capital – Working papers (FOR FINANCE) • Long Range Capital Plans – Working Papers • Long Range Capital Plans Approved -Final • Capital Asset Accounting • Investments & Reconciliations • Reserve Fund Accounts <u>FINANCIAL REPORTING</u>

ADMINISTRATION	ASSET MANAGEMENT AND MAINTENANCE	COMMUNICATION, PROMOTION & EXTERNAL RELATIONS	EMPLOYEE MANAGEMENT	ENVIRONMENT, SUSTAINABILITY & SAFETY	FINANCIAL MANAGEMENT
					• Financial Reporting – Bi-weekly, Monthly & Quarterly Working papers for Depts. • Financial Reporting – Monthly & Quarterly For Finance • Financial Statements & Auditor's Report - Final • Year End & Audit Reporting – Preparation Working Papers • Financial Information Returns (FIR) & MPMP Reporting <u>AUDIT</u> • Auditor Relationship Management • Services Audit –Internal • <u>PAYROLL</u> <u>ADMINISTRATION</u> • Payroll Processing • Payroll – Remittances <u>PROCUREMENT</u> • Supplier Information • Supplier Submissions (Unsuccessful/ Declined/Cancelled) • Supplier Contract Management (Successful) • Supplier Performance Management • P-card Management

GOVERNANCE	INFORMATION TECHNOLOGY	LEGAL, LICENSING AND PERMITS	PLANNING, DEVELOPMENT AND BUILDING	PROJECT MANAGEMENT	RECREATIONAL AND CULTURAL SERVICES
<u>ACCESS & PRIVACY</u> - Access Requests <u>BY-LAWS ADMINISTRATION</u> - By-Laws <u>COUNCIL ADMINISTRATION</u> - Council Orientation and Administration - Council, Standing, & Advisory Committee Meeting Records – Working Notes - Council, Standing, & Advisory Committee Meeting Records - Confidential - Council, Standing, & Advisory Committee Meeting Records - Public - Committees – Appointed by Council - Commissioner of Oaths <u>ELECTIONS CO-ORDINATION & ADMINISTRATION</u> - Municipal Election Administrative Records	<u>INFORMATION TECHNOLOGY - COMPUTER & INFORMATION SECURITY</u> - Computer System Access & Controls - System Back-up <u>APPLICATIONS AND SYSTEMS DEVELOPMENT</u> - Product Evaluations - Systems Development Lifecycle <u>COMPUTER OPERATIONS AND SUPPORT</u> - Hardware and Software Inventory - Hardware and Software Manuals/Instructions/ Operating Procedures - Help Desk Logs & Reports - Reports & Monitoring	<u>AGREEMENTS & CONTRACTS/LEASE ADMINISTRATION</u> - Agreements/ Contracts Leases – Working Papers - Agreements/ Contracts Leases – Executed Contracts - Agreements/ Contracts – Planning Act Applications Working Papers - Dispute Resolution <u>LEGAL MATTERS</u> - Corporate Books & Records - Dispute Resolution - Legal Opinions/Advice/ Briefs - Precedents - Ontario Municipal Board (OMB) Case Files <u>INSURANCE, RISK & COMPLIANCE MANAGEMENT</u> - Insurance & Risk Management - Compliance Letters - Accident & Incident/ Collision Reporting - Consent Release Forms & Waivers	<u>BUILDING, PLANNING & ZONING</u> - Development Inquiries/ Pre-Application Consultation-& Completed Application Checklist - Planning Applications - Building Permits – Applications - Building Permits -Issued - Application & Permits – Other - Property Reference File (residential & non-residential) - Inspections - Building <u>DEVELOPMENT ENGINEERING</u> - Design Standards - Municipal Inspections/CAQC - Transportation Planning - Traffic Control & Operations <u>URBAN POLICY & PLANNING</u> - Official Plan & Amendments - Master Plans - Secondary Plans “M” & “R” Plans - Maps/Plats - Research & Studies - Urban Design	<u>CAPITAL & INFRASTRUCTURE PROJECTS</u> <u>PROJECT MANAGEMENT – INFORMATION TECHNOLOGY/ OPERATIONAL/ ADMINISTRATIVE/ AD HOC</u>	<u>PROGRAM MANAGEMENT</u> - Program Records - Program Registration & Memberships - Activity/Statistical Reports <u>FACILITY RESERVATIONS – RECREATIONAL</u> - Facility Bookings <u>CULTURAL ACTIVITIES</u> - Exhibits - Performance Files - Public Art & Art in City of Markham Facilities - Museum Collections - Museum Research

GOVERNANCE	INFORMATION TECHNOLOGY	LEGAL, LICENSING AND PERMITS	PLANNING, DEVELOPMENT AND BUILDING	PROJECT MANAGEMENT	RECREATIONAL AND CULTURAL SERVICES
• Municipal Election Records – Campaign Finance • Municipal Election Results & Statistics • Municipal Election Records – Voters Lists/Ballots/ Temporary Staffing • Wards & Boundaries <u>POLICIES & PROCESS MANAGEMENT</u> • Policies, Procedures Standards & Guidelines <u>STRATEGIC & LONG RANGE PLANNING</u> • Strategic & Administrative Plans <u>GOVERNMENT RELATIONS</u> • Government/ Inter-governmental Relations & Agencies • Accessibility for Ontarians with Disabilities Act (AODA) <u>RECORDS/DOCUMENT MANAGEMENT</u>		<u>REAL PROPERTY MANAGEMENT</u> • Real property Acquisition /Expropriation/ Disposition <u>LITIGATION / CLAIMS</u> • Claims by the Municipality • Claims Against the Municipality – Insured & Not Insured <u>LICENCES & PERMITS PROCESSING PERMITS</u> • Licences & Permits <u>BY-LAW ENFORCEMENT</u> • Provincial Offenses • Complaints, Citations, Notices of Violations and Investigations • Municipal By-law Infractions <u>VITAL STATISTICS</u> • Marriage Applications • Marriage Registry • Vital Statistics Registrations	<u>PARKS & OPEN SPACE PLANNING</u> <u>MUNICIPAL ADDRESSING</u> • Street Names & Numbers <u>HERITAGE PLANNING</u> • Heritage Resources		

GOVERNANCE	INFORMATION TECHNOLOGY	LEGAL, LICENSING AND PERMITS	PLANNING, DEVELOPMENT AND BUILDING	PROJECT MANAGEMENT	RECREATIONAL AND CULTURAL SERVICES
• Classification & Records Retention By-law • Records Destruction Certificates • Records Centre Operations					

ADMINISTRATION

The function of managing the administrative activities of the departments. Records relating to general office information such as office administration records, internal and staff committee meetings, minutes, agendas, contact lists, and blank template/forms.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
ADMINISTRATIVE RECORDS - OFFICE ADMINISTRATION Records relating to general office administration functions and subjects not covered elsewhere. This may include daily correspondence and chronological files, calendars, travel arrangements, monthly activity or status reports, etc.	Alphabetical by subject	Originator	CY+3	Destroy	Internal	
REFERENCE & RESEARCH MATERIAL Records relating to the management of external publications such as library material used for reference purposes, newspaper clippings. Also includes the management of office subscriptions, books, and digital publications purchased by staff or Departments. This includes subscriptions for professional newsletters, printed and electronic journals, business and news periodicals, and book orders.	Alphabetical by topic	Originator	CY+3	Destroy	Internal	
TEMPLATES & FORMS - BLANK Templates and forms relating to City of Markham business. The blank master document provides a standard format for data collection and formatting, or provides a best practice format for document creation. Records may include blank, printable forms and checklists, letterhead, PowerPoint template, electronic templates that standardize data capture and display, excel spreadsheet tools, etc.	Alphabetical by topic Building Standards • Application forms • Correspondence templates Communications • Letterhead • Support Request form • Public Display space request form • Council Report templates	Originator	S/O+1	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
	Finance • Expenses Claim Form • Letters of Credit • Petty Cash • People Services Absence Request • Benefit • New Hires Licensing • Business • Driving Schools • Lottery • Taxi Planning • Planning Application Forms					
MEETINGS & COMMITTEES - INTERNAL Records relating to departmental meetings and committees of City staff that are not related to council or committees of council. Documents may include meeting agendas, terms of reference, membership list, minutes for such committees, contact lists as Executive Leadership Team, quarterly reports to ELT and CAO, department staff meetings and retreats. FOR: COUNCIL COMMITTEE MEETINGS SEE: GOVERNANCE – COUNCIL, STANDING AND ADVISORY COMMITTEES MEETING RECORDS - PUBLIC	Alphabetical by committee /meeting name • Commission • Executive Leadership Team • Department Meetings • Retreats	Originator	CY+6	Archival Selection	Internal	

**ASSET MANAGEMENT
AND MAINTENANCE**

The function of managing and maintaining the physical assets of the City of Markham relating to the renovation, replacement, operation, and maintenance of property and equipment, which it owns or leases, and the associated professional standards. This may include linear infrastructure plus buildings, facilities, lands, vehicles, traffic signals, parks, parking lots, bridges, culverts, street light assets, water mains, storm water ponds, garages and the work orders required to do the work. This includes periodic condition assessment and tracking total life cycle costs.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
MANAGEMENT & MAINTENANCE– PHYSICAL ASSETS						
ASSET REGISTER These records describe assets such as land, parks, roads, water, sanitary sewers, bridges, culverts, storm water ponds, storm sewers, streetlights, parks equipment and any other large purchases. They may contain a description of the asset, purchasing information, asset location. FOR: COMPUTER EQUIPMENT SEE: HARDWARE AND SOFTWARE INVENTORY	By type of asset	Asset Management	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Internal	
ASSET LIFECYCLE RESERVE This study is updated annually to determine the adequacy of the reserve based on projected inflows to sustain future rehabilitation and replacement requirements for the next 25 years. It uses a 25-year rolling planning horizon.	By asset type	Originator	T/E + 25 disposition of the asset	Destroy	Internal	
AS-BUILT & INFRASTRUCTURE DRAWINGS Drawings such as as-builts, including construction, architectural, structural, mechanical, & electrical drawings, floor plans, site plans, parks, storm water, roads, bridges and for subdivisions, facilities, upgrades ,	By address/location	Asset Management	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Internal	Ont.9, Ont.15, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
water and auto-cad drawings and files, etc. SEE ALSO: PROJECT MANAGEMENT						
APPROVED INFRASTRUCTURE & EQUIPMENT Files contain information on the history of the equipment including traffic and signs safety equipment such as fire and Zamboni and safety devices, roofs, street lights and fitness equipment. Records include equipment parts, warranties (e.g. infrastructure), out of service notification. Includes operation and maintenance manuals, specifications and standards.	By asset type By address/location	Originator	T/E + 25 years File closed after the equipment is decommissioned + 25 years	Destroy	Internal	Ont. 9. Ont. 15, Ont.18,
UNIFORM MANAGEMENT Records related to the management, maintenance and dispersal of required uniforms and other apparatuses used by fire and emergency services and recreation. May also include equipment/clothing inventories, truck check sheets, bedding box assignments.	By equipment type: Department Official Safety	Originator	T/E +2 File closed after the equipment is decommissioned + 2 years	Destroy	Internal	
CONSTRUCTION OR RENOVATION - MUNICIPAL OWNED BUILDINGS Records relating to construction and renovation of City facilities (new, existing, or renovated) including parks, heritage buildings and recycling depots. Documents may include specifications, reports, commentary, guidelines, architectural and engineering drawings, city-owned building drawings, consultant reports,	By Location	Asset Management	T/E+25 Retain as long as building or structure remains in existence + 25 years	Archival Selection	Internal	Ont.9, Ont.15, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
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. Photos of assets are included in this category. SEE ALSO: PROJECT MANAGEMENT						
FACILITIES/PROPERTY SECURITY ADMINISTRATION Records relating to the physical security of City buildings, properties, and facilities. Security measures are intended to guard against damage, vandalism 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. Documents may include security clearance files, security logs and security user guidebooks. May also include video or audio recordings, security clearance files, security logs and security user guide books. Note that security footage on most devices continuously overwrite. Once the footage is viewed, it becomes a record. It should then be transferred to the appropriate record series such as By-Law Enforcement, Claims by the Municipality, or Accident & Incident / Occurrence Reporting.	By topic	Asset Management Environmental Services- Waterworks	CY+3	Destroy	Confidential	PIB Fed. 19, Fed.20, Fed.21, Fed.22, Ont. 50

RECORDINGS - SECURITY CLOSED CIRCUIT RECORDINGS Records relating to Closed Circuit Television recordings made at City facilities and City fleet. In each case, recording mediums (VHS tapes, DVDs, CDs, audio tapes, etc) will be re-used within a specified time period. If the recording is downloaded to document a particular incident for law enforcement purposes, it is then retained for claims management.	By asset type	Originator	30 days T+3 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.	Destroy	Confidential	PIB Ont. 119, Ont. 206
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Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
FACILITIES/BUILDING OPERATIONS & MAINTENANCE Records relating to the monitoring and scheduling of condition and maintenance of building structures, and internal property 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), pools, arenas, janitorial services, flooring, painting, walkways, roofing and general renovations, fuel depots, etc. Records may include building key legends, inspection reports, inspection logs, preventive maintenance reports, corrective repairs, deficiency reports, maintenance/operational manuals, technical reports, technical bulletins, prototype notices and building and equipment operating manuals for the maintenance of the equipment.	By property name and then by property address	Originator	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Internal	Ont.11, Ont.16, Ont.17, Ont.18, Ont.19, Ont.20, Ont.21, Ont.95, Ont.180, Ont.182, Ont.184, Ont.185, Ont.186, Ont.187, Ont.188, Ont.189, Ont.190, Ont.191, Ont.192, Ont.193, Ont.194, Ont.195, Ont. 196, Ont. 197
WORK ORDERS Records relating to the creation and processing of Work Orders. Work Orders are issued indicating required tasks to be performed such as repairs and design. Includes cyclical, emergency, preventive, non-emergency and maintenance completed Work Orders estimates, summaries and final charges, including commercial charges for internal	By asset name	Originator	CY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
maintenance and repairs. Includes work orders for locates and clearances of locates including drawings, maps and consents and approvals.						
SERVICE & REPAIR REQUESTS Requests from the public or from other local government departments on street hazards, potholes, other needed repairs on roads, streets, and rights-of-way and requests for traffic signs, lights, changes to traffic flow, pool, facilities, ice etc.	By location/address	Originator	T/E+3 Project finished + 3 years	Destroy	Confidential	PIB Ont.12, Ont.13, Ont.14
VEHICLE/FLEET MAINTENANCE						
FLEET / VEHICLE HISTORY & MAINTENANCE RECORDS Master record on each vehicle containing the following: complete description including identification and license numbers; title and registration papers; annual beginning and ending odometer readings; total annual fuel, maintenance, labour, and parts costs; and complete maintenance and inspection history (in summary form showing date and nature of inspection, service and repair). Records include replacement program documents, backup to the history of vehicle repairs such as fleet master list, CVOR vehicle inspection list and warranty information, and 407 charges including licensing renewals and fuel site management (costing, tracking, and credit cards).	By subject: • Fire Truck • Transponders • 407	Operations- Fleet & Supplies	T/E+3 Termination of lease + 3 years	Destroy	Internal	Fed.13, Ont.95, Ont.165, Ont.166, Ont.167, Ont.168, Ont.170, Ont.171, Ont.172
LINEAR INFRASTRUCTURE MANAGEMENT						

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
LINEAR DESIGN/ PLANNING/ RECONSTRUCTION Includes records such as test results, analysis reports, status reports, notice to public, copy of the payment certificate and copy of the tender regarding the design, planning and construction of specific new and existing roads; such as, resurfacing, widening, paths, bicycle lanes, water, storm water and waste water. SEE ALSO: PROJECT MANAGEMENT	By type of project and location	Originator	T/E+3 After actions completed + plus warranty period if applicable	Destroy	Public	Ont.9, Ont.10, Ont.15, Ont.95
MAINTENANCE & REPAIRS Records include inspection logs, patrol logs, maintenance records , daily material usage reports for bridge inspection and maintenance, general roads maintenance general, winter roads, salt management plan, snow removal, maintenance of regional sidewalks and streetlights, inspection and maintenance of storm water management facilities, pumping stations, storm and sanitary sewers and water mains. Also includes CCTV videos used for inspections. FOR BUILDINGS SEE: FACILITIES/BUILDING OPERATIONS & MAINTENANCE	By asset type and then By location/address	Originator	T/E+3 Completion of inspection or completion of maintenance	Destroy	Internal	Ont.12, Ont. 95, Ont.193, Ont.194
UTILITY LOCATION RECORDS Includes records pertaining to utility stake outs required for excavation work performed on various City of Markham streets and right-of-ways. May also include ON1CALL records.	By location	Originator	CY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
PARKS & TREES MANAGEMENT						
FOR: PARKS AND OPEN SPACE DESIGN AND DEVELOPMENT SEE: PLANNING, DEVELOPMENT & BUILDING - PARKS AND OPEN SPACE PLANNING						
PARKS MAINTENANCE These files document the maintenance of parks such as trails maintenance, winter maintenance such as snow ploughing, and the services being used. These files may include copies of work orders, inspection checklists, cost, hours, repair history, product information, etc. SEE: PLANNING, DEVELOPMENT & BUILDING - PARKS AND OPEN SPACE PLANNING SEE ALSO: <u>PROJECT MANAGEMENT</u>	By location	Operations - Parks	T/E +3 Completion of maintenance	Destroy	Internal	Ont.95
TREE INVENTORY These files contain information about trees planted and/or maintained by the City of Markham. They identify the type of tree, location, activity dates, damage, maintenance, etc.	By location	Operations - Parks	CY+6	Archival Selection	Internal	
TREE INSPECTIONS Includes the record of tree inventory, tree inspection logs, work orders and	By location & type of document	Operations - Parks	CY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
the results of pruning, planting, trimming, pruning and preservation.						

**COMMUNICATIONS
PROMOTION & EXTERNAL
RELATIONS**

The function of providing internal/external publications and communications including advice, and implementation of communication strategies that support business objectives, advertising of City of Markham 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, inquiries and complaints, market research, news releases and media relations.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
MEDIA & PUBLIC RELATIONS						
BACKGROUNDERS & BRIEFING NOTES Records relating to briefing notes/backgrounders and issues notes to inform senior level decision makers or request advice or decisions. Briefing notes usually deal with "issues"—subjects of debate or are also prepared for any topic someone needs to be informed about such as a policy matter, a situation, a report, action by another government.	By topic, then by name of presenter	Corporate Communications & Community Engagement	T/E+2 T/E=event over	Archival Selection	Confidential	
COMPLAINTS, COMMENDATIONS, ISSUES FROM RESIDENTS Records include general complaints, responses to complaints and commendations about the City of Markham and its services. Includes contact centre reports relating to other departments service level reports, complaint types analysis, etc. May include complaints received related to a project that come directly to one of the departments to be logged in the Hansen database.	By year, then organization, then individual	Originator	T/E+2 T/E = file closed upon completion of case	Destroy	Confidential	PIB Ont.119, Ont. 219
GENERAL ENQUIRIES Records include general Inquiries received from internally and externally and the response including any relevant correspondence, attachments, etc	By year, then organization, then individual	Originator	T/E+2 T/E = file closed upon completion of case	Destroy	Confidential	PIB Ont.119, Ont. 219

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
If there is no result to the general enquiry i.e. request to rent on a specific date that is not available then this record is considered transitory and can be immediately destroyed						
MEDIA RELATIONS Documentation relating to the fostering of positive and ongoing relationships with news media and the promotion of the City and its role in fostering the business community, cultural and recreational activities, economic and tourism development. Records may include background information such as key message development material and media response, correspondence, press releases, news clippings, briefing notes and media announcements.	Alphabetical by topic, then by Media Outlet	Corporate Communications & Community Engagement	CY+6	Archival Selection	Internal	
MEDIA COVERAGE ABOUT CITY OF MARKHAM Documentation relating to pertinent and relevant media coverage, media scans and media monitoring about the City of Markham and its initiatives. Records may include newspaper articles, journal articles, television and radio sound/video files, web pages, social media sites and the like.	By topic, then by date, then by Media Outlet	Corporate Communications & Community Engagement	CY+6	Archival Selection	Public	
PHOTOGRAPHS – PROGRAMS, EVENTS, AND PROMOTIONS Photographs relating to City programs, and internal corporate staff events and promotions including the Museum, Library and Art gallery. Excludes photographs related to project management.	Alphabetical by subject/event name, then by date, then by photographer, then by photo number Canada day Summer Camps	Originator	CY+6	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
FOR: CONSENT RELEASE/WAIVERS FORMS SEE: LEGAL/LICENSING/PERMITS – INSURANCE, RISK & COMPLIANCE- CONSENT RELEASE FORMS & WAIVERS	**May need to be cross-filed with photo releases.					
PRESENTATIONS & SPEECHES Documentation relating to presentations and speeches prepared and/or delivered by senior City staff (e.g. director and above) or Council members to external parties at special events, conferences and other public events.	Alphabetical by subject/topic, then by event name, then by date	Corporate Communications & Community Engagement and Mayor's office	CY+6	Archival Selection	Public	
GRAPHIC DESIGN/ PUBLICATIONS/WEBSITE CREATION & COORDINATION						
CORPORATE IDENTITY Documentation relating to the planning, development and administration of the corporate identity. Records may relate to design elements, logos, word marks, PowerPoint template design, letterhead design, business cards, branding and visual identity guidelines. Includes approved logo masters used to create corporate documents and signs.	Alphabetical by subject	Corporate Communications & Community Engagement	S/O +1	Archival Selection	Internal	
PROMOTIONAL, PUBLICATION MATERIAL & INFORMATION PACKAGES - FINAL Final copy of promotional materials, publications and information packages used by the City of Markham to promote the City and its activities. Includes marketing material such as posters and brochures, newsletters, community profiles used for events, information packages and other related activities.	Alphabetical by subject/campaign name, then by date/season	Corporate Communications & Community Engagement	CY+6	Archival Selection	Public	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
FOR: COMMUNICATIONS PLAN SEE: GOVERNANCE – STRATEGIC & LONG RANGE PLANNING						
PROMOTIONAL, PUBLICATION MATERIAL & INFORMATION PACKAGES PRODUCTION & DISTRIBUTION Documentation relating to the production and coordination of City publications for internal or external distribution. Records may relate to graphic design, printing; distribution, and vendor relations regarding printing, use and distribution of reports, brochures, posters, information packages, toolkits, service guides (e.g. Communication Service Guide) and the like including Markham Life magazine and Annual Reports, Official Plan.	Alphabetical by subject/campaign name, then date/season	Corporate Communications & Community Engagement	CY+3	Destroy	Internal	
WEB / SOCIAL MEDIA ANALYTICS Documentation relating to web analytics and social media including the measurement, collection, analysis and reporting of Internet data for the purposes of understanding and optimizing Web usage and social media engagement. Analytics may study the habits and behaviour of users, stakeholders, partners and trends.	By account name	Corporate Communications & Community Engagement	CY+10	Archival Selection	Internal	
EVENTS/COMMUNITY OUTREACH						
EVENT ARRANGEMENTS & LOGISTICS – CORPORATE, EMPLOYEE OR COMMUNITY/OUTREACH Documentation relating to event planning and outreach activities	Alphabetical by event/outreach name, such as: Canada Day	Originator	CY+6	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
including public fire education, discovery programs, public art, recycling and waste diversion, and includes ceremonies or fundraising, visits by representatives from other cities or countries and the coordination of facilities or services such as sponsorships as well as post event evaluation. Events include small business events, employee events and third party events. Records may include: • execution planning (planning committee membership list; critical path plan; meeting scheduling; meeting planning tools and checklists); • Attendance /registration lists • facility/venue logistics (catering, meal choices and banquet planning; orders for space, ads, AV and the like; room setup, layouts, and maps; exhibit and booth logistics); • speaker coordination (topic discussions, invitations, biographies, correspondence) • material preparation (binder covers printing & production, speaker package, tent cards, name badges, signage, giveaways, etc.) • results evaluation – post mortem SEE ALSO: PRESENTATIONS AND SPEECHES	• Celebrate Markham Grant program • “Discovery” Programs • Every Child Every Year • Markham Board of Trade luncheon • Public Art programs • New Business openings • Park Openings • Renovation Forum Then coordination activity: • Execution planning • Venue logistics • Speaker coordination • Material preparation & promotional materials & giveaways • Expenses tracking • Results evaluation					
BUSINESS & STAKEHOLDER RELATIONSHIP MANAGEMENT						
EXTERNAL SECTOR ORGANIZATIONS & ASSOCIATIONS Records relating to relationships and formal partnerships with sector organizations whose functions may	Alphabetical by name of organization (e.g.)	Originator	CY+3	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
impact on, or are involved with the City of Markham. Includes organizations for best practices, advocacy and partnerships on impact initiatives such as fundraising, public consultations, etc. Subjects may include the exchange of information, routine notifications and inquiries, non-legally binding MOUs (alliances, partnerships), and offers of service. FOR: LEGALLY-BINDING MOUS SEE: LEGAL – AGREEMENTS / CONTRACTS / LEASES	• BIAs • Fort Hope • Markham Board of Trade • Markham-Stouffville Hospital • Ratepayers Association • TRCA • United Way • Wuhan • York Region					
BUSINESS CONTACTS & DIRECTORIES Records used for contact lists and business development and promotion. Records include business cards, developer lists, business lists, real estate lists, and any other form of contact information.	Alphabetical by name of organization	Economic Development	CY+10	Archival Selection	Internal	
BUSINESS ATTRACTION/RETENTION/ EXPANSION MANAGEMENT Records include business profiles, maps, relocation kits, design cluster, records related to small business/entrepreneur development, attracting new business, and retaining or expanding existing businesses in the City of Markham. FOR: EVENTS SEE: EVENTS/COMMUNITY OUTREACH	Alphabetical by topic or activity	Economic Development	CY+10	Archival selection	Internal	
ECONOMIC RESEARCH	Alphabetical by topic	Economic Development	CY+10	Archival selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
Research conducted for new business opportunities, networking, etc. Records include statistics, municipal study documents and final reports, research data, research requests, economic value and impact studies, and maps.and Business Directory of Markham businesses (business data derives from directory)						
SPONSORSHIP & PARTNERSHIP RELATIONS Records relating to the implementation and management of partnership/sponsorship, naming agreements for assets (facilities), events or programs. FOR: NEGOTIATIONS AND CONTRACTS SEE: LEGAL – AGREEMENTS / CONTRACTS / LEASES	Alphabetical by name organization, then by topic/event, then by contract duration • Kylemore • Scotiabank • Flato	Originator	T/E+6 T/E = End of relationship	Archival Selection specifically for naming rights and long standing partners	Internal	

**EMPLOYEE
MANAGEMENT**

The function of managing City of Markham's employees and their relationship with the organization. Activities included defining the organization through organization charts and job descriptions, recruitment, payroll and benefits administration, and employee training.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
ORGANIZATION & POSITION MANAGEMENT						
JOB DESCRIPTIONS Documentation identifying the positions within the City of Markham and detailing job specifications, duties and responsibilities and performance expectation levels.	Union – Inside/ Union Outside / MPFFA/ Library/ Non-Union/Part time/Temporary/ categories then by position title under each category	People Services	CY+30	Destroy	Public	
ORGANIZATION CHARTS Documentation identifying the organizational structure of the City of Markham including staff positions/titles, employee names and hierarchy of authority and responsibility. Records include organization charts.	Alphabetically by department and then by date	People Services	Archival	Archival	Internal	
RESTRUCTURING – ORGANIZATIONAL CHANGES Information is created and/or received and used to document the establishment of new organizational structures, or the review of existing structures and programs which result in significant changes to core functional areas such as in the event of an amalgamation or change to or transfer of functional responsibilities, or for positions that are at the Senior Management Group) level or above.	By date	People Services	T/E+ 10 T/E= update + 10 years	Archival	Confidential	
RECRUITMENT & SELECTION						

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
RECRUITMENT & SELECTION Documentation relating to the recruitment of and hiring of staff for specific City of Markham positions. Records include job posting/ads, staff action requests, resumes under consideration, interview guides and questions, interview notes, test results, candidate evaluation, reference checking notes and regret letters. **Successful candidates' information moves to EMPLOYEE FILES.	Alphabetical by position name and by recruitment number	People Services	CY+3	Destroy	Confidential	PIB Ont. 119 Ont.80
VOLUNTEER MANAGEMENT Documentation relating to the selecting, renewing and hiring/appointing volunteers for the various advisory and external guidance groups, councils and committees and student co-op. Includes training records, evaluations and certifications.	By name of volunteer	Originator	T/E+2 T/E= end of term	Destroy	Confidential	PIB Ont. 119 Ont. 219
STAFF MANAGEMENT						
EMPLOYEE EMPLOYMENT RECORDS Documentation relating to an employee's work history and status throughout their employment with the City of Markham. Includes full time and part time employees other than continuous full time (OTCFT) on Records may include resumes, signed employee contracts, copies of training certifications, staff photo, hiring evaluation/notes, employee performance reviews, offer letter/letter of employment, engagement/hiring contract, secondment contracts, appointment notices, benefits selection, signed code of conduct, education attended, salary	Alphabetically by employee last name	People Services	T/E+16 T/E = termination of employment of employee Records created before 2008 T/E +50 years after employee terminated or ceased to be employed	Destroy	Confidential	PIB Fed 32, Fed 33, Fed 34, Ont.80, Ont.81, Ont.82. Ont. 119,

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
change notification, disciplinary action, termination documentation and requests for religious and other accommodation. NOTE: Prior to 2008 employee Files contain medical records. Non certification training is located in this file						
EMPLOYEE MEDICAL RECORDS Records relating to the employees' medical status, including employee ergonomic reports. Information relating to occupational and non-occupational injuries, illness or medical conditions and harmful health exposures. May include information to workplace medical accommodation requirements. Documents may include medical notes, medical assessment reports, and all other supporting documents related to STD, LTD. Also includes WSIB, as well as short-term and long term disability claims. Documents may include Supervisor Injury Report forms, copies of long-term disability application forms and WSIB claims-related forms (6,7,8, Functional Abilities Form, etc.) WSIB related correspondence, recurrence and continuity reports, claims summaries, file notes and all supporting correspondence. All Supervisor Reports of Accident or Incident (includes injury, harmful health exposure, etc.) are included here.	By employee name	People Services	T/E+50 T/E = time records first made	Destroy	Confidential	PIB Fed 29, Fed 30, Fed 31, Ont. 86 Ont.95, Ont. 119, Ont.199, Ont. 200, Ont.201, Ont. 236, Ont. 237, Ont. 238
EMPLOYEE RECOGNITION PROGRAM Documenting employees, who have reached a service milestone (5, 10, 15, 20, 25, 30, and 35 years of service).	By employee name	People Services	CY+10	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
Includes records related to Staff Service Awards or the RFT Service Award Program.						
EMPLOYEE SURVEYS Surveys include: Employee engagement, employee satisfaction, etc.	By type of survey	People Services	CY+6	Archival Selection	Internal	
WORKFORCE/TALENT MANAGEMENT PLANNING Documentation relating to talent management programs, succession planning, employment branding and workforce assessments and scorecards.	By type of program or planning	People Services	CY+6	Destroy	Confidential	
TIME & ATTENDANCE REPORTING Documentation relating vacation/sick days taken by City staff. It may include attendance records extracted from ADP People@Work. Also includes documentation relating to identifying hours worked. For Timesheets & schedules SEE Payroll Note: All attendance information will reside in EPIC – paper copy will no longer be required	By year, then pay run date	People Services Payroll Originator (for shift trades and work schedules)	CY+6	Destroy	Confidential	PIB Ont .119 Ont. 176
COMPENSATION & BENEFIT ADMINISTRATION						
EMPLOYEE COMPENSATION Consists of management of remuneration models for Markham employees. Includes annual salary plans, salary grids, salary administrative guidelines and the management compensation plan as well as	By subject	People Services	CY+20	Destroy	Confidential	Fed 11, Ont 119, 216, 217, 218

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
compensation surveys.. Records may include meetings, job evaluation results and appeals.						
EMPLOYEE BENEFIT PROGRAMS (EXCLUDE FIRE FIGHTERS) Includes records relating to employee benefits and deductions, group insurance, medical and dental plans, pension information (e.g. OMERS), fitness plans, subsidized transit program, employee assistance program (EAP), Wellness Program, Flu Clinic, yoga and fitness classes and tuition reimbursements. NOTE: Pension management of benefits and documents are handled through OMERS – pension administrator	By topic • Medical • Dental • Pension • Tuition • Wellness	People Services	CY+20	Destroy	Confidential	Fed 9, Fed 10, Fed 12 Ont 99
EMPLOYEE BENEFIT PROGRAMS - FIRE FIGHTERS Includes records relating to employee benefits and deductions, group insurance, medical and dental plans, pension information (e.g. OMERS), fitness plans, subsidized transit program, employee assistant program (EAP), flu clinic, fitness and yoga classes and tuition reimbursements. NOTE: Pension management of benefits and documents are handled through OMERS – pension administrator	By topic • Medical • Dental • Pension • Tuition • Wellness	People Services	CY+50	Destroy	Confidential	
PAY EQUITY 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, hiring reports, classification ratings, job evaluation	File by Union – Inside/ Union Outside / MPFFA/ Library/ Non-Union/Part time/Temporary/ categories then by	People Services Library	CY +50	Destroy	Internal	Ont.95

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
information, position description questionnaires, action plans and information about designated worker groups.	position title under each category					
TRAINING & SKILLS DEVELOPMENT						
EMPLOYEE ORIENTATION & ONBOARDING Documentation relating to the development and delivery of the new employee onboarding program, diversity, AODA and additional. Records include orientation on-boarding checklists. FOR: LEGISLATED MANDATORY TRAINING SEE: MANDATORY CERTIFICATION TRAINING	Alphabetical by name of program	People Services	CY+6	Destroy	Internal	
LEARNING & DEVELOPMENT PROGRAMS – INTERNAL Documentation relating to the development and delivery of course resources, including eLearning courses. Records include employee course resources, course calendars, lunch and learn sessions and instructional material at the corporate and departmental level,	Alphabetically by type of training: English Communications Management & Leadership Development Presentation Skills Project Management Writing Skills Microsoft Desktop & City Software/application modules	Originator	CY+6	Archival Selection	Internal	Fed 14, Fed 15, Fed 18, Ont 71, Ont 198

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
TRAINING OPPORTUNITIES – OFFSITE Documentation relating to external courses, seminars, conferences and workshops available or of possible interest to City employees. May also include customized courses delivered by external vendors or attending conferences. Records include course descriptions, course notes, participant materials and general information regarding program offerings.	Alphabetically by type of training • Legal Continuing Education • Conflict Resolution • Specialised software training	Originator	CY+6	Destroy	Public	Ont 71
MANDATORY CERTIFICATION TRAINING Records include training records of staff which are required under Regulation 128/04 Regulation 129/04 to provide proof of operator training to the OWWCO (Ontario Water & Waste Water Certification Office) for training renewals and upgrades. Includes registration/attendance record for training programs All Corporate training records and certificates issued by vendors to staff are delivered to the individual employee and electronic records are kept in the Learning Management System (LMS)	Alphabetically by employee ID or File number (EPIC)	Originator	CY+6	Destroy	Confidential	PIB Ont. 66, Ont. 67, Ont. 68 Ont. 69, Ont. 71, Ont.119, Ont. 231, Ont. 232, Fed 51
LABOUR & EMPLOYEE RELATIONS						
EMPLOYEE SEXUAL HARASSMENT COMPLAINTS Engaging in a course of vexatious comment or conduct against a worker in a workplace because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought	Investigation Identification Number	People Services	Permanent	Permanent	Confidential	PIB NOTE: There is no statute of limitation on complaints of this nature.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
reasonably to be known to be unwelcome.” Information is created and/or received and used in the process of reporting, investigating and resolving a complaint related to workplace harassment specifically sexual harassment or other verbal or physical harassment of a sexual, gender identity or gender expression,						
RESPECT IN THE WORKPLACE POLICY COMPLAINTS Records relating to receiving, investigating and resolving complaints from City staff concerning discrimination or harassment. Documents may include statements of complaints or completed complaints forms, investigation reports and recommendations, witness interview notes and supporting documentation and correspondence regarding the exploration and resolution of the complaints and consultations.	Investigation Identification Number	People Services	T/E+15 T/E = after employee terminated	Destroy	Confidential	PIB Ont. 39, Ont.92, Ont.93, Ont.94, Ont.95, Ont. 119, Ont.198
GRIEVANCES Records relating to complaints received from City of Markham Union or Association concerning alleged violations of the collective agreement and the investigations to identify and resolve the complaint or issue. Includes information on addressing and resolving the grievances, grievance step meetings, arbitrations. Documents may include completed grievance forms, copies of meeting minutes, adjudication/arbitration hearing schedules, arbitration notices, solicitor's correspondence minutes of settlements, memorandum of settlement and all supporting correspondence.	By bargaining unit and grievance number	People Services	T/E+15 T/E = after grievance closed	Destroy	Confidential (unless otherwise required by law)	PIB Ont. 39, Ont.95, ONT 119 Ont.220

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citations/ Comments
ARBITRATION DECISIONS Records relating to complaints received from City of Markham Union or Association concerning alleged violations of the collective agreement and the investigations to identify and resolve the complaint or issue. Includes information on addressing and resolving the grievances, grievance step meetings, arbitrations. Documents may include completed grievance forms, copies of meeting minutes, adjudication/arbitration hearing schedules, arbitration notices, solicitor's correspondence minutes of settlements, memorandum of settlement and all supporting correspondence.	By bargaining unit and grievance number	People Services	Permanent	Permanent	Confidential (unless otherwise required by law)	PIB Ont 95, Ont 119, Ont 220
LABOUR NEGOTIATIONS Records relating to conducting labour negotiations for collective agreements negotiations: Records include proposals, counter proposals, agreed to documents, negotiation notes, legal opinions and minutes of settlement, mediation notes, arbitration notes / arbitrators' decisions etc FOR: COLLECTIVE AGREEMENTS SEE: LEGAL – AGREEMENTS / CONTRACTS / LEASES	By union title and contract year	People Services	T/E+15 T/E = end of the contracted period	Archival Selection	Confidential	Ont. 39
PENSION RECORDS SEE: EMPLOYEE BENEFIT PROGRAMS						

**ENVIRONMENT,
SUSTAINABILITY &
SAFETY**

The function of managing the environment, ensuring conservation, energy management, sustainability, safety, and water protection. Records include the assessment, preservation and conservation of the natural environment, natural life forms and natural resources. Includes records on environmental approvals and compliance, occupational health and safety program, fire safety, ergonomics, air and water records, pollution, conservation and energy efficiency, pollution, hazardous materials and waste recycling.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
ENVIRONMENTAL PLANNING & PROTECTION						
ENVIRONMENTAL APPLICATIONS & APPROVALS 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 the required approvals from the Ministry of the Environment and Climate Change (MOECC) (Environmental Compliance Approval, Environmental Activity and Sector Registry, Renewable Energy Approval) before it can operate lawfully. 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 Regional Conservation Authority (TRCA) applications and requirements are included within this series. Approvals from all other federal, provincial or municipal governments would be included here.	By project name	Originator	T/E+10 T/E = approval of application	Destroy	Public	Fed 40, Fed. 41, Fed 42, Fed 43, Fed 44, Ont.22, Ont.23, Ont. 24, Ont.25, Ont.26, Ont.27, Ont.28, Ont.29, Ont.31, Ont.32, Ont.35, Ont.36, Ont.37, Ont. 38, Ont.66, Ont.67, Ont.68, Ont.69, Ont.70, Ont.72, Ont.106, Ont.107, Ont.108, Ont.109, Ont.110, Ont.113, Ont. 175,
ENVIRONMENTAL ASSESSMENTS & STUDIES Includes material relating to environmental assessments within the City of Markham and outside of the City	By type of assessment	Asset Management Engineering	Permanent	Permanent	Public	Fed. 41, Ont.22, Ont.34, Ont.35, Ont.36, Ont.37, Ont.38, Ont.39, Ont.40, Ont. 96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
they impact on land within Markham's boundaries. Records relating to studies of environmental issues and impacts, such as Master and Class Environmental Studies or Brownfield Reports. 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 soil, tree preservation and mitigation, geotechnical, 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. NOTE: Notwithstanding the above, these environmental assessments are not related to a specific project. FOR: ENVIRONMENTAL PROJECTS SEE: PROJECT MANAGEMENT						
ENVIRONMENTAL MONITORING & CONTROL Includes material relating to natural resources, pollution, spill response and any other environmental concerns. Records include reports, general correspondence, public notices, etc.	By subject	Originator	T/E+15 Event = later of: date of offence or: day evidence of offence first came to attention of person appointed under s. 5.	Destroy	Public	Fed 40, Fed. 41, Ont 22, Ont. 109,
ENVIRONMENTAL MASTER & OTHER SUSTAINABILITY PLANS SEE: MASTER PLANS						
PESTICIDE/HERBICIDE APPLICATION	By location & date	Originator	T/E+3	Destroy	Public	Ont.95, Ont.208

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
These records document the application of pesticide/herbicide chemicals in parks and on government owned golf courses. The file may include a work order and a schedule of spraying.			Event = later of: day offence committed; and day evidence of offence			
POLLUTION & CONTROL Includes material relating to air pollution and control and material relating to noise pollution and control, air traffic noise and noise walls.	By type of pollution • Air • Noise	Originator	T/E+15 Event = end of reporting period to which relates	Destroy	Public	Fed 40, Ont.38, Ont.39, Ont.195, Ont.199, Ont.207
WEATHER MONITORING Includes information on the conditions of the atmosphere. Records may include reports, general correspondence and public notices.	By date	Originator	CY+6	Destroy	Public	Minimum Maintenance Standards (Roads)
CONSERVATION & SUSTAINABILITY						
ENERGY CONSERVATION AND SUSTAINABILITY PROGRAMS Program records, and additional documentation showing City compliance with the Green Energy Act, 2009 and similar legislation. Includes conservation & demand reporting.	By year and type of program	Sustainability Office	CY+6	Destroy	Public	Ont. 236, Ont. 237, Ont. 238, Ont. 238, Ont. 239, Ont. 240
WATER CONSERVATION AND SUSTAINABILITY PROGRAMS Records include program records, general correspondence, newsletters, program records such as Water on Wheels (WOW) and materials pertaining to water conservation and sustainability.	By year and then by type of program	Environmental Services - Water	CY+15	Archival Selection	Public/Internal	Ont.37, Ont.65, Ont. 241, Ont. 242, Ont. 243
WASTE						

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
WASTE MANAGEMENT Records relating to the reduction, reuse, recycling or diversion of solid waste materials. Includes the recycling of newspapers, cardboard, other curb side materials, automobile tires, white goods, scrap metal, and soil. Documents may include lists of recyclable versus non-recyclable materials, logs, customer complaints, waste studies, collection schedules, depot schedules, community centre maps, etc.	By topic	Environmental Services-Waste	CY+3	Destroy	Internal Complaints are a PIB	PIB Ont.23, Ont.24, Ont.25, Ont.26, Ont.27, Ont.28, Ont.29
WATER AND WASTEWATER PROTECTION & COMPLIANCE						
DRINKING WATER QUALITY MANAGEMENT STANDARD (DWQMS) Drinking Water Quality Management Standard (DWQMS), includes, reports, certificates, system audits, lead testing/water sampling log, permits & licences, meeting minutes, training records, water quality complaints log, forms, operational plan, standard operating procedures, emergency contact list, emergency plans and emergency plan testing results, etc. The testing may be performed internally or by outside companies. FOR: WATER / WASTEWATER CERTIFICATION TRAINING SEE: TRAINING & SKILLS DEVELOPMENT - <u>Mandatory TRAINING/CERTIFICATION RECORDS</u>	By topic	Environmental Services – Waterworks	CY+15	Destroy	Internal	Ont.22, Ont.30, Ont.36, Ont.37, Ont.39, Ont.41, Ont.42, Ont.43, Ont.44, Ont.45, Ont.46, Ont.47, Ont.48, Ont.49, Ont.50, Ont.51, Ont.52, Ont.53, Ont. 54, Ont.55, Ont.56, Ont.57, Ont.58, Ont.59, Ont.60, Ont. 61, Ont.62, Ont.63, Ont.64, Ont.65, Ont.96, Ont.118, Ont. 231, Ont.244

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
WATER/WASTEWATER LABORATORY SERVICES Records from regulatory sampling and results dealing with water and wastewater (WoW sampling records)	By sample type	Environmental Services - Waterworks	CY+15	Destroy	Internal	Ont. 41, Ont. 44, Ont. 45, Ont. 46, Ont. 51, Ont. 52, Ont. 54, Ont. 57, Ont. 58, Ont. 60, Ont. 61, Ont. 62, Ont. 63, Ont. 64
WATER DISTRIBUTION OPERATIONS Records pertaining to the operation of the water distribution system. Includes operational checks, reporting, corrective actions, logbooks, and Supervisory Control and Data Acquisition (SCADA) reports	By type of document	Environmental Services – Waterworks	CY+15	Destroy	Internal	Ont. 41, Ont. 43, , Ont. 51, Ont. 52, Ont. 54, Ont. 55, Ont. 57, Ont. 58, Ont. 60, Ont. 61, Ont. 62, Ont. 63, Ont. 64, Ont. 231
WASTE WATER COLLECTION OPERATIONS Records pertaining to the operations of the wastewater collection system. Could include operational checks, reporting, corrective actions, log books, work orders, sewer by-law compliance program, etc.	By type of document	Environmental Services - Waterworks	CY+15	Destroy	Internal	Ont. 65, Ont. 66, Ont. 67, Ont. 68, Ont. 69, Ont. 70, Ont. 71
BACKFLOW PREVENTION PROGRAM Records pertaining to the backflow prevention program including survey results, qualified contractor listings, device test results, and by-law inspections.	By location	Environmental Services – Waterworks Operations - Parks	CY+15	Destroy	Internal	Ont. 41, Ont. 43, Ont. 49, Ont 57, Ont. 58, Ont. 63
PRIVATE WATER Includes records regarding monitoring surface and ground water quality and/or quantity. Records include monthly sampling, inorganic chemical reports and includes complaints directed to the City of Markham by outside agencies or the public concerned about their private water.	By location & date	Originator	CY+15	Destroy	Public	Ont.22, Ont.30, Ont.36, Ont.37, Ont.39, Ont.41, Ont.42, Ont.43, Ont.44, Ont.45, Ont.46, Ont.47, Ont.48, Ont.49, Ont.50, Ont.51, Ont.52, Ont.53, Ont. 54, Ont.55, Ont.56, Ont.57, Ont.58, Ont.59, Ont.60, Ont. 61, Ont.62, Ont.63, Ont.64, Ont.65, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
RECREATIONAL WATER TESTING Records include the daily log as outlined in the regulations, including bi-monthly and monthly testing, sample tests and results for a certified analysis for coliform bacteria, pH and chlorine/bromine for pools, drinking fountains, and splash pads.	By location & date	Originator	CY+1	Destroy	Public	Ont. 233
HEALTH & SAFETY MANAGEMENT SYSTEM						
BUILDING FIRE SAFETY Records relating to documenting the planning and preparation necessary so that individual buildings will comply with required fire regulations. May include information relating to firefighting equipment locations within buildings, sprinkler systems, location of Siamese connection, central station monitoring contact, fire alarm systems, locations of exits and staircases, Fire Safety Plan requirements, 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, fire protection contractor's service reports, fire protection contractor's annual reports, self-compliance surveys, risk assessments and all supporting correspondence.	By address	Fire & Emergency Services	T/E+2 Event = report prepared; as long as current and immediately preceding report are available; retained at building premises for examination on request	Destroy	Internal	Ont.86, Ont.95, Ont.180, Ont.181, Ont.182, Ont.183, Ont.184, Ont.185, Ont.186, Ont.187, Ont.188, Ont.189, Ont.190, Ont.191, Ont.192

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
HAZARD RECOGNITION, ASSESSMENT AND CONTROL ACTIVITIES (FOR WORKPLACES, TASKS, AND ASPECTS OF WORK) Prioritized by level of risk, hazards are systematically recognized, assessed and controlled to ensure a health and safe workplace. The hazard control process is housed in the Health and Safety Management System which includes policies (eg. Core Health and Safety Policy), standards (eg. Work Alone), processes (eg. Job Hazard Analysis Process) and written procedures (eg. various equipment safe operating procedures). Where a high risk tasks is identified, a programs is developed which consists of a number of elements of the system; health and safety programs include: Confined Space Work, Contractor Safety, Work at Heights, etc.	Numeric by Health & Safety Management System Policy/Standard /Process number	People Services	T + 50 Until the hazardous is completely eliminated +50 years	Destroy	Internal	Fed 42, Fed 43, Fed 44, Fed 45, Fed 46, Fed 47, Fed 48, Fed 49, Fed 50, Fed 51, Fed 52, Fed 53, Fed 54, Fed 55, Fed 56, Fed 57, Ont.86, Ont.96, Ont.211, Ont.212, Ont.213, Ont.214, Ont.215
HAZARDOUS MATERIALS – ASSESSMENT & CONTROL Hazardous materials include any substance or material which may result in a harmful health exposure or injury or death due to explosion or fire. This includes any controlled product, chemical or material included under WHMIS, Transportation of Dangerous Goods (TDG) or Designated Substance legislation as well as any materials contaminated by biological hazards such as mould or bodily fluids.	By type of document	Originator	T+50 years Until the hazardous material is completely abated +50 years.	Destroy	Public	Fed 42, Fed 43, Fed 44, Fed 45, Fed 46, Fed 47, Fed 48, Fed 49, Fed 50, Fed 51, Fed 52, Fed 53, Fed 54, Fed 55, Fed 56, Fed 57, Ont.86, Ont.96, Ont.211, Ont.212, Ont.213, Ont.214, Ont.215

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
All documentation relating to hazardous materials management include hazard assessments, inventories, handling, use, storage, transportation and disposal instructions, training, and other hazard control measures.						
WORKPLACE EMERGENCY RESPONSE MANAGEMENT Develop of workplace emergency measures pertaining to staff and facilities, to ensure worker safety in the event of an emergency (such as fire, bomb threat or disaster) and to support business continuity, includes business continuity plan, plan development and testing documentation. Emergency response, mitigation and post-emergency support are included in the measures developed. Also includes information relating to the Critical Incident Stress Team (CIST) and resources.	By topic and date	Originator	T/E+7 After plan updated	Archival Selection	Confidential	Ont.109, Ont.182, Ont.229, Ont.230, Ont.232, Ont.232, Ont.233, Ont.234, Ont.235, Fed 41, Fed 45

**FINANCIAL
MANAGEMENT**

The function of managing the financial resources of the City of Markham through the execution of financial transactions and accounting processes including the receipt, control and expenditure of funds and the reporting and auditing of results.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
CITY REVENUES ADMINISTRATION						
ACCOUNTS RECEIVABLE PROCESSING Records relating to revenues received by the City through the sale of goods or services, including bulk water sales. 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, cheques, payment batch reports, cash reports usage/rental fees, concessions, tickets, advertising fees and merchandise sales, bulk water sales, water meter ICI sale, water meter related charges (testing, frozen meter, etc.), hydrant permit and usage. SEE ALSO: TAX OR WATER AUTO PAY SUCH AS PAP OR MORTGAGE, OR TAX SALES OR OTHER TAX COLLECTION OR UTILITY COLLECTION MATERIALS.	By fiscal year, then alphabetical by vendor name	Originator	FY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
CASH RECEIPTS Cashier batches, documentation, deposit slips, POS deposits, payments and all related backup documents from	By fiscal year, then by batch number or date or cashier	Originator	FY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
processing of payments received by the City excluding bank reconciliation materials.						
DEVELOPMENT CHARGES Records of invoices and monies collected from land developers to offset that portion of the costs of services incurred as a direct result of the new developments.	By fiscal year, then by month	Finance – Financial Strategy & Investments	FY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 5, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
GRANTS TO CITY These files contain information related to grants received from Federal, Provincial, York Region and/or private sources. These grants are used to support the acquisition or maintenance of property or equipment and for the running of programs or special events such as Lake Simcoe Clean Lake Fund, Federal gas tax funding, municipal infrastructure, etc. They may document that the City used the funds in accordance with the terms of the grant. The files may contain a copy of the grant, correspondence, purchases, expenses and any other supporting documents.	By year and name of grants	Originator	CY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
MUNICIPAL TAX ADMINISTRATION						
TAX BILLING - MUNICIPAL All records related to the process of preparing and issuing a taxation billing batch, can be interim, final or supplementary. Batch files and documentation related only, not related to individual property accounts.	By fiscal year, type	Finance – Revenues & Property Taxation	FY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Fed 28, Ont. 76

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
TAX ACCOUNT AUTO PAY DOCUMENTATION Records include mortgage company correspondence, enrolments/cancellations, and pap plan enrolment/ cancellation for individual property accounts.	By roll number	Finance – Revenues & Property Taxation	S/O+1	Destroy	Confidential	PIB Ont.119
TAX CERTIFICATES – MUNICIPAL Records relating to the creation and use of municipal taxation certificates. This series includes letters from solicitors (lawyer's letters), financial Institutions, tax payers, and internal lawyers requesting that a tax certificate be generated.	By roll number	Finance – Revenues & Property Taxation	CY+8	Destroy	Confidential	PIB Ont.74, Ont.75, Ont.76, Ont.119
ASSESSMENT ROLLS Records relating to the creation or receipt, use, and maintenance of the yearly property assessment records which include assessment roll for taxation, the August Supplementary assessment roll and the omitted assessment roll. Information contained includes the roll number, the owner's name and mailing address, tenants name and mailing address, their school support, property location, legal description, lot area and occasionally dimensions, tax class, assessment value. Each roll also contains the total assessment for the entire roll. Assessment rolls are produced by the Municipal Property Assessment Corporation (MPAC) and forwarded to the City. These records have no legal value.	By year of assessment	Finance – Revenues & Property Taxation	T/E+7 T/E = assessment role applied to property taxation	Destroy	Public	Ont.105, Ont-123

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
PROPERTY TAX ASSESSMENT, LEVY ADJUSTMENTS & APPEALS 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 minutes of Settlements (MOS), Post Roll Amended Notice (PRAN), Advisory Notice of assessment (ANA), Severance and Consolidation Information From (SCIF), Assessment Review Board decisions (ARB), Conservation Tax Incentive Assessment (CTIA), summaries of assessments, aerial photographs, inspection reports, Municipal Property Assessment Corporation (MPAC) listings, rental income statements and appraisals, recalculation of property taxes and minutes of settlement. TXM, tax application, maintains the adjustments and calculations.	By roll number until approved for adjustment, then by type of adjustment, then by adjustment batch number	Finance –Revenues & Property Taxation	T/E+8 T/E = end of the appeal process	Destroy	Public	PIB Ont.75, Ont.76, Ont.77, Ont.78, Ont. 119
TAX APPEALS BY CITY All records, proceedings and documentation related to assessment appeals initiated by the City and any general assessment roll reviews related to searches for such eligible properties. TXM, tax application, maintains the adjustments and calculations.	By property address	Finance – Revenues & Property Taxation	T/E+7 T/E = end of the appeal process	Destroy	Confidential Litigation or quasi-litigation being outbound tax appeals against other property owners.	PIB Ont.105, Ont.119, Ont.123
PROPERTY TAX: CHARITY & VACANCY REBATES	By fiscal year, then by roll number	Finance – Revenues & Property Taxation	FY+6	Destroy	Public	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
Records related to issuing a rebate if commercial or industrial building was entirely or partially vacant during the taxation year and eligibility criteria are met. TXM, tax application, maintains the adjustments and calculations.						
TAX ACCOUNT GENERAL ADMINISTRATION All documentation related to individual tax account administration: including ownership/address changes, correspondence including complaints about tax, payment plans and seniors deferrals etc. FOR: PAP PAYMENT PLAN ENROLMENT/CANCELLATION SEE: TAX ACCOUNT AUTO PAY DOCUMENTATION	By roll number	Finance – Revenues & Property Taxation	FY+6	Destroy	Confidential	PIB Ont.119
WATER ACCOUNT ADMINISTRATION						
WATER BILLINGS All records related to batch billings for water accounts, including readings, batches, final billings etc.	By month	Originator	CY+6	Destroy	Public	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
WATER ACCOUNT AUTO PAY DOCUMENTATION Includes PAP plan enrolment/cancellation for individual property accounts. (This has been outsourced to Powerstream)	By account number	Finance – Accounting	S/O+1	Destroy	Confidential	PIB Ont.119
WATER CERTIFICATES –MUNICIPAL Records relating to the creation and use of municipal water certificates. This	By account number	Finance	CY+8	Destroy	Confidential	PIB Ont.74, Ont.75, Ont.76, Ont.119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
series includes letters from solicitors (lawyer's letters), financial institutions, taxpayers and internal lawyers requesting that a utility certificate be generated. (This has been outsourced to Powerstream)						
WATER COLLECTIONS All documentation related to cyclical collection efforts on batch basis. (This has been outsourced to Powerstream)	By calendar year	Originator	CY+3	Destroy	Public	Collection files only, not related to financial reporting, or official financial books of record.
WATER ACCOUNT GENERAL ADMINISTRATION All documentation related to individual water account administration: including ownership/address changes, correspondence including complaints about water billings, payment plans etc. Additional charges include: frozen, new ICI, missed appointment, testing, etc. Overdue water account balances are added to the tax roll. (This has been outsourced to Powerstream)	By account number, then by year	Finance – Revenues and Property Taxation	CY+6	Destroy	Confidential	PIB Ont.119
ACCOUNTING ADMINISTRATION						
ACCOUNTS PAYABLE PROCESSING Documentation relating to the processing of payables and payments made by the City of Markham. Records may include, AP cheque register, cheque requisitions, and, cheque copies, invoices, credit card and P-card statements, and Staff expense forms.	By fiscal year and by vendor name and employee name (by date)	Finance – Purchasing & Account Payable	FY+6	Destroy	Confidential for individuals Public for Vendors	PIB Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
HST RETURNS Records relating to the preparation and submission of HST returns	By year, then document type	Financial Reporting	FY+6	Destroy	Internal	Fed 1, Fed 2, Fed 6, Fed 7, Fed 8, Ont. 74, Ont.75, Ont.76
WRITE OFFS/ DEBTS / ARREARS Includes records related to all City debt, internal and external, documentation of approval, transactions, history, issuance, correspondence, etc. including any documentation related to arrears and write-offs.	By issuance	Finance – Revenues & Property Taxation Financial Reporting	FY+6	Destroy	Confidential	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
SECURITIES - LETTERS OF CREDIT (LC) & CASH A letter issued by a bank authorizing the bearer to draw a stated amount of money from the issuing bank, its branches, or other associated banks or agencies. Includes similar documentation with respect to cash securities posted in lieu of letters of credit. Also includes notification of works completed and letter of credit release.	By purpose, by subdivision name, by developer	Finance – Financial Strategy & Investments	T/E+6 T/E = file closed or cashed out or cancelled	Destroy	Confidential	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
BANKING TRANSACTIONS & RECONCILIATION Documentation relating to banking and account reconciliation such as the reconciliation of bank statements. Records may include electronic funds/wire transfers, confirmations, stop payments, bank statements, deposits and bank reconciliations.	By fiscal year, then by month	Finance – Revenues & Property Taxation Financial Reporting & Payroll Services	FY+6	Destroy	Internal	Fed.1, Fed.2, Fed. 23, Fed 24, Fed 25, Fed 27, Ont. 76
GENERAL LEDGER Documentation of all financial accounts and statements summarizing year over year financial transactions. Records include all books of original and final entry summarizing year over year	By fiscal year	Finance – Financial Reporting & Payroll Services Information Technology	T/E+2 T/E = after dissolution of the corporation	T/E+2	Internal	Fed. 1, Fed. 2, Fed.3

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
transactions. Also includes the chart of accounts.						
GENERAL LEDGER RECONCILIATION Documentation relating to the reconciliation of all general ledger accounts.	By fiscal year	Finance – Financial Reporting & Payroll Services	FY+6	Destroy	Internal	Ont.76
MONTH END CLOSING & ANALYSIS Documentation relating to month end close. Records include month-end process checklist, statement of financial position, statement of operations, expense analysis, and accrued liability schedule and adjustments.	By year, then month	Finance - Reporting & Payroll Services	FY+6	Destroy	Internal	Ont.76
FINANCIAL PLANNING & INVESTMENT MANAGEMENT						
ANNUAL FINANCIAL PLANNING & BUDGETING (OPERATIONAL & CAPITAL) WORKING PAPERS (FOR DEPARTMENTS) Records relating to the development and monitoring of business plans and budgeting both operational and capital for departments. Annual financial business plans may include information on goals and objectives to implement the City's strategic plans, specific time frames, and key events and issues. May range from simple timetables to complex plans. Documents may include directions to staff, financial spreadsheets, planning reports, supporting work plans, documentation on decisions and progress monitoring reports. FOR: STRATEGIC PLANNING	By fiscal year	Originating Department – specific working papers developed by the departments, not corporate. Consolidated material at the Corporate level is held by Finance	FY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
SEE: GOVERNANCE- STRATEGIC & LONG RANGE PLANNING						
BUDGETS – OPERATING & CAPITAL WORKING PAPERS (FOR FINANCE) Records relating to the development, management and administration of the operating and capital budget accounts. Includes copies of budget, internal charge back reports, budget process procedures, directives, variance reports, expenditure forecasts and reports and budget submissions.	By year, then budget type	Finance - Financial Planning	FY+6	Destroy	Internal	
LONG RANGE CAPITAL PLAN – WORKING PAPERS Documentation related to the development, consolidation, distribution, etc. of the long range capital planning document (update of the Life-Cycle and Waterworks reserve studies) for Council.	By fiscal year	Finance - Financial Planning	FY+11	Destroy	Internal	
LONG RANGE CAPITAL PLAN APPROVED - FINAL Only final approved budgets, including line-by-line detail or council summary versions, departmental presentations and key supporting documentation.	By fiscal year	Finance - Financial Planning	FY+11	Destroy	Public	
CAPITAL ASSET ACCOUNTING Consists of documents related to accounting for capitalization, disposal, and amortization of fixed assets. Documents include an asset register, capital depreciation schedules and capital asset reports all necessary for Public Sector Accounting purposes.	Alphabetical by document type • Capital asset reports • Depreciation schedules	Finance - Financial Planning	FY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
INVESTMENTS & RECONCILIATIONS Documentation relating to tracking of investments made by the City of Markham. Records include the monthly and quarterly investment reporting, redeemed investments bank receipts, invest log, interest income calculation, statement of accounts, investments confirmation and schedule.	By year and institution, by month	Finance – Financial Strategy & Investments	CY+6	Destroy	Internal	Fed.1, Fed.2, Ont.76
RESERVE FUND ACCOUNTS This documentation includes administering the reserve fund. Records include the history, purposes, bylaws, analysis, strategies, etc. related to reserve accounts. Note: Reserve Study maintained by Environmental Services – Waterworks	By reserve fund	Finance – Financial Strategy & Investments Financial Reporting	S/O+1	Destroy	Internal	
FINANCIAL REPORTING						
FINANCIAL REPORTING – BI-WEEKLY, MONTHLY & QUARTERLY WORKING PAPERS (FOR DEPARTMENTS) Working papers of departments relating to monthly and quarterly reporting of financial position. May include quarterly and monthly interim financial statements and risk management checklist and reports.	By year, then month/quarter	Originator	CY+2	Destroy	Internal	
FINANCIAL REPORTING – MONTHLY & QUARTERLY FOR (FINANCE) Documentation relating to monthly and quarterly reporting of financial position submitted to Council. May include quarterly and monthly interim financial statements and risk management checklist and reports.	By year, then month/quarter	Finance – Reporting & Payroll Services	CY+2	Destroy	Internal	Not related to official financial books records or annual financial statements. All reports to Council retained in Clerk's records of Council.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
FINANCIAL STATEMENTS & AUDITOR'S REPORTS - FINAL Documentation relating to the final, audited year-end financial statements. Records include the year end audited financial statements and notes to the statements includes auditor's report.	By fiscal year	Finance – Reporting & Payroll Services	Archival	Archival	Public	Fed.1, Fed.2
YEAR END & AUDIT REPORTING – PREPARATION WORKING PAPERS Documentation used or created in the preparation of year end auditing and financial statements. Records include analysis, master schedule of documents provided to third parties, confirmation letters regarding payment receipt and funding allocated, and auditor's report.	By fiscal year	Finance – Reporting & Payroll Services	FY+6	Destroy	Internal	
FINANCIAL INFORMATION RETURN (FIR) & MUNICIPAL PERFORMANCE MANAGEMENT PROGRAM (MPMP) REPORTING All work papers and supporting documentation for Financial Information Return (FIR) and Municipal Performance Management Program (MPMP) filings and final copies.	By fiscal year	Finance – Reporting & Payroll Services	FY+6	Destroy	Public	
AUDIT						
AUDITOR RELATIONSHIP MANAGEMENT General correspondence and administrative materials related to the auditor relationship, engagement and firm.	By audit company name and name of auditor	Finance – Reporting & Payroll Services	S/O+1	Destroy	Internal	
SERVICES AUDIT - INTERNAL	By fiscal year	Originator	FY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
Audit of services that the City performs for its residents. Infrastructure and capital delivery, waste collection and water billing audits. Records include Internal audits, reports and related documentation.						
PAYROLL ADMINISTRATION						
PAYROLL PROCESSING This refers to the regular entry, posting and reconciliation of employee payroll details and related reports such as payroll audit reports, payroll stub confirmation, Records of Employment (ROE), TD1, T4, T4A, payroll transfers, schedules, timesheets, Canada Savings Bonds and relevant Statistics Canada reports. This includes the production of an employee record detailing deductions including family support (garnishments), pay and termination of pay at the end of employment. Includes the payroll register.	By year, then alphabetically by document type and date	Finance – Reporting & Payroll Services	FY+6	Destroy	Confidential	PIB Fed.11, Ont. 119, Ont.216, Ont.217, Ont.218
PAYROLL – REMITTANCES Records relating to the annual summaries of year-end reporting to government (reconciliation for the year) such as to Canada Revenue Agency (CRA), Workers' Compensation, Employee Health Tax and Ontario Municipal Employees Retirement Savings (OMERS) reports.	By year	Finance – Reporting & Payroll Services	CY+6	Destroy	Internal	Ont.87, Ont.88, Ont.89, Ont.90

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
PROCUREMENT						
SUPPLIER INFORMATION Documentation and general administrative information regarding suppliers, vendor and service providers used to identify potential sources of goods and services. Records may include product catalogues, pricing lists and summary of services offered.	Alphabetical by vendor name	Originator	CY+1	Destroy	Internal	
SUPPLIER SUBMISSIONS (UNSUCCESSFUL / DECLINED/CANCELLED) Documentation relating to the procurement of goods and services. Records may purchase justification, call for submission (RFP, RFQ, RFI, tenders, pre-qualifications, quotations, vendor submissions (proposals, bids, research body backgrounders, resumes of individuals), evaluation and evaluation summary, decision and decision communication including acknowledgement letters and notification to unsuccessful bidders.	By year then by RFP (RFT,RFI, RFQ) number	Finance – Purchasing	T/E + 2 T/E=contract awarded	Destroy	Internal	
SUPPLIER CONTRACT MANAGEMENT (SUCCESSFUL) Documentation relating to the negotiation of contracts and the management of the engagement with bidders. Records include RFPs, RFQs, RFIs responses, bid submission documents, evaluation matrices, business cases, Q&A's, purchase justification, draft contract correspondence, engagement plan, purchase order change requests and related documentation.	By RFP (RFI, RFQ) number	Finance – Purchasing	T/E +6 T/E= contract completed or termination of agreement	Destroy	Internal	PIB, Ont 95, Ont 96, Ont 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
Pending RFPs, etc. and related documentation are filed here until a decision is made. FOR: EXECUTED CONTRACT AGREEMENTS SEE: AGREEMENTS/CONTRACTS/LEASE-EXECUTED						
SUPPLIER PERFORMANCE MANAGEMENT Bidders' performance for consideration for future initiatives.	By name of vendor or by previous RFP (RFT,RFI, RFQ) number	Finance – Purchasing	CY+6	Destroy	Confidential	
P-CARD MANAGEMENT Records include personal documentation from staff to set-up the p-card program and changes to card status.	By employee name	Finance –Account Payable	T/E+2 T/E = when change made	Destroy	Confidential	PIB Ont.119

GOVERNANCE

The function of governing the organization and exercising authority and control to ensure transparency and accountability. Records relating to the ways in which the City of Markham is governed and regulated to ensure efficiency, effectiveness and compliance with statutory requirements including requests under the Municipal Freedom of Information & Privacy (MFIPPA) legislation. Includes records of the Markham's legislative process, bylaws and agendas and minutes of Council and its Committee and its policies and procedures. Includes information received from federal, provincial and other municipal governments. Also includes the management of the lifecycle of information through records management services such as classification systems, retention by-law, identification of vital records and security classification.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
ACCESS & PRIVACY						
ACCESS REQUESTS Records relating to the receipt and processing of access requests for City of Markham 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, and annual reporting to the IPC.	By year and then by file number and/or then by name of individual/organization	Clerk's Office	T/E+2 T/E = file closed upon completion of case	Destroy	Confidential	PIB Ont.95, Ont.119, Ont.206, Ont.219
BY-LAWS ADMINISTRATION						
BY-LAWS All By-Laws enacted by Markham City Council and Land Tribunals approvals.	By By-law number and then by name	Clerk's Office	Permanent	Permanent	Public	Fed 36, Ont. 157, Ont. 162
COUNCIL ADMINISTRATION						

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
COUNCIL ORIENTATION & ADMINISTRATION Documentation relating to the orientation sessions provided to Council members, administration of Council activities including biographical sketches and profiles of councillors, general information about the council such as board orientation packages and protocol book.	Chronological by date and then by topic	Clerk's Office	S/O+2	Destroy	Internal	Ont.157
COUNCIL, STANDING AND ADVISORY COMMITTEES MEETING RECORDS – WORKING NOTES Records relating to the preparation of council, standing, and advisory committee meetings.	By date	Clerk's Office	6 months	Destroy	Confidential	
COUNCIL, STANDING AND ADVISORY COMMITTEES MEETING RECORDS - CONFIDENTIAL Records include final versions of staff reports, which have gone to Council with signatures, agendas, minutes, notices, submissions and resolutions - accessible to authorized Clerk's staff only.	By date	Clerk's Office	Permanent	Permanent	Confidential	Ont.157
COUNCIL, STANDING AND ADVISORY COMMITTEES MEETING RECORDS - PUBLIC Records include final versions of staff reports, which have gone to Council with signatures, agendas, minutes, notices, submissions and resolutions. May include audio and/or video files, if applicable.	By date	Clerk's Office	Permanent	Permanent	Public	Ont.157
COMMITTEES – APPOINTED BY COUNCIL Committees appointed by Council such as advisory, ad hoc and standing	By name of Committee	Clerk's Office	Permanent	Permanent	Public	Ont.5, Ont. 119, Ont.157

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
committees e.g. Audit, Accessibility, Committee of Adjustment. Records include appointments, terms of reference, declaration of office and other relevant documentation.						
COMMISSIONER OF OATHS Records include applications and appointments approvals for commissioner of oaths.	By name of applicant	Clerk's Office	T/E+3 T/E= termination of duties	Destroy	Confidential	
ELECTION CO-ORDINATION AND ADMINISTRATION						
MUNICIPAL ELECTION ADMINISTRATIVE RECORDS Includes documents and materials related to an election or by-election such as nomination papers, Deputy Returning Officer Statements, election forms, ward system, information related to alternative voting methods and related vendor information, contribution rebate program, hiring of personnel, voting locations and training of personnel . FOR: POLICIES & PROCEDURES SEE: POLICIES, PROCEDURES, STANDARDS & GUIDELINES	By date of election	Clerk's Office	T/E+8 T/E = election year Kept for two election cycles	Destroy Kept for two election cycles	Public	Ont.121, Ont.122, Ont.128, Ont.129, Ont.130, Ont.131, Ont.132, Ont.133, Ont.135, Ont.136, Ont.137, Ont.139, Ont.143, Ont.144, Ont.145, Ont.146, Ont.147, Ont.148, Ont.150, Ont.151, Ont.152, Ont.153, Ont.154, Ont.155, Ont.156
MUNICIPAL ELECTION RECORDS – CAMPAIGN FINANCE Includes documents filed under the Municipal Elections Act (financial statement and auditor's report) including records of the Compliance Audit Committee, which the Clerk shall retain until the members of the council or local board elected at the next	By date of election	Clerk's Office	T/E+8 T/E = election year Kept for two election cycles	Destroy	Public	Ont. 120

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
regular election have taken office. Includes by-elections.						
MUNICIPAL ELECTION RESULTS & STATISTICS Results of by-elections and municipal elections. Includes number of voters, number of candidates and number of votes.	By election year	Clerk's Office	Archival	Archival	Public	
MUNICIPAL ELECTION RECORDS – VOTERS LISTS / BALLOTS/TEMPORARY STAFFING Includes voters' lists, ballots, and related material including temporary staffing applications.	By date of election	Clerk's Office	T/E+90 days T/E= election day	Destroy	Public	Ont. 145
WARDS & BOUNDARIES Records relating to the assignment of wards and boundaries within the City of Markham. Includes petitions to change wards and all related information.	By name of ward	Clerk's Office	Archival	Archival	Public	
POLICIES & PROCESS MANAGEMENT						
POLICIES, PROCEDURES, STANDARDS AND GUIDELINES Includes documents supporting the governance and operational infrastructure for the City of Markham. Records relating to the production and formal approval of official corporate and departmental policy statements, standing operating procedures, process mapping, work constructions, guidelines, and manuals such as procedures, such as travel policy, cell	By Function and then by topic Administrative • Freedom of Information requests • Flag Policy • Travel Policy Corporate Communications • Event Policy • Media Relations Policy • Social Media Policy	Originator	S/O+3	Archival Selection	Internal	Ont.173, Fed. 14, Fed 15

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
phone guidelines, and vacation policy to mention a few.	People Services - Accessibility for Ontarians with Disabilities Act Policy Information Technology - Use of Information Technology Policy					
STRATEGIC & LONG RANGE PLANNING						
STRATEGIC & ADMINISTRATIVE PLANS Records relating to strategic planning by departments and residents designed to assess and adjust the City of Markham's direction and to determine its visions and future objectives. Includes information on seminars, strategy planning sessions, and mission statements. Documents include annual business plans containing information on goals and objectives to implement the City's strategic plans, specific time frames, key events, issues, long and short-term strategic planning reports and all ancillary materials.	By date, then by department	Office of the Chief Administrative Officer	CY+10	Archival Selection	Public	
<u>OFFICIAL PLAN & AMENDMENTS</u> FOR: OFFICIAL PLAN & AMENDMENTS SEE: PLANNING, DEVELOPMENT, BUILDING – <u>POLICY PLANNING</u>						
<u>GOVERNMENT RELATIONS</u>						
GOVERNMENT / INTERGOVERNMENTAL RELATIONS & AGENCIES	By Agency name and then by level of Government: Federal	Clerk's Office	CY+6	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
Records relating to federal, provincial, municipal government departments, commissions, boards, authorities and related agencies whose functions may impact on, or be involved with the City'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.	- Provincial - Municipal					
ACCESSIBILITY FOR ONTARIANS DISABILITIES ACT (AODA) Records include compliance letters, contract Inquiries, correspondence, accessibility audits and employment standards.	By topic	People Services Asset Management	CY+6	Destroy	Internal	Ont.5, Ont.95, Ont.173, Ont.174, Ont.176
RECORDS/DOCUMENT MANAGEMENT						
CLASSIFICATION & RECORDS RETENTION BY-LAW Records relating to the development and implementation of the records classification structure and the retention and disposition by-law initiatives. Includes information relating to all issues that may affect the development and approval of the City's records classification structure and retention by-law, which officially govern for how long information is kept and whether it is destroyed. Documents may include records retention by-laws of other municipalities, federal and provincial legislation, legal opinions and all supporting correspondence.	Alphabetical by topic	Clerk's Office	S/O+2 Not specified "shall retain in secure and accessible manner"	Destroy	Public	Ont.157

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
RECORDS DESTRUCTION CERTIFICATES Records relating to records destruction certificates, which authorize the destruction of the City of Markham's records in accordance with formally-approved records retention by-law. Includes destruction of media such as paper, microform and electronic records. Documents include records destruction certificates, applications for records destruction, destruction notices, and records destruction statistics and reports.	Alphabetical by department name	Clerk's Office	CY+20 NOTE: 20 years after records are destroyed	Destroy	Internal	Ont 158, Ont 159, Ont 160 Destruction certificates may be needed in litigation to prove the information was destroyed in the normal course of business.
RECORDS CENTRE OPERATIONS Records relating to the operations and management of the City of Markham's records storage facilities. May include information relating to inactive records retrieval and storage locations. Documents may include box contents listings, reports and statistics about the holdings, offsite transmittal sheets, copies of offsite storage invoices with packing slips attached, disposition notifications, copies of records destruction certificates, and all supporting correspondence.	By type of document	Clerk's Office	CY+20 NOTE: 20 years after records are destroyed	Destroy	Internal	Ont.158, Ont.159, Ont.160

INFORMATION TECHNOLOGY

The function of applying and managing information and communications technology to support the business needs of the organization by means of capturing, storing, retrieving, transferring, communicating and disseminating information through automated systems, such as wide-area networks and local-area networks. Includes planning, determining requirements, developing, acquiring, modifying and evaluating applications and databases, and disposing of these systems. Also includes communication systems, such as video-conferencing, voice mail, mobile devices, electronic mail, and the technical aspects of the internet, intranet, and websites.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
INFORMATION TECHNOLOGY-COMPUTER & INFORMATION SECURITY						
COMPUTER SYSTEM ACCESS & CONTROLS Records relating to the security and confidentiality of City of Markham's online information resources located in the User Authentication System, Network Drives, and specific application/system configuration. Includes information about computer security practices and tools. Documents may include, computer security records,	By name of system	Information Technology	S/O+3* Retain only data essential to identify, isolate or prevent harm to computer system. *Retention will vary for security assignments contained in specific systems or applications. Assignments will be retained according to business requirement for access	Destroy	Confidential	Fed.4
SYSTEM BACK-UP Copies of master files or databases, application software, logs, directories needed to restore a system in case of a disaster or inadvertent destruction.	By system name	Information Technology	S/O+1* (based on frequency of back up per specific system) *Actual retention based on policy per specific system (according to criticality)	Destroy	Internal	
APPLICATIONS & SYSTEMS DEVELOPMENT						
PRODUCT EVALUATIONS Records relating to the review and analysis of software and hardware products for suitability and/or	Alphabetical by product or hardware name	Information Technology	T/E+2 T/E = determination of the suitability/ Implementation	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
implementation. Records include review notes, product literature, beta testing, test results and summary or recommendation reports. FOR: REQUEST FOR PROPOSALS (RFP) SEE: FINANCIAL MANAGEMENT - PROCUREMENT			of software and hardware products.			
SYSTEMS DEVELOPMENT LIFECYCLE Designing and developing IT systems to enable the City to achieve its strategic goals and objectives. Includes designing and developing new IT systems and developing existing IT systems to meet evolving business needs or technical standards. This includes in-house software development as well as system integration activities with some information stored in Project Management systems, File Management Systems, Network drives and code repository systems, This may include information on computer resources, technical design, systems development, user requirements, project definitions and database management. Would also include source code. Documents may include project charter, project scope, project plans, project management reports, system testing statements, data control impact documents, quality assurance investigations and reports, deficiencies and gaps and related correspondence.	Alphabetical by project or system name, project number and then by subject. • Architecture • Business Requirements • Quality Assurance • System Engineering • Project Management • Project Deployment Plans	Originator - Project Manager & Information Technology	T/E+ 6 Decommission of application or system	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
COMPUTER OPERATIONS & SUPPORT						
HARDWARE & SOFTWARE INVENTORY Records describing computer equipment (e.g. laptops, towers, mobile devices) and software items, including quantity, assignments, and location.	By item Type	Information Technology	T/E+ 6 Decommission of application or system or Disposition of hardware item	Archival Selection	Internal	
HARDWARE & SOFTWARE MANUALS / INSTRUCTIONS /OPERATING PROCEDURES Records from vendors and external organizations such as standards, procedures and operating instructions that provide instructions on the operation and maintenance of computer hardware and software, telecommunications and electronic communications systems. Includes user guides, maintenance support materials, installation guides, desktop service manuals and instructions, backup instructions.	By application name	Information Technology	T/E+ 6 T/E = decommissioning or upgrade of application or equipment	Destroy	Public	
HELP DESK LOGS & REPORTS Records (tickets) tracking computer end-user problems and requests (including access requests) and the action taken to resolve the problems. Records required for knowledge, statistical reporting/history and ad-hoc reporting/analysis at any time after standard routine reports have been produced	By request type	Information Technology	T/E+6 T/E = issue resolved or request fulfilled	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
REPORTS & MONITORING Refers to reports and statistics captured/generated from various IT initiatives, applications and/or systems to monitor the efficacy of the current IT department in providing services and maintaining hardware/software for the City of Markham. Reports and statistics may be used to substantiate costs or become part of a business case or request for new services, systems, and equipment. NOTE: Reports and statistics should be generated on a routine basis to ensure the data is captured from the source to avoid conflicts with other retention periods. Source data must be retained to allow supplemental and ad-hoc report generation and analysis in addition to standard reports	By type of report	Information Technology	CY+10	Archival Selection	Internal	

**LEGAL, LICENSING
AND MUNICIPAL
PERMITS**

The function of providing legal services to the organization by the Legal Department or external counsel. Records relating to legal matters involving the City of Markham. Includes leases, agreements, contracts, licenses, permits, insurance policies. Also includes records relating to lawsuits and legal issues.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
AGREEMENTS/CONTRACT/LEASE ADMINISTRATION						
AGREEMENTS / CONTRACTS / LEASES – WORKING FILES All documents relating to the negotiation, formation and use of official agreements, contracts & leases, which may be between the City of Markham and external organizations or individuals. Records may include drafts and final agreements, memoranda of understanding and supporting correspondence. Record series includes software license or service agreements, hardware maintenance and support agreements, facility and equipment leases, agreements related to the development application process and all supporting documents as set out above. Final, executed documents are filed with AGREEMENTS / CONTRACTS / LEASES – EXECUTED CONTRACTS.	By name of individual/organization	Legal Services	T/E+3 T/E= expiration or termination of contract	Destroy	Confidential	PIB Ont.95, Ont 96 Ont. 119
AGREEMENTS / CONTRACTS / LEASES – EXECUTED CONTRACTS Records include the final executed agreement/contract or lease such as software license or service agreements, performance and artists' agreements, rental agreements hardware maintenance and support agreements, facility and equipment leases, agreements related to the development application, procurement agreements and all other agreements or contracts.	By name of individual/organization	Clerk's Office	T/E+15 T/E= expiration or termination of contract	Destroy Collective agreements to be kept permanently	Confidential	PIB Ont.95, Ont 96 Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
NOTE: this is the final version of all agreements/contracts and leases. The record series above is for the working papers created to create the executed agreements.						
AGREEMENTS/CONTRACTS – PLANNING ACT APPLICATIONS – WORKING FILES Records include the working files for subdivision, site plan and development agreements, etc and amendments, clauses, insurance certificates, plans, and notifications of assumption. For executed agreements SEE: Agreements / Contracts / Leases – Executed Contracts	By developer's name	Clerk's Office	T/E+25 T/E= expiration or termination of contract	Destroy	Internal	
LEGAL MATTERS						
CORPORATE BOOKS & RECORDS Records documenting the creation, structure, organization and governance of Markham Enterprise Corporation. Documents include Articles of Incorporation, Letters Patent of Continuance, Trademarks, Intent to Carry on Business, Company registers, By-Laws, Minute Books and Notices, Share Certificates, Share sales and transfers, Corporate reorganization.	Bu document type	Legal Services	T/E + 6 T/E = day corporation dissolved	Permanent	Confidential	Fed 3, Ont. 244, Ont. 245, Ont.246, Ont 247, Ont 248, Ont. 249
DISPUTE RESOLUTION Records may include reference materials on the client or matter, background information correspondence, contracts, Council Extracts, Committee/Council reports, minutes, including closed session, legal brief/memo/opinion, judicial decisions,	By name of individual/organization	Legal Services	T/E+3 T/E= expiration or termination of contract	Destroy	Confidential	PIB Ont.95, Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
corporate searches, title searches, by-laws, policies, legislative /regulations, copies of draft/final contracts, copies of the settlement agreements and releases.						
LEGAL OPINIONS/ADVICE/BRIEFS Includes records relating to legal opinions provided by the municipality 's legal staff and legal opinions provided to the municipality, departments and Council	By topic or subject	Legal Services	CY+10	Archival Selection	Confidential	PIB, Ont 119
PRECEDENTS Documents that that may be used as an example in dealing with subsequent similar instances. This may include precedents for all areas of legal practice, including (without limitation) planning/development, real estate, public procurement, and municipal by-law compliance / enforcement.	By topic	Legal Services	S/O	Destroy	Internal	
Land Tribunal CASE FILES Includes legal correspondence and background material, case files for tax and property issues. May include development applications, notices of appeal, orders and notices, pleadings, case law, reports, decisions and correspondence. NOTE: Land Tribunal entities may be named and renamed overtime. This record series will also include records belonging to former names of land tribunals with similar functions. This includes the Ontario Municipal Board (OMB), and the Local Planning Appeal Tribunal (LPAT), and	By address & case number	Legal Services Planning	T/E+25 Resolution of appeal or completion of related planning project	Destroy	Confidential	

the Ontario Land Tribunal (OLT).						
INSURANCE, RISK & COMPLIANCE MANAGEMENT						
INSURANCE & RISK MANAGEMENT Documentation relating to insuring City of Markham against risk and fiscal exposure. Insurance policies include errors and omissions insurance, umbrella liability, and property	Alphabetical by type of insurance	Finance Strategy & Innovation	T/E+3 Event = date offence alleged to have been committed	Destroy	Internal	Ont.1, Ont.2, Ont.3, Ont.4, Ont.77, Ont.95

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
insurance. Records include insurance statement of values applications, insurance policies, renewals, certificates of insurance and related information.						
COMPLIANCE LETTERS Includes records relating to the processing of requests from lawyers requesting information relating to compliance and release of subdivision agreements/site plan agreements. May also include zoning information and building permit violation history, environmental history for the property and documentation about the property assumption and fee payments.	By property address	Originator	CY+10	Destroy	Internal	
ACCIDENT & INCIDENT / COLLISION REPORTING Records relating to the City's reporting of accidents or incidents that have occurred on City properties and that may involve members of the public, staff and buildings and structures. These are insurable claims managed by the City's insurance adjuster. Records include accident reporting concerns, events such as vandalism, arson, vehicle accidents and personal injuries that have occurred. Records include completed accident investigation reports, corrective action forms, witness statements, functional ability forms, first aid records and hazardous reporting forms.	By name of individual	Health & Safety	T/E+3 T/E = file closed upon resolution NOTE FOR MINORS: T/E=18 th birthday T/E+6 = actual claims with infant claimant (no Litigation Guardian) Claims commenced up to Dec. 31, 2003 T/E+3 = claims commenced	Destroy	Confidential	PIB Fed.13, Ont.84, Ont.85, Ont.95 Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
			after Dec. 31, 2003			
CONSENT RELEASE FORMS & WAIVERS A release is a written agreement between you and the person you are photographing, or the person who owns the property you are photographing. The purpose of the release is to protect you from any future lawsuits the person might file for claims such as defamation and invasion of privacy. Releases provide authorizations and/or permission. Waivers are voluntary surrenders of a known right. Records include insurance waivers, liability waivers, parental consent forms and consent release forms. FOR: PHOTOGRAPHS SEE: PHOTOGRAPHS FOR EVENTS	By type of waiver	Originator	T/E+3 T/E = expiry of waiver	Destroy	Confidential	PIB Ont.95 Ont. 119 If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports
REAL PROPERTY MANAGEMENT						
REAL PROPERTY ACQUISITION/ EXPROPRIATION/DISPOSITION Includes records relating to the acquisition, expropriation, disposition and lease of real property by the City, as well as easement, license agreements, permission to enter agreement. May also include closing documents executed when a real property transaction is completed.	By address of property or name of other party/description of land	Legal Services	Permanent	Permanent	Confidential	Ont.100, Ont.101, Ont.102, Ont.103, Ont.104
LITIGATION/CLAIMS						
CLAIMS BY THE MUNICIPALITY Records relating to the administration of and consultation for, legal claims and litigation initiated by the City, such as	By name of claimant	Legal Services	T/E+3 T/E = file closed upon resolution	Destroy	Confidential	PIB Fed.13, Ont.84, Ont.85, Ont.95 Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
claims based on contract or negligence. Records may include copies of contracts, correspondence, corporate searches, title searches, legislation/regulations, legal briefs/memos/opinions, legal exhibits (such as photographs), litigation fees, summaries of legal issues, precedent judicial decisions, court documents.			NOTE FOR MINORS: T/E=18 th birthday T/E+6 = actual claims with infant claimant (no Litigation Guardian) Claims commenced up to Dec. 31, 2003 T/E+3 = claims commenced after Dec. 31, 2003			
CLAIMS AGAINST THE MUNICIPALITY – INSURED & NOT INSURED Records relating to the administration of and consultation for, legal claims and litigation affecting or initiated by City employees or third parties; such as, first party claims made by the City to the City's Insurer(s) (for example, property and crime losses) and third party liability claims that are made against the City. Records may include copies of contracts, correspondence, corporate searches, title searches, damage reports, injury/medical reports, legislation/regulations, legal briefs/memos/opinions, legal exhibits (such as photographs), litigation fees, summaries of legal issues, precedent judicial decisions, and court documents. Third party claims may arise from alleged contract breach, or negligence or omission by the City (for example, its	By name of person/organization	Legal Clerk's Office	T/E+3 T/E = file closed upon resolution NOTE FOR MINORS: T/E=18 th birthday T/E+6 = actual claims with infant claimant (no Litigation Guardian) Claims commenced up to Dec. 31, 2003 T/E+3 =	Destroy	Confidential	PIB Fed.13, Ont.84, Ont.85, Ont.95 Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
failure to clear ice and snow from walkways, potholes and collisions involving City vehicles).			claims commenced after Dec. 31, 2003			
LICENCES & PERMIT PROCESSING						
LICENCES & PERMITS Business, commercial, animal, parking licences and permits except those dealing with building, planning and development, zoning. FOR: PROPERTY RELATED APPLICATIONS SEE: PLANNING, DEVELOPMENT & BUILDING – APPLICATIONS, PERMITS – OTHER & BUILDING PERMITS FOR: WATER PERMITS SEE: DRINKING WATER QUALITY MANAGEMENT STANDARDS (DWQMS) FOR: MARRIAGE LICENCES AND BURIAL PERMITS SEE: LEGAL/LICENSING/PERMITS - VITAL STATISTICS	By type of Permit/Licence and address • Animal Control • Business • Parking	Originator	T/E+6 T= expiry date	Destroy	Confidential	PIB Fed 37, Ont. 119, Ont.164, Ont.166, Ont.168, Ont.230
BY-LAW ENFORCEMENT						
PROVINCIAL OFFENSES Includes records relating to infractions under municipal by-laws and the follow-up of these cases. PART III - POA The types of documents created/received are as follows:	By address	Originator	T/E+2 T/E = when case resolved	Destroy	Confidential	PIB Ont.95, Ont. 119 Ont.221, Ont.222, Ont.223

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
• Orders to Comply • Notice of Violation • General Letters • Part 1, Part 3 occurrences, • Complaints • Note taking logs • Court briefs • POT tickets • Summons • Inspection photos • Ownership of property						
COMPLAINTS, CITATIONS, NOTICES OF VIOLATIONS & INVESTIGATIONS Records include the nature of the complaint, details of the incident, investigation information. Includes records relating to building complaints and order to comply.	By Address of Case/Complaint	By-law & Regulatory Services	T/E+2 T/E = when case settled or payment made	Destroy	Confidential	PIB Ont.95 Ont. 119
MUNICIPAL BY-LAW INFRACTIONS Prosecutions deal with municipal infractions, their prosecution, appeals and the follow-up of these cases. Records include documentation related to Screening Review and Hearing Review appointments, certificate of conviction, court filing for unpaid parking infractions, notice of intention to appear form, original parking tickets, court papers, set application, decision, trials, etc.	By address or name Exception: Parking Tickets – by ticket number and date	By-law & Regulatory Services Court Administrator	T/E+2 T/E = when verdict rendered NOTE FOR MINORS: T/E=18 th birthday T/E+6 = actual claims with infant claimant (no Litigation Guardian) Claims commenced up to Dec. 31, 2003	Destroy	Confidential	PIB Fed.13, Ont.84, Ont.85, Ont.95 Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
			T/E+3 = claims commenced after Dec. 31, 2003			
VITAL STATISTICS						
MARRIAGE APPLICATIONS Records licences/certificates of marriages that occur in the City of Markham. Completed documents are forwarded to the Office of the Registrar General.	By Type of Application and then by name of person	Clerk's Office	T/E+2 T/E = completion of the application	Destroy	Confidential	PIB Ont.6, Ont.91, Ont.95, Ont.97 Ont. 119
MARRIAGE REGISTRY Records relating to civil marriages performed by designated City Officials.	By marriage registry book	Clerk's Office	Archival	Archival	Public	
VITAL STATISTICS REGISTRATION Records relating to vital statistics registration applications and licences/certificates of vital events such as deaths, burials (permits), and marriages that occur in the City of Markham. Completed documents are forwarded to the Office of the Registrar General. A database on death registrations is kept with the Clerk's Office.	By type of application, then by name of person	Clerk's Office	Archival	Archival	Public	PIB, Ont 6, Ont 91, Ont 95, Ont 97, Ont 119

**PLANNING,
DEVELOPMENT, AND
BUILDING**

The function of managing the physical growth and development of the City of Markham. Activities include reviewing and amending the official plan and development regulations, preparing appeals and representing the City at appeal hearings, handling development inquiries and pre- consultation, issuing building permits, street naming nomenclature, review of all development applications and providing mapping support to other departments including internal studies to support statutory regulations, the planning of parks and open spaces, urban policy and transportation. Administration of subdivision, development, construction and site plan agreements including quality assurance control including security administration and the final acceptance of new municipal infrastructures..

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
BUILDING/PLANNING/ ZONING APPLICATIONS BY CONTRACTORS AND INDIVIDUALS FOR PERMITS FOR THE DEVELOPMENT, CONSTRUCTION AND USE OF COMMERCIAL, INDUSTRIAL, INSTITUTIONAL OR RESIDENTIAL PROPERTIES AND BUILDINGS.						
DEVELOPMENT INQUIRIES / PRE-APPLICATION CONSULTATION & COMPLETE APPLICATION CHECKLIST Includes requests for information regarding developments and development pre-consultations to assist in determining requirements for a complete application. May include concept plans. Includes Builder Tips created for the public to provide guidelines on how to build/construct in compliance with existing by-laws, regulations, and other applicable laws Note: Successful inquiries move to the PLANNING APPLICATIONS folder.	By address and/or by Amanda number, if applicable	Planning & Urban Design	CY+6	Destroy	Confidential	PIB Ont. 119

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
PLANNING APPLICATIONS Request for formal permission to build, construct or renovate a structure and all related permits. Includes, successful development inquiries, permit applications, permits issued and approvals. Includes records regarding the approval (or otherwise) such as completed application checklists, records received/prepared and associated with processing the application including; related plans (e.g. landscape), reports and studies, approval drawings, written notes, background information general correspondence, formal correspondence to council, etc.	By Amanda number and then by type of Application: • Condominium Consent • Development • Heritage • Minor Variance • Official Plan Amendments • Part lot control • Site Plan • Street Naming • Subdivision • Zoning	Planning & Urban Design	T/E+25 T/E = project finished and securities for the file have been released	Destroy	Confidential	PIB Ont.7, Ont.8, Ont.15, Ont.33, Ont.34, Ont.119, Ont.162, Ont.177, Ont.178, Ont.179
BUILDING PERMIT APPLICATIONS Records include all documentation compiled and retained as part of a building permit application.	By Amanda number and then by address	Building Standards	T/E+6 T/E = cancellation of permit	Destroy	Confidential	PIB Ont. 119
BUILDING PERMITS - ISSUED Includes issued building permits and any supporting documentation.	By permit number and then by address	Building Standards By-law Enforcement & Licensing	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Confidential	PIB Ont. 119
APPLICATIONS & PERMITS – OTHER Applications for and copies of permits (or records of their issuance) involving sign installation, fencing, swimming pool construction, driveway construction, and for similar activities that are not classified as building or planning applications or permits. May also include zoning searches containing research letters prepared by Zoning examiners documenting zoning regulations in effect on specific properties	By type of permit then address	Building Standards By-law Enforcement & Licensing	T/E+6 T/E = project finished	Destroy	Confidential	PIB Fed 37, Ont.7, Ont.8, Ont.15, Ont.33, Ont.34, Ont.107, Ont. 119, Ont.162, Ont.163, Ont.177, Ont.178, Ont.179

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
in response to enquiries from landowners and other members of the public. FOR: BUSINESS, PET, TAXI, MOBILE VEHICLES ETC. SEE: LEGAL/LICENSING/PERMITS - LICENCES & PERMITS						
PROPERTY REFERENCE FILE (RESIDENTIAL & NON-RESIDENTIAL) Property file is a reference file comprised of copies of documents so that relevant documents on the property are stored together. Records may include permit application, committee of adjustment file, correspondence, survey or site plan, drawings and all information related to the property. Information also located in Amanda. Note: Older building permits are stored in property reference files resulting in a longer retention period for the files.	By address & roll number	Building Standards	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Confidential	PIB Ont. 119
INSPECTIONS - BUILDING Reports of inspections carried out with reference to new construction; alterations to existing structures; code violations and other projects, activities or situations requiring inspection.	By roll number & address	Building Standards By-law Enforcement & Licensing	T/E+25 Retain as long as building or structure remains in existence + 25 years	Destroy	Confidential	PIB Ont.9, Ont.96, Ont.119, Ont.226, Ont.227
DEVELOPMENT ENGINEERING						
DESIGN STANDARDS Records relating to engineering design standards and reference materials for City of Markham infrastructures. FOR: AMANDA TEMPLATES	By name of standard	Engineering	T/E+25 Retain as long as building or structure remains in existence + 25 years	Archival Selection	Internal	Ont.10, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
SEE: ADMINISTRATION TEMPLATES & FORMS - BLANK						
MUNICIPAL INSPECTIONS/CAQC Records related to the administration and associated securities performed on new municipal infrastructures (Development and capital Works). Documents may include inspection reports, certificates, construction drawings, correspondence, sewer videos/reports, security reductions/release/calculations and related documentation. .	By property address and then by Amanda number	Engineering	T/E+25 Decommissioning of the capital/infrastructure being inspected	Archival Selection	Internal	Ont.10, Ont.96
TRANSPORTATION PLANNING Records relating to transportation aspects of development applications and the review of strategic and long range transportation planning for a sustainable transportation system including transit, road network transportation and demand management and active transportation. Records may include Transportation Impact Assessments, Functional Traffic Design Studies, Transportation Demand Management Studies, Parking Justification Studies, Environmental Assessment Studies, design, and operational reviews, and copies of Official Plan Review, Master Plans, Secondary Plans, Parking Strategy, Regional & Provincial Transportation Reviews.	By type of report	Engineering	CY+15	Archival Selection	Internal	Ont.12, Ont.13, Ont.14, Ont.95
TRAFFIC CONTROL & OPERATIONS Records relating to managing traffic control and operations on roadways, including traffic reports and counts. Records may include: technical traffic studies and investigations, recommendations for traffic control devices, traffic data, street files, traffic	By type of report	Operations - Traffic	CY+15	Destroy	Internal	Ont. 12, Ont. 13

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
control signals, traffic calming, red light cameras, performance measures, school safety initiatives (e.g. crossing guards), reports of traffic volumes on streets, roads, bridges, intersections, etc. Diagrams and notes for traffic counts of various streets.						
URBAN POLICY & PLANNING						
OFFICIAL PLAN & AMENDMENTS The statutory document which sets out the land use policy directions for long-term growth and development in a municipality for plans that are both in effect and not in effect. Records include draft and final "reference" versions of official plans, official plan consolidations and related information. FOR: PLANNING APPLICATIONS SEE: PLANNING, DEVELOPMENT & BUILDING – BUILDING PLANNING & ZONING – PLANNING APPLICATIONS	By By-law number adopted by the Official Plan Amendment For Planning: By Application or Project #	Clerk's Office Planning & Urban Design	Permanent	Permanent	Public	Ont.162
MASTER PLANS Refers to land, environmental, cultural, economic development, recreation, trails, parks, population, housing needs, utilities, human services and community facilities.	By type of plan • Environmental • Growth Management Plan • Integrated Leisure Plan • SCADA Master Plan • Sustainability Plan (Greenprint) • Transportation Plan	Originator	Permanent	Permanent	Public	
SECONDARY PLANS Secondary Plans apply to areas where significant redevelopment is expected. Establishes local development policies to guide growth and development in defined areas where major physical changes are expected.	By By-law number adopted by the official plan amendment	Planning & Urban Design	Permanent	Permanent	Public	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
“M” & “R” PLANS M Plans are registered plans for subdivisions and show the survey boundaries, lot numbering and dimensions of the lot. R Plans show all land description including division of land.	By plan number	Originator	Permanent	Permanent	Internal	Ont.15, Ont.96
MAPS/PLATS May include the following categories of maps: community facilities, zoning, flood plain, geologic survey, subdivision, land use, typographic and water and soil.	By type of map: • Facilities • Land Use • Official Plan Amendment • Site Plan • Subdivision	Originator	Permanent	Permanent	Internal	Ont.107
RESEARCH AND STUDIES City initiated studies (Special Planning Studies initiated by the City as background to the preparation of new Planning documents, zoning by-laws, land use studies, etc.), policy research, review and comment on external agencies studies and projects, urban design research, transportation studies background studies, Park Planning and Design Studies, Application related studies. May also include background studies submitted in support of development applications or studies performed by third-parties in which the City of Markham participated,	By project/Amanda number	Originator	CY+15	Archival Selection	Internal	
URBAN DESIGN Records may include the following: Design Guidelines, Architectural Control guidelines, Staff Initiated Studies, Urban Design Awards, Precinct Plans and Project Charters.	By File number	Planning & Urban Design	CY+15	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
PARKS & OPEN SPACE PLANNING						
PARKS AND OPEN SPACE PLANNING Records related to design plans, studies, correspondence, comments etc. related to planning and designing parks for the City of Markham. FOR PARKS MAINTENANCE SEE: ASSET MANAGEMENT & MAINTENANCE- PARK/TREES MANAGEMENT	By project name	Planning & Urban Design/Parks	T/E+25 decommissioning of the park	Archival Selection	Internal	
HERITAGE PLANNING						
HERITAGE RESOURCES Records dealing with the identification and conservation of significant heritage resources which can include buildings, natural resources monuments, structures and landscapes. Records include heritage studies, Markham Register of properties of cultural value or interests, processing heritage designations, Heritage Conservation District (HCD) plans and study files, heritage property reference files, subject files, and heritage property tax rebate files FOR: HERITAGE PERMITS SEE: PLANNING APPLICATIONS	By topic	Heritage Planning	Permanent	Permanent	Public	Ont.34, Ont.114, Ont.115, Ont.116, Ont.117
MUNICIPAL ADDRESSING						
STREET NAMES & NUMBERS Includes records relating to road / street names, unit numbers and name changes for municipal buildings, streets, utility stations and parks. Notifications sent out to agencies regarding the proposed and final addressing for corner lots and	By location	Planning & Urban Design	S/O +1	Archival Selection	Public	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
notifications for address confirmation. Includes the original applications and notifications.						

PROJECT MANAGEMENT

The function of researching, managing, operating and supporting projects within the City of Markham whether Capital projects, IT projects, Environmental projects or Corporate and Ad hoc projects. Project Management is normally reserved for focused, non-repetitive, time-limited activities with some degree of risk, and for activities beyond the usual scope of program (operational) activities.” The management of projects “encompasses the structure within which projects are initiated, planned, executed, controlled and closed.”

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
CAPITAL & INFRASTRUCTURE PROJECTS	Classify Projects according to Minor, Major or Annual and then follow the following structure					
CAPTIAL & INFRASTRUCTURE PROJECTS Records are for capital projects, which are typically large scale and commit large financial resources relative to other investments that involve less planning and resources.	Pre-Initiation • Project Scoping • Meetings • Communications • Business Case • Capital Budget Process	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructur e has been decommissioned	Archival Selection	Internal	Ont.9, Ont.15, Ont.96
	Guidance & Supporting Tools • List templates (i.e. capital project forms) • Design Standards & Specifications • Manuals & design guidelines	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructur e has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96
NOTE: Procurement is solely used for capital and infrastructure projects. All other goods and services procurement related activities SEE : Financial Management -Procurement	Procurement • RFP/RFI/Expression of Interest • Consultant Selection • Tender Award • Tender Analysis • Purchase Order • Insurance • Contract Documents	Originator Purchasing	T/E+25 T/E = file closed after the project has been completed or capital/infrastructur e has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
	Environmental Assessment • Notifications • Meetings • Communications (email, correspondence) • Technical Reports • Environmental Assessment Report (final release) • Drawings • Value engineering & plans review	Originator	Permanent	Permanent	Internal	Ont.9, Ont.15, Ont.96
	Planning & Design • Project Complexity & Risk Assessment • Project Plan • Project Schedule • Design Brief/Council report • Meetings (project initiation meetings) • Communications - stakeholders, consultants, contractors • Utilities • Design Standards & Specifications • Technical reports (e.g. geotechnical, hydraulic studies, etc.) • Approvals and Permits • Drawings (for tender purposes – comments to be kept on file until project completed.) • Reports • Notifications (noise by-law exemptions, notice of construction, temporary left Fluorides)) • Stakeholder Responses • Final Tender Documents • Communications • Photographs – Pre Construction	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructure has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
	Contract Administration • Schedule and Budget • Meeting minutes/project notes • Health & Safety • Contracts & Agreements • Change Orders • Change Directives • Payments & Invoices • Performance Appraisals • Performance/Completion Certificate	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructure has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96
	Substantial Completion & Warranty • Lessons learned • Benefits Realization Analysis • Substantial Completion • End of project report • Training • Warranty • Drawings – As Built • Operation & Maintenance Manuals (incl. shop drawings) • Legal Review	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructure has been decommissioned	Archival Selection	Internal	Ont.9, Ont.15, Ont.96
	Construction • Communications (email, correspondence) • As Built Drawings • Factory acceptance testing (FAT) • Site Photos • Master Plans (Regional) • Site instructions • Inspection records • Testing, Commissioning, Training, site acceptance • Payment Certification	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructure has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
	Monitoring and Controlling • Status reporting /progress reports • Change Management • Change Requests (tracking & review) • Corrective Actions • Logs – Issues and Daily • Quality management • Risk Management • Deficiency Lists	Originator	T/E+25 T/E = file closed after the project has been completed or capital/infrastructure has been decommissioned	Destroy	Internal	Ont.9, Ont.15, Ont.96
PROJECT MANAGEMENT – INFORMATION TECHNOLOGY/ OPERATIONAL/ ADMINISTRATIVE/AD HOC						
PROJECT MANAGEMENT – IT/OPERATIONAL/CORPORATE/AD HOC Project planning for operational/administrative & IT/technology related activities and deliverables.	Initiation • Project Mandate • Business Case • Requirements specifications • Stakeholder Analysis • Risks Assessment • Project Approval	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or disposition of technology item	Archival Selection	Internal	
	Procurement • RFP/RFI/Expression of Interest • Consultant Selection • Tender Award	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or disposition of technology item	Destroy	Internal	
	Contract Administration • Contracts & Agreements • Change Orders • Payments & Invoices • Performance Appraisals	Originator	T/E+6 T/E = completion or close of project or termination of agreement,	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
	• Performance Certificate • Budget		decommission of IT system or disposition of technology item			
	Planning • Project Charter • Project Management Plan • Project Governance • Requirements definition and collection • Budget • Workplan/Schedule • Plans • Resources • Financial • Procurement • Quality assurance • Risk Assessment • Change Management • Stakeholders • Issues Management • Communications • Identify Contractors	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or disposition of technology item	Destroy	Internal	
	Executing • Quality Assurance • Testing • Meetings • Performance Monitoring	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or disposition of technology item	Destroy	Internal	
	Monitoring & Control • Change request tracking • Change Request Review • Additional project Controls • Issue Management • Status Reporting • Risk Monitoring • Quality assurance	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or	Destroy	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
	Commissioning		disposition of technology item			
	Closing - Wrap-up meeting - Sign-off from project sponsor - Lessons Learned - Close Contract (If Applicable) - Perform Post Implementation Review (Include Impact/Risk Avoidance Report) - Project document archive	Originator	T/E+6 T/E = completion or close of project or termination of agreement, decommission of IT system or disposition of technology item	Archival Selection	Internal	

RECREATIONAL AND CULTURAL SERVICES

This function of managing, operating and supporting sports and other recreational activities, the arts, social and cultural organizations.

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
PROGRAM ADMINISTRATION						
PROGRAM RECORDS Records relating to sports, recreational, or cultural activities. Records related to creating programs held at any of the City of Markham's cultural institutions (i.e. Theatre, Art Gallery, or Museum) and programs sponsored by the City of Markham, including activity schedules, lesson plans, programs, participants' list, status sheets, scorebooks, rules and regulations, activity planning records and all other similar records.	By name of program • Aquatics • Community Partnership • Fitness • Seniors • Youth	Recreation Services Markham Theatre Markham Art Gallery Markham Museum	CY+3	Destroy	Confidential	PIB Ont.91 Ont. 119
PROGRAM REGISTRATION & MEMBERSHIPS These files document registrations and memberships forms, schedules, profiles, program cards including attendance for recreation programs including teams, leagues, camp programs, special events, campgrounds, golf, etc. including delinquent files. Also includes Art Gallery, Museum, and Theatre program registration and membership records.	By name of person	Recreation Services Markham Theatre Markham Art Gallery Markham Museum	CY+2	Destroy	Confidential	PIB Ont.91 Ont. 119
ACTIVITY / STATISTICAL REPORTS These periodic reports generated by the parks and recreation department and may contain narrative and statistical data about the department's programs, activities, services, number of	By name of facility or program	Originator	CY+6	Destroy	Internal	Ont.228

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
participants, etc. They may be generated for the entire Parks and Recreation Services department or for a specific function program or facility. May also be generated by the art galleries in Markham to track donation and sponsorship information.						
WAIVERS OF LIABILITY / PARENTAL CONSENTS, INCLUDING PHOTO RELEASES. SEE: LEGAL/LICENSING/PERMITS – CONSENT RELEASE FORMS & WAIVERS						If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports
TRAINING RECORDS FOR WATER CERTIFICATIONS SEE: EMPLOYEE MANAGEMENT - MANDATORY CERTIFICATION TRAINING	By name of participant	Parks & Recreation	T/E+1 T/E = expiry of certification	Destroy	Confidential	PIB Ont. 119
FACILITY RESERVATIONS - RECREATIONAL						
FACILITY BOOKINGS Records include copies of permits and bookings issued for the rental of recreational, cultural and administrative facilities for specific activities. For: Rental Contracts SEE: Legal - Agreements/Contracts/Leases- Executed	By event date	Parks & Recreation Markham Art Gallery Markham Theatre Markham Museum	CY+1	Destroy	Confidential	PIB Ont. 119
CULTURAL ACTIVITIES						
EXHIBITS Records relating to all aspects of planning and mounting exhibits. Documents may include research notes, information on design, layout,	By name, then by date of exhibit	Markham Art Gallery Markham Museum	T+6 T= File closed upon completion or	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
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			closure of exhibit			
PERFORMANCE FILES Records related coordinating the development and production of performances held at the Markham Theatre. May include any video, photos, or programs for shows at the Markham Theatre. For Artists contracts SEE: Legal – Agreements/Contracts/Leases - executed	By performance name, then by date (season)	Markham Theatre	T/E+10 T/E=performance completed	Archival Selection	Internal	
PUBLIC ART & ART IN CITY OF MARKHAM FACILITIES Records relating to public art which is owned and displayed by the City of Markham and/or exists on City of Markham property. Art may include paintings, etchings, pictures, tapestries, statuary, 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 facilities art collections, photographs relating to the inventory, conservation reports, condition reports, copies of agreements and contracts, and correspondence.	By artist's name and title of work	Markham Art Gallery	S/O+1	Archival Selection	Internal	

Record Series	Filing Methodology	Accountability	Total Retention	Disposition	Security Classification	Citation/ Comments
MUSEUM COLLECTIONS Records relating to artifact, archival and natural history specimen collections that are owned and displayed by the City of Markham and/or exists on City of Markham property. May include historical objects, art, archaeological materials, archives (paper, photographs, digital and analogue media) and natural history specimens (animal and mineral) with artistic and/or historical value. May include information relating to makers, designers, owners, collectors, excavators, researchers and the acquisition of items via donations, purchase or commissions. Documents may include inventories of collections, photographs relating to the inventory, conservation reports, condition reports, copies of agreements and contracts, appraisals, exhibition and publication history and correspondence.	By Accession number/donor name/Fond	Markham Museum	Permanent	Permanent	Internal	
MUSEUM RESEARCH Records relating to research and secondary documentation of local and family histories of Markham and area. Records are added to as research is undertaken by staff, volunteers or external groups. Records are collected and information is provided through our research facility to staff and the public. Documents include secondary materials such as genealogical charts/reports, artifact, catalogue records, maps, indexes, service lists, unpublished reports, etc.	Family Name / Subject	Markham Museum	Permanent	Permanent	Public	