

BY-LAW NO. 11

A by-law relating to
the retention and destruction of documents
for the

Greater Toronto Transit Authority

WHEREAS:

- A. On November 9, 2001, the Authority published a by-law regarding the retention and destruction of documents pursuant to Subsection 57(1) of the *Greater Toronto Services Board Act, 1998*, S.O. 1998, c. 23 (the "GTSB Act"), which provided that Section 116 of the *Municipal Act*, R.S.O. 1990, c. M.45 (as amended), regarding the retention and destruction of documents, applied to the Authority, as if the Authority was a municipal corporation for the purposes of that section.
- B. Section 116 of the *Municipal Act* provides that the Authority shall not destroy any of its receipts, vouchers, instruments, rolls or other documents, records and papers, except in accordance with a by-law, passed by the Members of the Authority and approved by the auditors of the Authority, which by-law establishes the schedules of retention periods during which the receipts, vouchers, instruments, rolls or other documents, records and papers must be kept by the Authority.
- C. The auditors of the Authority approved the by-law providing for the orderly retention and subsequent destruction or other disposition of its receipts, vouchers, instruments, rolls or other documents, records and papers.

BE IT ENACTED as a by-law of the Authority as follows:

- 1. The retention periods for the receipts, vouchers, instruments, rolls, records and papers (the "Documents") as set forth in Schedule "A", and forming part of this By-law, are hereby adopted and established as the retention period for each such record.
- 2. Where authorized or permitted by law, including, without limitation, pursuant to Section 15 of the *Electronic Commerce Act, 2000*, S.O. 2000, c. 17, the retention of the Documents may be in the form of electronic, microfilm, microfiche or

similar satisfactory alternative storage methods to the storage of paper documents.

3. Upon the Secretary or her or his designate satisfying herself or himself that the relevant retention period established by this By-law has expired and that no reason exists for further retention of a given class of documents or specific documents, the Secretary or her or his designate may then order the Document to be destroyed.
4. The short title of this By-law shall be the "Records Retention By-law".

Effective Date

5. This By-law No. 11 shall come into force on the date hereof.

The foregoing restated By-law No. 11 is hereby consented to and passed by the Members of the Authority, this 18th day of January, 2002, pursuant to Subsection 7(4) of the *GO Transit Act, 2001*.

GREATER TORONTO TRANSIT AUTHORITY BY-LAW NO. 11

ADMINISTRATION

SCHEDULE A

November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Accidents See Claims						
Acts and Legislation	General	Reference copies	Until superceded			
	Greater Toronto Services Board	By-laws, resolutions, act	Permanent			X
	Greater Toronto Transit Authority				X	X
	Toronto Area Transit Authority				X	X
Administrative Records	Routine – not policy or finance related	Working papers, correspondence, memos, bulletins/notices, e-mail	2 years plus current			
	Administrative or Finance related		6 years plus current subject to archival selection		X	X
	Executive		15 years subject to archival selection		X	X
	Daily Letterbook	Copies of correspondence, memos, e-mail, charts, notes	5 years with the exception of Directors - 10 years	X		
	Requests for Information	Correspondence, memos, email requesting maps, timetables, fare charts, tariff, reports, guest speakers, sponsorship, donations	1 year plus current	X		

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Agreements	Capital Expenditures, Rail Locomotives, Bi – Level Cars, Trackwork, Rail Maintenance or Repairs Bus and Support Vehicles, Equipment, Assets	<p>Agreement, tender, addendum, amendment, change order, warranty, correspondence, notes, bonds, specifications, claims, insurance</p> <p>Working papers, photographs, plans, drawings, reports, minutes, financial data, reports, inspections, quality control, performance, deficiencies, repair</p>	21 years or life of equipment, subject to Archival selection	X	X	X
	Engineering, Architect, Consultant, Contractor, Surveyor, Soils, Geotechnical, Environmental, Property Purchase, Appraisal, Transfer, Specific Litigation Cases, Union Contracts, Arbitration	<p>Agreement, tender, addendum, amendment, change order, warranty, correspondence, notes, bonds, specifications, claims, insurance</p> <p>Working papers, photographs, plans, drawings, reports, minutes, financial data, reports, inspections, quality control, performance, deficiencies, repair</p>	Permanent	X	X	X
	General, Agency, Franchise, Lease Sale Procurement of assets or property, Service, Maintenance, Insurance Policies, Terminated Property Easements or Rights of Way, Term Contracts	<p>Agreement, tender, addendum, amendment, change order, warranty, correspondence, notes, bonds, specifications, claims, insurance</p> <p>Working papers, photographs, plans, drawings, reports, minutes, financial data, reports, inspections, quality control, performance, deficiencies, repair</p>	21 years, subject to archival selection	X	X	X
	Permits, Licenses – short term	Permission to use property or assets for parking, promotional activities, filming, safety days, displays	3 years from date of termination	X	X	
	Reserved Parking Records	Reserved Parking Request and Agreement form, statistical reports, correspondence	6 years plus current	X	X	

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record	
Audit	Reports	Final	Permanent		X	X	
		Electronic data	5 years				
		Working papers	6 years plus current	X	X		
Claims	Bus, Rail, Property, Support Vehicles	Incident, accident, customer service, maintenance, financial, legal, fire, police, ambulance, medical, witness, victim, financial, insurance, property damage and vandalism reports, repair estimates, photographs and correspondence	6 years plus current, after settlement or age of majority	X	X		
			Irrecoverables	6 years plus current	X	X	
			Incident / Property Damage & Vandalism Reports	3 years, may be retained longer for investigation purposes	X	X	
	Death			10 years after settlement and/or age of majority, subject to archival selection	X	X	X
				Recording Log Sheet	Listing of claims by number, incident and date	10 years	
	Copyright	Trademark, GO Logo. Patents	Creation, filing of, permission to use, breach	10 years			
				Reports - Monthly	Incident reports	2 years	
Reports - Annual				Incident reports	Permanent		X
			Permanent	X	X	X	

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Communication	Service Records	Customer service reports, email, correspondence, complaints, commendations	2 years plus current	X		
	Statistics	Reports extracted from the telephone monitoring system	13 months	X		
	Telephone calls	Audio tapes used to record incoming calls in the Call Centre	6 months	X		
Contingency Planning	Disaster Recovery Tapes	Daily, monthly and yearly tapes, backup of network electronic data and associated software	Daily 3 months Month 2 years Yearly 10 years	X	X	
Forms Management	History Files	Designs, working papers, artwork	2 years after cancellation			
Freedom of Information	Requests & Appeals	Request for access or change, appeals and responses, reports, cost calculations, tracking and recording forms	5 years	X		
Information	Requests for Information	External and internal requests for maps, timetables, fares, reports, guest speakers, sponsorship, donations	1 year plus current	X		
Legal	Litigation	Agreements, addendum, amendments, change orders, correspondence, memos, notes meetings, memos, notes, bonds, specifications, plans, drawings, photographs, performance reports, insurance, warranty, quality control, inspections, maintenance or repairs, evidence, court decision	20 years after case closed, subject to archival selection	X	X	X

ADMINISTRATION

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Legal	Prosecution Records	Occurrence / incident reports, Municipal / Provincial Police Reports, Provincial Offence Parking Infraction Notice, Provincial Offence Notice, Provincial Summons, Provincial Record of Conviction, Warning Tag, Officer Notebook, Dispatch Log, Summons information, Replacement of Confiscated Tickets, Fare media, correspondence and various reports	6 years plus current after case closed or date that no other activity has taken place	X	X	
		Young Offender Records	Until the age of 16	X	X	
Library	Reports – Audit, Budget, Engineering, Planning, Development, Financial, Annual, Timetables, Passenger Tariff, Promotional or Special Event Brochures, GO Transit Story, Magazine articles, Statistics, News Releases, Organization Charts	Reports, books, brochures, magazine articles, memorabilia, statistics, videos, photographs, videos, compact disks or any other media relating to GO Transit's operations	Permanent		X	X
Mail Services	Delivery Slips	External and internal courier delivery/pickup slips	3 months			
Marketing	Surveys/Ridership	Survey cards	2 years	X		
		Final Reports	Permanent		X	X

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Meetings	Board, Executive, Senior Management, Finance, Health & Safety, Environmental, Human Resources – Evaluation/Salary, Audit and other committees deemed historical	Minutes of meetings and attachments, agenda, resolutions	Permanent		X	X
Policy, Procedures	Corporate Internal	Manuals, source documents include, letters, memos, sign-off sheets	Permanent		X	X
Procurement & Contract Services	Assets	Stock or inventory lists, correspondence, working papers	2 years after superceded		X	
	Purchase Orders and Requisitions	Purchase Orders, requisitions, price quote, work specification, plans/drawings, vendor profile, bond and insurance certificates	6 years plus current	X	X	
	Tenders/Proposals	Public / Invitational tender, Request for Proposal / Quote, work specification, record of tender opening, attendance record, contract recommendation, contract award, site meeting, pre-qualification statements, company profile, warranty, bond, certificates, correspondence	6 years plus current	X	X	
	PCS computer system	Electronic data on assets, purchase requisitions and orders, tenders, vendors	10 years	X	X	
Records Management	Retention Schedules	Schedules to determine the retention of records, destruction certificates	Permanent		X	X
Regulations	See Acts & Legislation					

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Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Reports	See Library					
Scheduling	Employee Work Scheduling Records	Vacation scheduling, request for time off, request to work overtime, request to exchange work, employee bi-weekly attendance register, courier schedules, sign-up preference form, request for shift change, extra driver sheet, crew reports, copies of timekeeping reports	1 year plus current	X		
Transit Enforcement	Communications	Telephone calls and radio transmissions, audio tapes	6 months, may be retained longer for law enforcement purposes	X		
	Closed circuit television and video security system,	Video tapes	2 months, may be retained longer for law enforcement purposes	X		
	CPIC / PARIS Log	Information extracted electronically from the Police CPIC and PARIS database	5 years	X		
	Administrative Records	Suspect Unattended Vehicle Check, Request for Certified Copy of Conviction, Record of Ticket Issuance, Train statistics, correspondence	1 year	X		
	Incident Reports – Monthly	Statistical reports	5 years			
	Incident Report - Annual	Statistical reports	Permanent			X

BUS SERVICES

SCHEDULE A

November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Communications	Telephone calls and radio transmissions	Audio tapes	49 days, may be retained longer for law enforcement purposes	X		
Equipment	Fuel records	Log to record amount of fuel used in equipment	2 years plus current			
	Administrative Records	Daily Fuel Line Report, Foreman's Report, invoice copies, correspondence	1 year plus current			
	Inspection Records - Bus and Support Vehicles	Inspection and repair reports, correspondence, memos, e-mail, information is used to generate work orders	3 years			
	Equipment Maintenance	Repairs, maintenance, work order, vehicle hold notice, defect report, fuel and oil mileage record	5 years		X	
Operations	Projects	see Administration – Agreements and Library				
	Transit Operating System	Computer system used to schedule routes, work schedules, planning	Retain on-line 2 years	X	X	
	Surveys	see Administration – Marketing				
Security	Closed circuit television and video security system	Video tapes	10 days, may be retained longer for law enforcement purposes	X		

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Accounting	Accounts Payable	Invoice, billings, expense accounts, A/P cheques, ledger – annual & monthly, remittance advice, budget, bank statements, monthly financial report, cheque register, branch transfer, reconciliation, debit and credit advice, cash receipt, journal entry, month end report, refunds, purchase order copy, working papers	6 years plus current	X		
	Accounts Receivable	Bank deposit, bank statements, invoice, cheque register, remittance advice, deposit book, general account, debit and credit advice, credit card slips, STI/BTI and tapes, audit reports, journal entry, armoured car service, change order, inventory, coin/change counts, bank backup, treasury room records, security guard reports, overage/shortage reports, refunds, interline sales, fare vault, reconciliation, vouchers, cash receipts, rent/lease payments, US and Canadian bank drafts and transfers, correspondence, memos, reports, bad debts	6 years plus current	X		
	Financial Statements	Audited final statement	Permanent		X	X
		Working papers	6 years			
Finance System	Data from source documents which generate payroll and financial records	10 years	X	X		
Payroll	Journal/Register	Employee wages, benefits, tax, pension, deductions	Permanent	X	X	X
	T4 Slips		Permanent	X	X	X
	Pension files	Pension funds, transactions	Permanent	X	X	X

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Payroll	Records	Timesheets, timecards, exception reports, Canada Savings Bond deduction, credit union, charities, OHIP, hours report, benefits, vacation, sick, union, insurance, garnishee, cheque copies, cancelled cheques, correspondence, journal entry, work sheets, audit, transmission reports, family support payments, remittance, grievance, Statistics Canada report, bank direct deposit, bank transfer, adjustments	6 years plus current	X	X	
	Timekeeping	Hours of work, absence reports, overtime, extra work hours, vacation, unscheduled extra trip report, daily trip delay report, driver waybill, daily sign-in sheet, duty register	6 years plus current	X		
Revenue	Revenue Accounting System	Sales and deposit information, electronic data	6 years plus current		X	
	Sales Records	Sales reports, Driver's receipt, Daily Summary of Driver's Sales and Miscellaneous Revenue	2 years			
	Closed circuit television and video security system	Video tapes	6 months, may be retained longer for law enforcement purposes	X		
	Ticket / Pass Inventory	Ticket Requisition form, inventory control documents	1 year plus current			

HUMAN RESOURCES

SCHEDULE A

November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Administration	Operational Records	Working papers, correspondence, memos, bulletins, notices, notes, e-mail, not policy or revenue/financial related	6 years			
	Employee Files	Active records, application for employment, resume, references, education, insurance/benefit documents, pension, performance review, training, medical, identification card, complaints, driver license, commendations, discipline reports, accident reports, workplace harassment, grievance, human rights, worker safety insurance board, correspondence, memos	Upon termination, 70 years	X	X	
	Employee Suggestions	Employee Suggestion form, correspondence, committee recommendation, financial information	6 years plus current	X		
	Human Resources System	Data from source documents which generate payroll and human resources records	10 years	X	X	
	Union Negotiations	Terms of union agreement, working papers, meetings, correspondence, memos, e-mail	10 years after termination, subject to archival selection		X	X
Archives	Pay Equity Plan, Policy and Procedures, Job Evaluation & Descriptions, Organization Charts	Meetings, working papers, charts, correspondence, memos, e-mail and other documents deemed historical to the corporation	Permanent	X	X	X

HUMAN RESOURCES

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November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Benefits	Operational Records	Insurance, reconciliation reports, retirement, STSP and vacation report, maternity and parental leave, budget, drug cards, fuel cards, dental medical and vision plan, surveys, service awards, identification card renewals, financial planning, PRISM, meetings, correspondence, working papers, memos	6 years plus current	X	X	
	Passes	Photo identification cards for temporary use	3 years	X		
Occupational Health & Safety	Inspection Reports	Correspondence, memos, reports	3 years plus current			
	WHMIS – Workplace Hazardous Materials Information System	Data Sheets	3 years after superseded			
Recruitment	Application for Employment	Application for employment, resume, no particular competition	1 year	X		
	Recruitment Records	Job advertisement, application, form, resume, screening form, interview summary, test results	5 years	X		
Training	Employee Files	Education, course attendance, certifications	Upon employee termination, amalgamate with main Employee File	X	X	

PROPERTY

SCHEDULE A

November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Drafting	Drawings	see Administration – Agreements	Permanent		X	X
	Aerial Photos	see Administration - Library			X	X
Operations	Project Files	see Administration - Agreements	2 years after project completion		X	X
	Project Administration	Copies of: invoices, change initiation or orders, correspondence, memos, agreements and amendments, purchase orders, notes				
Property	Fuel Records	Log sheets, dip records, fuel levels, inspection of fueling equipment	2 years plus current			
Security	Closed circuit television and video security system	Video tapes	7 days, may be retained longer for law enforcement purposes	X		
Station Operations	Lost and Found	Log sheets, lost article tag, registry of lost and found articles, inquiry file	2 months	X		
		Electronic data	1 year			
	Maintenance	Correspondence, memos, e-mail, work orders, log sheets	6 years plus current	X		
	Reserved Parking Records	See Administration – Legal				
	Student ID Card	Student application form	2 years	X		
Electronic data		5 years	X			

RAIL SERVICES

SCHEDULE A

November 9, 2001

Subject Group	Subject	Description	Retention	FOI	Vital Record	Archival Record
Communications	Telephone calls	Audio tapes	3 months, may be retained longer for law enforcement purposes	X		
Equipment	Fuel Records	Log to record amount of fuel used in equipment	3 years			
	Event Recorders	Electronic recording of locomotive speed, direction, horn, light, brakes for inspection purposes	90 days, may be retained longer for investigation purposes		X	
Operations	Planning	see Administration – Library, Agreements, Administrative Records				
	Project Files	see Administration – Agreements				
	Wheelage Reports	Train movements, extra or delayed trains, crew schedules, mileage per corridor	5 years			
	Surveys/Ridership	Statistics Survey cards Electronic Media Final Reports	Permanent 2 years Permanent Permanent	X		X
Security	Closed circuit television and video security system	Video tapes	2 months, may be retained longer for law enforcement purposes	X	X	X