

Summary of Changes to the Records Retention By-law 26-2018 Schedule “A”

2023

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Introduction

The Records Retention By-law is a vital document for the Region, as it dictates what records must be kept, where they should be stored, and how long they must be retained.

This report details 57 proposed amendments to the current Records Retention By-law (26-2018). These updates are minor in nature and reflect various internal changes (most often due to program or division name changes), changes in municipal legislation or adjustments in wording to better serve the business need. The proposed changes are supported by in-depth communication with clients and extensive research by subject matter experts.

All proposed changes are detailed below. Each Primary Classification has its own table that outlines the proposed changes to the records series. Links to the retention schedule on Pathways are provided on the tables.

Each table lists the following:

- **Record Series:** An alpha-numeric code used to identify a type of record, based on a subject classification system
- **Record Series Title:** The title of the record series
- **Office of the Record:** Owners/custodians of the records, who is responsible for the records on behalf of the organization
- **Proposed Changes:** Changes proposed to be made to the record series
- **Justification:** Reasons for the changes proposed

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The following table describes the proposed changes to the Primary Classification of Administration.

RSI	Title	Office of Record	Proposed Changes	Justification
A01	Staff Committees/Meetings	Originator	1. Includes section to read: All records relating to staff committees and meetings, such as the Executive Leadership Team, United Way, and section or division meetings. Also includes correspondence between Executive Leadership Team members.	<ul style="list-style-type: none"> Reflects internal changes
A01-001	EMT Meeting Minutes	Originator	<ol style="list-style-type: none"> Change EMT to ELT members Remove Exclusion code and make dormant 	<ul style="list-style-type: none"> Reflects internal changes A01-001 has the same retention as the 'parent' A01, this separation was made for archival selection purposes. But since Archival Selection is now widely applied, this exclusion is unnecessary and becomes dormant
A02	Associations/Organizations	Originator	1. Excludes section to read: Magazines, sales materials, or other third-party reference material not published by the Region. (These are transitory information and non-records and therefore no retention period is applied).	<ul style="list-style-type: none"> Re-written for clarity surrounding records/non records
A06-001	Monthly Reports	Originator	1. Remove period from title	<ul style="list-style-type: none"> Minor formatting correction

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A07-001	Summary Reports	Originator	1. Remove period from title	<ul style="list-style-type: none"> • Minor formatting correction
A10	Community Programs	Originator	1. Use section to read: To administer and monitor funding for community programs.	<ul style="list-style-type: none"> • Fix typo on the word 'community'

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*The following table describes the proposed changes to the Primary Classification of **Building & Property Management**.*

RSI	Title	Office of Record	Proposed Changes	Justification
B01	Property Maintenance	Property Management	<ol style="list-style-type: none"> 1. Extend retention from C+4 to C+5 2. Office of Record to read: Facility Occupant Services (FOS) 	<ul style="list-style-type: none"> • Building Condition Assessments must be retained for 5 years for business operations • Reflects internal changes
B02	Space Planning	Real Property Asset Management (RPAM), Operations & Maintenance	<ol style="list-style-type: none"> 1. Remove Operations & Maintenance from Office of Record 2. Office of Record to read: Real Property Asset Management (RPAM) 	<ul style="list-style-type: none"> • Reflects internal changes
B04	Fire Safety	Property Management, Operations & Maintenance, Long Term Care, Children's Services	<ol style="list-style-type: none"> 1. Office of Record to read: Facility Occupant Services (FOS), Long Term Care, Early Years and Child Care Services 	<ul style="list-style-type: none"> • Reflects internal changes
B05	Facility Use	Property Management, Operations & Maintenance	<ol style="list-style-type: none"> 1. Office of Record to read: Facility Occupant Services (FOS) 	<ul style="list-style-type: none"> • Reflects internal changes
B06	Building Security	Property Management, Operations & Maintenance	<ol style="list-style-type: none"> 1. Office of Record to read: Facility Occupant Services (FOS) 	<ul style="list-style-type: none"> • Reflects internal changes

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<p>B06-001</p>	<p>Access Control (exception code added under B06 – Building Security)</p>	<p>Facility Occupant Services (FOS)</p>	<p>*New RSI*</p> <ol style="list-style-type: none"> 1. 90-day, in office retention 2. No offsite period, only in office 3. Total of 90-day retention period 	<ul style="list-style-type: none"> • Included as an exception code under B06 as they are a relevant subset of this activity. • Storage and accumulation of these records for C+1 year exceeds the Region’s storage capacity, as upwards of thousands of access control points are logged every day. 90 days is industry standard for retention of this information
<p>B07</p>	<p>Fleet and Equipment Management</p>	<p>Operations & Maintenance, TransHelp, Paramedic</p>	<ol style="list-style-type: none"> 1. Office of Record to read: Facility and Occupant Services (FOS), TransHelp and Paramedic Services 	<ul style="list-style-type: none"> • Reflects internal changes
<p>B11</p>	<p>Construction Project Documentation</p>	<p>Real Property Asset Management (RPAM)</p>	<ol style="list-style-type: none"> 1. Includes section to read: All records related to the construction project such as excess soil records, bid documents, meeting minutes, schedules, contemplated & actual change directives, notices and orders, pricing, addendums, inspections, progress photographs & reports, site instructions, construction and shop drawings & contract sets including issued for tender, construction and/or permit. 	<ul style="list-style-type: none"> • The description more accurately represents the work of RPAM

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<p>B23</p>	<p>Property Records (Tenant)</p>	<p>Building & Property Management</p>	<ol style="list-style-type: none"> 1. Includes section to read: All records relating to properties where the Region is the tenant. Includes leases, correspondence with landlord, notices, orders, and negotiations. 2. Change RSI title to: Property Records (Region as Tenant) 	<ul style="list-style-type: none"> • Re-written for clarity
<p>B24</p>	<p>Property Assessment</p>	<p>Planning, Property Management</p>	<ol style="list-style-type: none"> 1. Office of Record to read: Planning, Facility Occupant Services (FOS) 	<ul style="list-style-type: none"> • Reflects internal changes

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*The following table describes the proposed changes to the Primary Classification of **Employee Relations**.*

RSI	Title	Office of Record	Proposed Changes	Justification
E32	Confined Spaces	Operations & Maintenance	1. Office of Record to read: Real Property Asset Management (RPAM)	<ul style="list-style-type: none"> • Reflects internal changes

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*The following table describes the proposed changes to the Primary Classification of **Financial Management**.*

RSI	Title	Office of Record	Proposed Changes	Justification
F02	General Ledger	Financial Services, Peel Living Finance	1. Office of Record to read: Corporate Finance, Peel Living Finance	<ul style="list-style-type: none"> Reflects internal changes
F03	Assets	Financial Services	1. Office of Record to read: Corporate Finance	<ul style="list-style-type: none"> Reflects internal changes
F04	Inventory Control	Financial Services	1. Office of Record to read: Corporate Finance	<ul style="list-style-type: none"> Reflects internal changes
F05	Journal Entries	Financial Services	1. Office of Record to read: Corporate Finance	<ul style="list-style-type: none"> Reflects internal changes
F06	Write-Offs	Financial Services	1. Office of the Record to read: Corporate Finance	<ul style="list-style-type: none"> Reflects internal changes
F09	Insurance Claims	Corporate Finance	1. Change the retention trigger to if the claims involve children. The remarks will read: such as “Resolution of the claim, OR the date at which the client reaches the age of majority, whichever is greater.”	<ul style="list-style-type: none"> It is standard to keep minors’ records until the age of majority (18 years old) is reached and we must account for this extended retention period

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F11	Financial Statements	Financial Services, Peel Living Finance	1. Office of Record to read: Corporate Finance, Peel Living Finance	<ul style="list-style-type: none"> • Reflects internal changes
F12	Financial Information Returns	Financial Services	1. Office of Record will read: Corporate Finance	<ul style="list-style-type: none"> • Reflects internal changes
F21	Debentures	Financial Services	<ol style="list-style-type: none"> 1. To be combined with F22 2. Change retention to T+20 3. T = maturity 4. Update includes section to read: All records relating to debentures and debenture registries issued by the Region, including tile drainage debenture issue requests from area municipalities and permanent improvements debenture requests from boards of education, such as prospectus information for each issue of debentures, consent application forms, and all records of payments made to investors. [OBJ] 	<ul style="list-style-type: none"> • Suits operational need • A search for F22 records on our records repository site, EIM, returned 0 results, this indicates little to no use of this RSI
F22	Debenture Registry	Financial Services	<ol style="list-style-type: none"> 1. Combine with F21 2. Make dormant 	<ul style="list-style-type: none"> • Too similar to F21, no longer a justification or a business need to keep both codes, especially given that they are so similar • This consensus was reached through consultation with the Treasury team

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F42	Subsidies/Grants	Originator	1. Add Exclusion: S35 – Purchase of Service Agency File	<ul style="list-style-type: none"> This will avoid potential confusion to the client between the two-record series as they both focus on subsidies

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The following table describes the proposed changes to the Primary Classification of Government Services.

RSI	Title	Office of Record	Proposed Changes	Justification
G10	<u>Emergency Management/Regional Fire Co-ordination</u>	Paramedic & Emergency Services	1. Office of Record to read: Paramedic Services	<ul style="list-style-type: none"> • Reflects internal changes
G11	<u>Emergency Communications</u>	Paramedic & Emergency Services	1. Office of Record to read: Paramedic Services	<ul style="list-style-type: none"> • Reflects internal changes
G13	<u>Ambulance Operations</u>	Paramedic & Emergency Services	1. Office of Record to read: Paramedic Services	<ul style="list-style-type: none"> • Reflects internal changes
G14	<u>Paramedic Investigation</u>	Paramedic & Emergency Services	1. Office of Record to read: Paramedic Services	<ul style="list-style-type: none"> • Reflects internal changes
G18	<u>Ambulance Call Reports (ACR)</u>	Paramedic & Emergency Services	1. Office of Record to read: Paramedic Services	<ul style="list-style-type: none"> • Reflects internal changes
G30	<u>Heritage – General</u>	Heritage	1. Office of Record to read: Originator, Region of Peel Archives, PAMA	<ul style="list-style-type: none"> • Reflects internal changes

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G31	Heritage Acquisitions	Heritage (PAMA)	1. Office of Record to read: Originator, Region of Peel Archives, PAMA	<ul style="list-style-type: none"> • Reflects internal changes
G32	Heritage Education	Heritage (PAMA)	1. Office of Record to read: Originator, Region of Peel Archives, PAMA	<ul style="list-style-type: none"> • Reflects internal changes
G33	Heritage Exhibitions	Heritage (PAMA)	1. Office of Record to read: Originator, Region of Peel Archives, PAMA	<ul style="list-style-type: none"> • Reflects internal changes
G34	Heritage Reference Services	Heritage (PAMA)	<ol style="list-style-type: none"> 1. Change title to Reference Services 2. Change Office of Record to: Originator, Region of Peel Archives, PAMA 	<ul style="list-style-type: none"> • Reference is a key service offered by more than just Heritage, such as at the Peel Region Archives
G35	Heritage Development	Heritage (PAMA)	1. Office of Record to read: Originator, Region of Peel Archives, PAMA	<ul style="list-style-type: none"> • Reflects internal changes

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The following table describes the proposed changes to the Primary Classification of Health Care.

RSI	Title	Office of Record	Proposed Changes	Justification
H90	Food Safety	Environmental Health	1. Office of Record to read: Health Protection	• Reflects internal changes
H91	Environmental Sites	Environmental Health	1. Office of Record to read: Health Protection	• Reflects internal changes
H93	Tobacco Enforcement/Control	Environmental Health	1. Office of Record to read: Health Protection	• Reflects internal changes
H94	Health Hazard Investigation	Environmental Health	1. Office of Record to read: Health Protection	• Reflects internal changes

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The following table describes the proposed changes to the Primary Classification of Information Management.

RSI	Title	Office of Record	Proposed Changes	Justification
I20	Records Management	Information Management Division	<ol style="list-style-type: none"> Office of Record to read: Clerks Includes section to read: All records relating to records management. Includes inventories, transfers and transmittal lists, research, storage, and reports. Includes the management of both active and inactive records. 	<ul style="list-style-type: none"> Reflects internal changes 'Includes 'section better represents the work done by the Records Management team
I21	Records Disposition History	Information Management Division	<ol style="list-style-type: none"> Office of Record to read: Clerks Includes section to read: All records relating to records disposition, such as disposition notices, correspondence, and certificates of destruction. 	<ul style="list-style-type: none"> Reflects internal changes Better reflects the work of the team responsible for these records
I22	Freedom of Information	Clerks	<ol style="list-style-type: none"> Includes section to read: All records relating to the <i>Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)</i>. This includes Privacy Impact Assessments (PIAs), annual reports, breach reports, and memos. Also includes privacy investigations and audits. 	<ul style="list-style-type: none"> Better reflects the Region's work related to the <i>Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)</i> Reflects internal changes

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			2. Change contact: Althea Knibb, Advisor, Access to Information and Privacy	
I22-001	Directory of records and personal information banks	Clerks	1. Change RSI title to 'Personal Information Bank Index'	<ul style="list-style-type: none"> Better reflects the work of the team responsible for these records
I22-002	Privacy Impact Assessments	Clerks	<ol style="list-style-type: none"> New RSI In office (active) retention: T T = termination of program or solution Off site (inactive) retention: +1 Year 	<ul style="list-style-type: none"> Suits operational need of the Privacy team
I23	Freedom of Information Requests	Clerks	<ol style="list-style-type: none"> Add Legal Authority: PHIPA, 2004, S.O. 2004, c.3, Sched. A, as amended Includes section to read: All requests for access to information or correction of records under the <i>Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)</i> and the <i>Personal Health Information Protection Act (PHIPA)</i> including fee estimates, notices to third parties, responses. Change contact: Althea Knibb, Advisor, Access to Information and Privacy 	<ul style="list-style-type: none"> Reflects legislative changes Corrects a typo

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<p>I26</p>	<p>Forms (Design/Template)</p>	<p>Service Innovation, Information & Technology</p>	<ol style="list-style-type: none"> 1. Office of record to read: Service Excellence and Innovation, Clerks 2. Remove 'Exclusion' section 	<ul style="list-style-type: none"> • Reflects internal changes • The exclusion code I26-001 is dormant and can therefore be removed
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*The following table describes the proposed changes to the Primary Classification of **Social Programs**:*

RSI	Title	Office of Record	Proposed Changes	Justification
S00	Survey	Originator	1. Change Series Title to 'Social Programs – General'	<ul style="list-style-type: none"> Title does not accurately capture the record series This ensures consistency with other x00 general codes
S34	Subsidized Childcare Client(s) Financial Records	Children's Services	1. Office of record to read: Early Years and Child Care Services	<ul style="list-style-type: none"> Reflects internal changes
S35	Purchase of Service Agency File	Children's Services	1. Remove the Exclusion Record series identifier 2. Office of Record to read: Early Years and Child Care Services	<ul style="list-style-type: none"> The Exclusion refers to S32, which is dormant Reflects internal changes
S50	Tenant Records	Housing Operations	1. Office of Record to read: Housing Services	<ul style="list-style-type: none"> Reflects internal changes

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S51	Tenant/Applicant Placement	Housing Operations	1. Office of Record will read: Housing Services	<ul style="list-style-type: none"> • Reflects internal changes
S52	Housing Provider	Property Management	1. Office of Record to read: Facility Occupant Services (FOS)	<ul style="list-style-type: none"> • Reflects internal changes
S56	Child Care Centres – Special Needs Clients	Child and Family Services	2. Office of Record to read: Early Years and Child Care Services	<ul style="list-style-type: none"> • Reflects internal changes

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*There are no changes to the Primary Classification of **Works**.*