

*In the matter of the Public Inquiries Act, 2009, S.O. 2009, c 33, Sch 6*

*And in the matter of the Resolution of the Council of the City of Hamilton dated April 24, 2019, establishing the Red Hill Valley Parkway Inquiry pursuant to section 274 of the Municipal Act, 2001, S.O. 2001, c 25*

**AFFIDAVIT OF JANETTE SMITH**  
SWORN February 22, 2023

I, Janette Smith, of the City of Hamilton, in the Province of Ontario, MAKE OATH AND SAY:

1. I am the City Manager for the City of Hamilton (the “City”), and, as such, have knowledge of the matters contained in this Affidavit.

**A. My Background**

2. I graduated from the University of Waterloo with a Bachelor of Science and I hold a Master of Health Science, Community Health from the University of Toronto. Additionally, I have completed several professional development programs from the Rotman School of Management, Queen's Executive Development Program and the Schulich School of Business.

3. I have over 30 years of experience in public service prior to joining the City, including serving in various senior leadership roles at the Region of Peel for the past two decades, including the Commissioner of Health Services and the Commissioner of Public Works.

4. I have been the City Manager in Hamilton since May 2019. As City Manager, I am the Chief Administrative Officer. I provide strategic leadership to execute Council policy and uphold the City’s mission to provide high quality cost conscious public services that contribute to a healthy, safe and prosperous community, in a sustainable manner.

5. In carrying out this mandate and the directions from City Council, I work closely with the City's senior leadership team comprised of the General Managers of Public Works, Finance & Corporate Services, Healthy & Safe Communities and Planning & Economic Development, the Executive Director of Human Resources and the Director of Communication and Strategic Initiatives (the "**Senior Leadership Team**"). I report directly to the Mayor and City Council.

6. The purpose of this affidavit is to summarize the ongoing policy and process improvements the City has developed and implemented both at the Corporate City-wide level and at the Public Works level that may be relevant to the issues that gave rise to the Inquiry (the "**Inquiry**") regarding the Red Hill Valley Parkway (the "**Red Hill**").

7. These policies and initiatives reflect the City's commitment to continuous quality improvement and evolve corporate strategy and processes to provide excellence in public service. As a large corporation, we will need to continue to reinforce the consistent implementation of the policies and initiatives described below.

## **I. CORPORATE CITY- WIDE INITIATIVES**

8. At Council's direction, the City has added a number of policies and procedures to strengthen accountability and transparency.

### **A. Records and Information Management**

9. In September 2022, Council approved a Records & Information Management Policy applicable to all City employees, including full-time, part-time, casual, contract, volunteer and student placement employees. A copy of the Records & Information Management Policy is provided at **Exhibit A**.

10. The purpose of the policy is to ensure consistent standards and practices are maintained with respect to the management of records in the City's possession to ensure that information is available for decision-making, program and service delivery and access requests under the *Municipal Freedom of Information and Protection of Privacy Act*, while being retained, preserved or destroyed in accordance with relevant legislation, regulations and policies.

11. The Records & Information Management Policy identifies the following principles as the framework for the management of the City's information assets:

- (a) accountability: information must be managed through its lifecycle by assigning accountability for the effective and efficient use of information by all staff.
- (b) transparency: the public has the right to access information under the control of the *Municipal Freedom of Information and Protection of Privacy Act*.
- (c) integrity and quality assurance: information must be reliable and accurate and must be a true representation of an actual event or task.
- (d) protection & compliance: legal, regulatory and contractual requirements must be met regarding the protection and use of information assets must be complied with
- (e) availability of information: records and information must be maintained in a manner that ensures the timely, efficient and accurate retrieval of information by staff requiring it for the City's business purposes
- (f) retention & disposition: records must be accessible based on legal, regulatory, fiscal, historical and business operational requirements

12. Employees are responsible for the proper management of corporate information assets in compliance with the policy and the Records Retention By-law. A copy of the updated Records Retention By-law is attached at **Exhibit B**.

**B. Changes to the Code of Conduct**

13. The City Code of Conduct governs the manner in which City employees perform their duties as it relates to local government administration and service to the community. City employees owe a duty of loyalty and commitment to the City as a condition of accepting employment with the City of Hamilton. In serving the public interest they are entrusted with access to a wide range of information, resources and responsibilities. The City expects its employees to operate with a sense of honesty and accountability in accordance with the values and goals established in the Mission, Vision and Values of the City.

14. This Code of Conduct and all related Schedules apply to all City employees, including but not limited to regular, temporary and contract employees, volunteers, students, and interns (collectively called “**Employees**”). A copy of the Code of Conduct for Employees is attached at **Exhibit C**.

15. As a function of the City’s commitment to updating and strengthening policies and processes, the City introduced two Schedules to the Code of Conduct: Schedule F: Interacting with the Office of the City Auditor, and Schedule G: Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety, described below.

*i. Interacting with the Office of the City Auditor*

16. In October 2019, Council approved an amendment to the Code of Conduct to include as Schedule F, a new policy titled “Interacting with the Office of the City Auditor.”

17. This policy outlines the roles, responsibilities and expectations of all staff when involved in an audit investigation or other work. Specifically, the policy confirms that City employees must fully cooperate with the City Auditor, which includes among other things: sharing all relevant information and providing access to systems, responding courteously, with fairness and honesty to inquiries and requests for information or assistance, and not limiting or unreasonably delaying the time allowed to provide information and conduct interviews. A copy of the Interacting with the Office of the City Auditor policy is attached at **Exhibit D**.

*ii. Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety*

18. In 2019, Council directed staff to prepare a policy that directs City staff to share any consultants’ reports, documents, memorandums or correspondence that raises any concerns about any current or future risk to human health and safety.

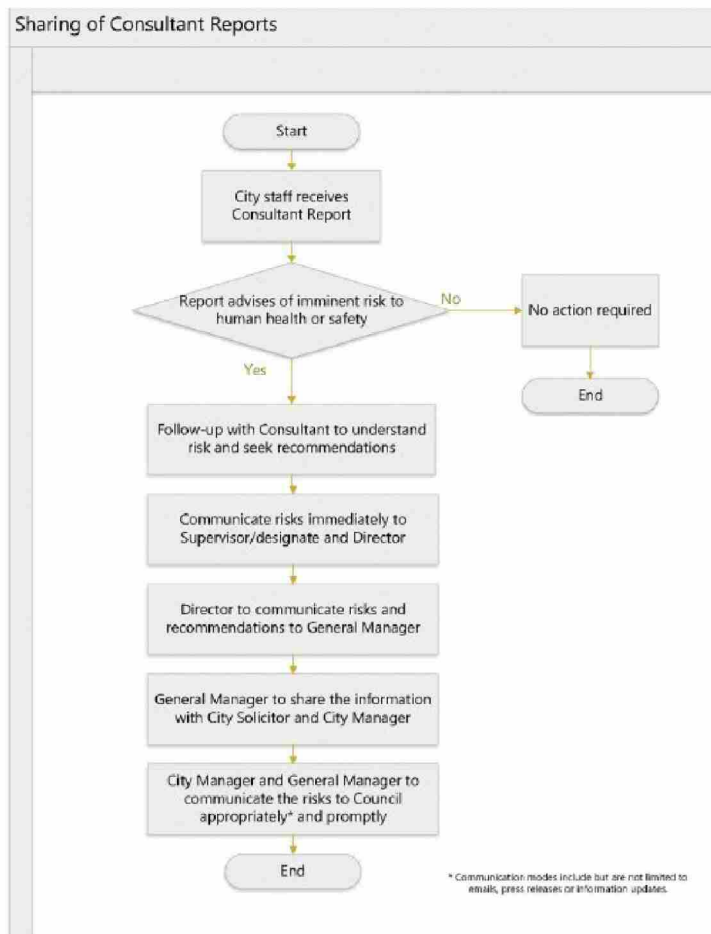
19. In January 2020, Council approved as an amendment to the Code of Conduct the “Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety” policy, which applies City-wide (the “**Corporate Sharing of Consultant Reports Policy**”).

20. In accordance with the Corporate Sharing of Consultant Reports Policy, the Public Works department provided specific direction to Public Works staff on how to share consultant reports which identify imminent risk to human health or safety in a policy document entitled “Sharing of

Consultant Reports with Identified Imminent Risks to Human Health or Safety” (the “**Public Works Sharing of Consultant Reports Policy**”).

21. Copies of the Corporate and Public Works Sharing of Consultant Reports Policies are attached at **Exhibit E**.

22. Pursuant to the Public Works Sharing of Consultant Reports Policy, staff who are advised of an imminent risk to human health or safety, through a report developed by a consultant, are required to follow up with the consultant and report the risk to their direct supervisor, as per the diagram below.



23. The expectation is that Public Works staff will apply the Sharing of Consultant Reports Policy to all current and incoming consultant reports as well as to any prior reports that come to their attention in the course of their duties.

**C. Council-Staff Relationship Policy**

24. In 2021, Council approved the Council-Staff Relationship Policy, which provides guidelines on the working relationship between members of Council and municipal staff.

25. One of the key guidelines in the Council – Staff Relationship policy states that Council and City staff are committed to accountability and transparency among Council and Staff and that staff are to ensure that “all Council members are provided with the same information on matters of general concern and/or matters that will be discussed at a meeting of Council or a committee of Council.” A copy of the policy is attached at **Exhibit F**.

**II. PUBLIC WORKS INITIATIVES**

26. In addition to the corporate wide policies and initiatives, the Public Works Department has implemented a number of changes that may be relevant to the issues giving rise to the Inquiry. In preparing this section of the Affidavit, I have reviewed the content with the new General Manager of Public Works, Carlyle Khan, to confirm its accuracy.

**A. Public Works Quality Management System**

27. The City has set a vision to be the best place in Canada to raise a child and age successfully. As part of its role in supporting and achieving this vision, as well as maintaining and enhancing the community’s trust and confidence, in 2019 the City’s Public Works Department spent

considerable resources developing and implementing a comprehensive quality management system known as the “Public Works Quality Management System” [the “**PWQMS**”]. The multi-year implementation of PWQMS started in January 2019 with an Oct 23, 2018, strategic planning session with City’s Public Works Department Departmental Leadership Team setting the stage for a January launch. A copy of the PWQMS Quality Management Manual is provided at **Exhibit G**.

28. The Quality Management System, developed and operated by the Public Works departmental leadership team, is designed to ensure that Public Works staff can consistently deliver excellent public services to the residents of Hamilton. Specifically, the PWQMS ensures that all aspects of operations, maintenance and capital renewal are undertaken in a manner that not only meets minimum regulatory and corporate standards but seeks to continually improve and enhance outcomes.

29. The Public Works departmental leadership team has ownership and oversight of the system which includes prioritizing initiatives and program deliverables. As a result of the PWQMS, a number of foundational processes have been documented, implemented and monitored for the effective support and implementation of the system to date. Some of these processes and systems are described below.

*i. Document Management and Control*

30. In 2021, a comprehensive Document Control Procedure was put into place across all divisions and sections of Public Works as part of the PWQMS. A copy of the Document Control Procedure is provided at **Exhibit H**.



31. The Document Control Procedure applies to all documents that are managed within a controlled process to ensure that staff have access to the correct and latest version of the document (“**Controlled Documents**”). “Controlled Documents” include procedure manuals, policies, guidelines, checklists, forms, and templates. The Document Control Procedure does not apply to “Records” (as defined below).

32. The Document Control Procedure includes guidelines with respect to the naming and numbering, version control and the storage and management of Controlled Documents, ensuring that only the latest and approved documents are used by Public Works staff.

33. The Document Control Procedure also ensures that City staff can locate and access internal and external controlled documents relevant to their work, in the format most suitable to their work.

*ii. Records Management and Control*

34. The Control of Records Procedure applies to any “Records” across Public Works. A “Record” is defined as any information that states results achieved or evidence action taken to provide and preserve information about an action or event (“**Records**”). Records include letters, documents, maps, drawings, emails and consultant reports.

35. The Control of Records Procedure includes guidelines with respect to Record retention, disposal, collection, storage and access to ensure that Records are managed appropriately to facilitate the accessibility, accuracy and security of information to meet operational and legislative requirements. A copy of the Control of Records Procedure is provided at **Exhibit I**.

36. The storage and retention provisions contained in the Control of Records Procedure and the Document Control Procedure are in accordance with the Corporate wide “Records & Information Management Policy”, referred to in section “I” above.

*iii. Public Works Project Management Manual*

37. In 2020, the Project Management Manual (the “**Manual**”) was put into place across Public Works as part of the Public Works Quality Management System. The Manual clearly details the standard process and tools that must be used by Project Managers in Public Works to plan, deliver, and close projects. A copy of the updated Project Management Manual is provided at **Exhibit J**.

38. The policies outlined in the Manual are based on the: (1) “Project Management Body of Knowledge Guide”, which is generally considered to be the industry standard for project management in North America; and (2) a consolidation of existing Public Works project management processes, tools and templates into one version that applies across all Public Works Divisions and Sections.

39. The Project Management Manual is applicable anytime two or more of the prescribed criteria apply, including where:

- (a) Multiple City departments or Public Works Divisions and Sections are involved in a project;
- (b) A project has a defined start and end date;
- (c) A project is funded from the capital budget; and/or
- (d) A project is requested by Council and is public facing.

40. The Manual outlines the project management process in a detailed how-to guide fashion using five process groups: Initiating, Planning, Executing, Monitoring and Controlling and Closing. Some of the key features of the procedures are described below:

- (a) **Project Charter & Scope:** As part of the Initiating stage, Project Managers are required to create a Project Charter, which provides clear guidance and communication about who is accountable, what is expected to happen, and how success will be defined;
- (b) **Project Scope & Schedule:** As part of the Initiating stage, Project Managers are required to clearly detail the summary of the work necessary to complete the project and clearly identify what is in scope and what is out of scope; and
- (c) **Project Closing Report:** As part of the Closing stage, Project Managers are required to prepare a Closing Report which includes a summary of planned versus actual deliverables and the follow-up items (if any).

41. The publication of the Project Management Manual ensures that project managers across Public Works adopt a consistent approach to project management, which supports efficient knowledge transfer and continuous improvement, enhances the on-boarding and reporting processes, and enables improved and consistent project delivery across divisions.

*iv. Public Works Internal Audit & Non-Conformance Procedures*

42. To ensure the effectiveness of the Public Works Quality Management System (PWQMS), including the policies and procedures detailed above, an audit program internal to Public Works

and a process for managing non-conformances and non-compliances to the policies has been established as part of the PWQMS.

43. The Public Works Internal Audit procedure, attached at **Exhibit K**, outlines the process by which internal Public Works audits are planned, conducted, and monitored to ensure compliance with the various PWQMS procedures and policies.

44. The Non-Conformance, Corrective and Preventative Actions Procedure, attached at **Exhibit L**, outlines the process for managing non-conformances and non-compliances to ensure that necessary corrective and preventative actions are implemented and verified.

*v. Continuous Development of the PWQMS*

The following high-level assessment diagram demonstrates the progress of the Public Works Quality Management System implementation since its introduction:



45. The PWQMS Roadmap refers to a long-term plan (End State LTP) that will include the Integration of Asset Management processes into the PWQMS programs.

46. In 2023, the Internal Process Review plan will include the review of Project Management and Vendor Management practices within the Department.

47. Implementing the PWQMS has been a significant, resource intensive initiative, consistent with the City’s commitment to ensure that all aspects of the operation are undertaken in a manner that not only meets minimum regulatory and Corporate standards but seeks to continually improve and enhance service delivery.

**B. Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan**

48. The Transportation Quality Management System (the “**TQMS**”) is a part of the broader PWQMS. The TQMS is a framework that documents processes, procedures, and responsibilities to maintain and operate the transportation system while meeting applicable legislative and regulatory requirements safely, effectively and efficiently.

49. An important component of the TQMS is the operational plan concerning the Red Hill and the Lincoln M. Alexander Parkway (together the “**Parkways**”). A copy of the “Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan” (the “**Parkway Operation and Maintenance Plan**” or the “**Plan**”) is provided at **Exhibit M**.

50. The Parkway Operation and Maintenance Plan was issued in March 2021 to assist City staff with the delivery of the maintenance activities performed within the Parkways corridors. The area covered by the Parkway Operation and Maintenance Plan is identified in Appendix A of the Plan and includes the mainline and ramps of the Red Hill.

51. The maintenance activities are broken down into six asset types, including:

- (a) “Roadway”, which includes ramps, medians, shoulders;
- (b) “Traffic”, which includes signs, signals, pavement marking and street lighting;
- (c) “Bridges and Structural Culverts”;
- (d) “Trails and RHV Natural Assets”;
- (e) “Drainage”; and

- (f) “Storm Water Management”.

52. Details of the maintenance activities and the driver of each activity are provided in Appendix B of the Plan. Drivers of each activity include the following:

- (a) Frequency – how often will the activity be completed.
- (b) Regulatory – activity is identified in current regulations such as Minimum Maintenance Standards O. Reg. 239/02 and O. Reg. 366/18 amending document
- (c) Safety – activity is required to maintain the safety of the roadway
- (d) Maintenance – the activity is required for asset operation
- (e) Asset Preservation – activity will contribute to the extension of the asset life by increasing the time between major interventions
- (f) Planned – activity is part of an ongoing maintenance program and is budgeted and funded
- (g) Reactive – activity will be completed as required when identified through complaints, inspections and/or road patrols.

53. The specific divisions and sections responsible for the specific assets and asset activities identified in the Plan are detailed in a separate document titled “PW Asset Responsibilities Within the Right-of-Way PW-P-026-002” (“**Asset Responsibilities Within the Right-of-Way**”). A copy is provided at **Exhibit N**.

54. Appendix A of the Asset Responsibilities Within the Right-of-Way titled “Asset Responsibilities Within the Right-Of-Way – Above Ground Assets” (“**Asset Responsibilities - Above Ground Assets**”) identifies the specific divisions and sections responsible for specific Asset and Asset Activity, as defined in the policy document.

55. See for example the “Roadway” asset category, which would include the mainline and ramps of the Red Hill.

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Roadway	Part of the highway that is improved, designed or ordinarily used for vehicular traffic, but does not include the shoulder, and, where a highway includes two or more separate roadways, the term “roadway” refers to any one roadway separately and not to all of the roadways collectively. Included are paved roads and other roads with a stabilized base (e.g. gravel roads). Roadways also include streets, alleyways, tunnels, supporting structures, junctions, crossings and interchanges. (Highway Traffic Act definition)	TOMRM	TOMRM	ENG	ENG	ENG	TOMRM - MMS

56. Work completed pursuant to the Parkway Operation and Maintenance Plan is documented pursuant to the Document Management and Control (described above). Moreover, all maintenance activities are tracked in the appropriate maintenance management system, such as the Hansen system, which is a document and record management system used in various divisions across the City, including the Transportation Operations and Maintenance division. Notably, the Parkways are identified as discrete assets within the maintenance management system to enable clear performance and compliance monitoring.



57. As the “Process Owner” of the Plan, the Transportation Quality Management System Unit is responsible for administrative aspects of implementing the Plan. The Quality Management System Unit falls in the Transportation Business Initiatives Section of the Transportation Operations & Maintenance Division of Public Works.

58. As part of their role as Process Owner, the Transportation Quality Management System Unit may identify instances of non-conformance/noncompliance with the Plan through audits, internal or external communication, monitoring and measurement of Plan performance and employee observations/suggestions.

59. The Parkway Operation and Maintenance Plan and Asset Responsibilities -Above Ground Assets formalizes the division of labour as it relates to the Parkways, specifically as between Engineering Services and Transportation, Operations and Maintenance, and clearly outlines the driver for each maintenance activity, which has led to greater clarity and certainty around the maintenance of the Parkways.

**C. Signs Asset Inspection and Maintenance Procedure**

60. The Signs Asset Inspection and Maintenance Procedure is another component of the TQMS that relates to the Parkways. It was initially issued in 2018 and subsequently updated in August 2022. A copy of the current version of the Signs Asset Inspection and Maintenance Procedure is provided at **Exhibit O**.

61. The Signs Asset Inspection and Maintenance Procedure is a comprehensive policy document that details the process by which signage infrastructure and assets are inspected and repaired or replaced, including signage on the Parkways. The Procedure also identifies the

individuals responsible for implementing the process and details a monitoring and reporting process to ensure compliance.

62. This procedure provides greater clarity in the allocation of responsibility and the frequency of inspection and monitoring of the Parkway signage infrastructure.

**D. The COREinternational Review & the Chief Road Official Position**

63. In March 2021, the position of Chief Road Official (the “CRO”) was created in Public Works following an information report to Council detailing the basis for the position. A copy of the report is provided at **Exhibit P**.

64. The information report also provides information regarding a review of the Public Works department by COREinternational Inc., (“CORE”) which was engaged in 2020 to conduct a structural health check of the Public Works Department. The purpose of CORE’s review was to evaluate changes made to the Public Works organizational structure throughout 2017-2018 to evaluate the effectiveness of those changes and identify any potential remaining gaps or weaknesses. A copy of CORE’s report is attached at **Exhibit Q**.

65. As a result of this review, and after consultation with stakeholders in Public Works, as well as staff in Human Resources, a temporary Chief Road Official position was created at the Director level for a period of up to 24-months to act as the “road authority” on an interim basis.

66. The CRO was designed as a senior leadership position within Public Works and reports directly to the General Manager of Public Works. A copy of the current organizational structure of the Public Works Department is attached at **Exhibit R**. As noted in the organizational chart, the Asset Management section was renamed to “Infrastructure Renewal” as this name better reflects

the work of that section. The Transportation Operations section is responsible for the work of the former Traffic Engineering and Operations section.

67. The CRO position was intended to address some fragmentation of the structure and systems involved in the design, build, operation and maintenance of City roads and to provide consistent coordination and oversight of Public Works role and responsibilities with respect to City roads.

68. Edward Soldo was appointed as the CRO in June 2021. In the 18 months that the position was filled, the CRO focused on eliminating the operational weakness related to the oversight of the operation and maintenance of the City's transportation network, including through the following:

- Leading the development of Standard Operating Procedures related to the planning, design, construction, maintenance and operations of the transportation network.
- Coordinating a multi divisional and departmental response to the findings of the Roads Value for Money Pavement Audit.
- Provide technical leadership and champion key transportation initiatives.
- Technical Leadership of Internal/External committees, including managing the Parkway Management Committee (described below), Interdepartmental Transportation Advisory Group and the MTO Liaison Committee.

69. In mid-January 2023, the Chief Road Official resigned from the City to pursue an opportunity to advance their career with a neighbouring southern Ontario municipality. Given the CRO position was authorized by Council on a trial for 24 months, ending June 2023, Public Works has been examining the future of this position with the intent to combine the duties of the Chief Road Official with the Director of Transportation Operations and Maintenance.

70. The General Manager of Public Works expects that combining the two positions will allow for greater alignment of operational activities with the asset owner responsibilities, provide for more effective reporting structure and utilization of existing staffing resources.

71. With respect to the findings of the CORE Review, I can advise that regarding the City's overall organizational structure, the City's Human Resources division is undertaking a comprehensive organizational review of the City focusing on the structure of the senior leadership roles and its impact on professional development, workload, span of control and advancement opportunities for all City staff members as well as overall organizational effectiveness.

72. The initial review will be at a high level and then we intend to work through the organization – and eventually land on a structure that enables performance and supports work life balance.

**E. Parkway Management Committee**

73. I understand that the Inquiry has previously received evidence regarding the Parkway Coordination Committee (the “PCC”), which was initially formed in 2017 by Dan McKinnon, the former General Manager of Public Works. The PCC was later named the Parkway Management Committee (the “PMC”) and formalized in 2019.

74. As the name suggests, the purpose of the PCC and PMC was to coordinate City staff's work on Parkways and to provide leadership on the safe and efficient operation and maintenance of the Parkways.

75. Terms of Reference for the Parkway Management Committee were approved on April 8, 2019 (the “**PMC Terms of Reference**”). A copy of the Terms of Reference is provided at **Exhibit S**.

76. The Parkway Management Committee Terms of Reference formalizes important guidelines for the safe and efficient functioning of the Parkways, including the mandate, scope of work, staff representation, reporting structure and meeting schedule.

77. The PMC is comprised of management level staff members (such as managers or Directors) from the following offices / divisions: General Manager, Chief Road Official, Engineering Services Division including Infrastructure Renewal, Design and Construction; Transportation, Operations & Maintenance Division including Transportation Operations, Environmental Services including Forestry and Hamilton Water Division.

78. The CRO is the chair of the PMC and responsible for the preparation of agendas and minutes. The PMC Terms of Reference provides that PMC members are expected to attend all meetings or send representatives if they are unable to attend.

79. The mandate of the PMC is described as follows:

The Parkway Management Committee (PMC) shall provide leadership on the safe and efficient operation and maintenance of the Lincoln M. Alexander (LINC) and the Red Hill Valley Parkways (RHVP). PMC shall provide input and guidance to staff and Council on the policies, projects, and programs related to the operation and maintenance of the LINC and RHVP, identifying opportunities for improvements, as well as providing support on matters related to the LINC and RHVP.

80. The PMC Terms of Reference detail an eight-point scope of work, including:

- (a) Providing advice and feedback on matters relating to the ongoing development needs, reconstruction, maintenance, active use, and funding of the Parkways, including: road safety; design changes; transit related opportunities; adopting best practices for roadway design and operations to respond to changing climate; and consideration and support for the financial requirements as part of the City's capital and operation program.
- (b) Providing input on issues and initiatives related to the Parkways which may have impacts on other levels of government, Indigenous groups, and other agencies.
- (c) Acting as a sounding board and determining appropriate actions in response to issues and initiatives related to the Parkways.
- (d) Provide updates on the PMC's activities to various groups and committees, including the Public Work Leadership Team, the Senior Leadership Team, Council Sub-Committees, such as the Public Works Committee and City Council.
- (e) Coordinating reports for City Council and Council Sub-Committees related to the Parkways.

81. The PMC has been an effective way to ensure coordination between the City's various departments and sections that do work related to the Parkways, including the maintenance work completed by the Transportation Operations and Maintenance division and the asset management work performed by the Engineering Services division.

**F. Consultant Reports Tracking and Retention – Divisional Procedure**

82. The Consultant Reports Tracking and Retention – Divisional Procedure (the “**Consultant Reports Tracking and Retention Policy**”) was put in place in the Transportation Operations & Maintenance Division in May 2021. A copy is provided at **Exhibit T**.

83. The policy establishes a process for tracking and retaining reports that consultants provide to City staff members in the Transportation Operations & Maintenance Division. Specifically, the procedure provides instructions in identifying and documenting general recommendations in addition to those related to imminent risks to human health or safety that may be included in a consultant report.

84. Pursuant to the Consultant Reports Tracking and Retention Policy, the following process applies upon receipt of a consultant report (regardless of whether a report contains imminent risk to human):

- (a) The assigned project manager summarizes the recommendations included in the consultant report in the “Consultant Report Summary Form” at Appendix B of the Consultant Reports Tracking and Retention Policy and advises the Senior Project Manager Continuous Improvement of the active Consultant Report and expected completion date.
- (b) The Senior Project Manager Continuous Improvement enters the consultant report information in the “Consultant Report Tracking Sheet” at Appendix C of the Consultant Reports Tracking and Retention Policy and discusses the feasibility and

impact of implementing recommendations contained in the “Consultant Report Summary Form”.

- (c) The assigned project manager documents the recommendations that were implemented and identifies the reason for any recommendations that were not implemented in the “Consultant Report Summary Form”.
- (d) The completed “Consultant Report Summary Form” is reviewed and circulated to the Senior Project Manager Continuous Improvement, the manager and the director for signature and subsequently returned to the Senior Project Manager Continuous Improvement for record keeping.
- (e) The Senior Project Manager Continuous Improvement will mark the consultant report as complete in the Consultant Report Tracking Sheet (at Appendix C) and store the completed Consultant Report Summary Form with signatures on the network drive.
- (f) The assigned project manager will similarly save the final consultant report and associated documentation at the appropriate network location.

85. The Engineering Services Division of Public Works is reviewing the feasibility of adopting a similar policy to track consultant reports.



**G. Staffing Changes**

86. Since 2019, there have been a number of staffing changes to the Public Works leadership team that has supported an infusion of new ideas and processes into the department and enabled the Public Works culture to continue to improve and evolve.

87. In May 2022, Carlyle Khan, MMA, BAS was appointed as the General Manager of Public Works after a competitive recruitment process. Mr. Khan has extensive experience in public works in both municipal government and the private sector and possesses the necessary expertise to lead the department as it continues to evolve and advance the City's strategic priorities.

88. In October 2022, Jackie Kennedy, M. Eng., P. Eng. was appointed as the Director of Engineering Services. With her prior leadership experience at the City of Toronto and her technical expertise in civil – environmental engineering, Ms. Kennedy is well equipped to lead the Engineering Services group.

**H. Conclusion**

89. The City of Hamilton is dedicated to the ongoing and continuous improvement to achieve its mission to provide high quality cost conscious public services that contribute to a healthy, safe and prosperous community, in a sustainable manner for all residents and visitors. The policies, procedures, quality management system, committees and staffing additions outlined above reflect the City's commitment to its mission and to increasing accountability and transparency.

**SWORN** by Janette Smith of the City of Hamilton, in the Province of Ontario, before me at the City of Hamilton, in the Province of Ontario, on February 22, 2023 in accordance with O. Reg. 431/20, Administering Oath or Declaration Remotely.

A handwritten signature in blue ink, appearing to read "D. Ontario", written over a horizontal line.

Commissioner for Taking Affidavits  
(or as may be)

A handwritten signature in black ink that reads "Janette Smith", written over a horizontal line.

**JANETTE SMITH**



This is Exhibit "A" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.

A handwritten signature in blue ink, appearing to read "D. Contractor". The signature is written in a cursive style with a large initial "D".

---

*Commissioner for Taking Affidavits (or as may be)*

## City of Hamilton Corporate Policy



---

**Policy Title: RECORDS AND INFORMATION MANAGEMENT**

**Effective Date:**

**Last Review Date:**

**Approved by:**

---

### **POLICY STATEMENT**

The City of Hamilton recognizes that it is responsible for information assets created through the provision and management of city services. The City also recognizes that information and records are valuable corporate assets that support accountable, transparent and effective government administration, customer service, organizational efficiency, decision making, business continuity and litigation support. The City of Hamilton is committed to managing, retaining and preserving the information assets of the municipality by maintaining records that adequately document its business transactions and activities and managing these in a manner that demonstrates commitment and accountability.

### **PURPOSE**

The purpose of this policy is to ensure consistent standards and practices for the lifecycle management of records in the custody and control of the City. It defines responsibilities and authorities in order to establish and maintain a records management discipline at the City. This is to ensure that information can be made available for decision-making, program and service delivery and access requests under the *Municipal Freedom of Information and Protection of Privacy Act*, while being protected and disposed of (retained and preserved or destroyed) in accordance with relevant legislation, regulations and policies.

### **SCOPE**

This Policy applies to all City employees, including full-time, part-time, casual, contract, volunteer and student placement employees.

This policy is relevant to all records, however recorded or stored, in the custody, or under the control of the City, and to all persons who create, receive, access, maintain and make available records on behalf of the City in the conduct of its business transactions and activities.

A record shall be considered to be in the custody of the City when the City is responsible for the keeping, care, watch, preservation or security of the record for a legitimate business

purpose. A record shall be considered to be under the control of the City when the City is authorized to make a decision about the use or disclosure of the record.

**Out of Scope:** The personal, political and constituency records of the City's Elected Representatives shall not be considered to be in the custody, or under the control of the City and may be disposed of as they wish. However, records created or received by Members of Council in their capacity as members of a Committee of Council or when acting at the specification of Council, form part of the official records of the City. These records, as well as correspondence from elected representative to a City employee or from a City employee to an Elected representative, shall be considered records in the custody and under the control of the City and shall be subject to the *Municipal Freedom of Information & Protection of Privacy Act*.

## **RECORDKEEPING PRINCIPLES**

The City of Hamilton recognizes that the effective management of the records in its custody and under its control is one of its fundamental obligations as a public organization, critical to assuring the protection of the public's rights to access information and essential for the City's accountability. All employees share responsibility for the proper management of the City's information assets. The following Generally Accepted Recordkeeping Principles developed by the Association of Records Managers and Administrators, provide the framework for effectively managing the City's information assets:

### **Accountability**

Information must be managed through its lifecycle by assigning accountability for the effective and efficient use of information by all staff.

### **Transparency**

The public has the right to access information under the control of the City in accordance with the *Municipal Freedom of Information and Protection of Privacy Act*. Information that does not contain confidential, personal information about the City's programs, services or governance is routinely available to the public.

### **Integrity and Quality Assurance**

Information must be reliable and accurate and must be a true representation of an actual event or task. The City will promote information quality by means of its policies, procedures, and training and awareness initiatives.

### **Protection & Compliance**

Required to meet legal, regulatory and contractual requirements regarding the protection and use of information assets.

### **Availability**

The City must maintain records and information in a manner that ensures the timely, efficient and accurate retrieval of information by staff requiring it for the City's business purposes.

## **Retention & Disposition**

The length of time a record must be kept and be accessible is based on the legal, regulatory, fiscal, historical and business operational requirements. Records must be securely retained and disposed of following the expiry of their retention periods to mitigate the risk of unauthorized or unnecessary access.

## **POLICY**

All employees are responsible for the proper management of corporate information assets. Accurate, useable and accessible information supports open, transparent and accountable local government by improving customer service and program delivery.

With the implementation of this policy, the City will:

- Integrate Records and Information Management practices with service delivery;
- Integrate Records and Information Management practices into business planning;
- Invest in greater Records and Information Management awareness, training and communication to improve a culture of collaboration and information sharing;
- Protect personal and confidential information;
- Enable and leverage technology to improve the management of information;

As a critically valuable asset, the City recognizes that records and information must be managed reliably to improve City programs and services in the same manner and given the same consideration as other valuable corporate assets.

## **ROLES AND RESPONSIBILITIES**

### **Office of the City Clerk**

- Responsible for the oversight of the corporation's responsibilities related to the development and retention of all municipal records in accordance with the Municipal Act, the City's Records Retention By-Law, and applicable corporate policies. The City Clerk has the authority to amend this policy based on legislated change
- Establishing, implementing, monitoring and providing advice on Corporate records management policies, procedures, systems and standards for the City, including the management and storage and destruction of both electronic and physical records.
- Accountable for reviewing and updating the policy, as needed, including the authority to amend based on legislated changes in consultation with the City Solicitor.

## **Senior Management (City Manager, General Managers and Directors)**

- The City Manager, General Managers and Directors shall ensure compliance with records and information management policies, procedures, systems and standards across the organization.

## **Managers and Supervisors**

- Ensure Division business processes comply with the records and information management policy, procedures, and best practices.

## **Contracted Service Providers and Volunteers**

- Contracted Service Providers and Volunteers shall manage records in accordance with this Policy, the Records Retention By-law and associated schedules and any other applicable policies, procedures or standards.

## **Employees**

- Employees shall manage records in accordance with this Policy, the Records Retention By-law and associated schedules and any applicable policies, procedures or standards.
- Employees shall maintain records in a manner that ensures the authenticity and reliability of the records throughout the Information Life Cycle.

## **LEGISLATION AND ADMINISTRATIVE AUTHORITIES**

The ***Municipal Act*** requires a municipality to retain and preserve the records of the municipality and its local boards in a secure and accessible manner; allows for a municipality to enter into an agreement for archival services with a local or university archives; provides for a municipality to establish retention periods during which the records of the municipality and local boards of the municipality must be retained and preserved; and allows for a record of the municipality to be destroyed if a retention period for the record has been established and the retention period has expired or the record is a copy of the original.

The ***Municipal Freedom of Information and Protection of Privacy Act*** provides the general right of access to certain records and personal information under the control of the City, subject to stipulated exemptions to that right; requires the City to develop and maintain an inventory of its information holdings as a means of organizing information for the purpose of general access; specifies how the City can collect, use, disclose, retain and dispose of personal information and personal information banks; provides for an individual's right of access to personal information and to correction of that information; and requires the City to develop and maintain an index of personal information holdings as a means of ensuring that Personal Information Banks are registered and approved.



## **COMPLIANCE**

City employees who fail to comply with the Records Management Policy may be subject to action/ disciplinary action as may be deemed necessary, up to and including dismissal.

## **REFERENCES**

This policy to be read in conjunction with the City's

Code of Conduct  
Computer Acceptable Use Policy  
Corporate Protection of Privacy Policy  
Records Retention Bylaw

## **LEGISLATED AND ADMINISTRATIVE AUTHORITIES**

Municipal Act, 2001  
<https://www.ontario.ca/laws/statute/01m25>

Municipal Freedom of Information and Protection of Privacy Act  
[http://www.e-laws.gov.on.ca/html/statutes/english/elaws\\_statutes\\_90m56\\_e.htm](http://www.e-laws.gov.on.ca/html/statutes/english/elaws_statutes_90m56_e.htm)

Personal Health Information Protection Act  
[http://www.e-laws.gov.on.ca/html/statutes/english/elaws\\_statutes\\_04p03\\_e.htm](http://www.e-laws.gov.on.ca/html/statutes/english/elaws_statutes_04p03_e.htm)

## **CONTACT**

Require advice or have Questions, contact: [records@hamilton.ca](mailto:records@hamilton.ca)

## APPENDIX A - DEFINITIONS

**Record**, as defined in the *Municipal Act*, means information however recorded or stored, whether in printed form, on film, by electronic means or otherwise, and includes documents, financial statements, minutes, accounts, correspondence, memoranda, plans, maps, drawings, photographs and films.

**Record**, as defined in the *Municipal Freedom of Information and Protection of Privacy Act*, means any record of information however recorded, whether in printed form, on film, by electronic means or otherwise, and includes, (a) correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof, and (b) subject to the regulations made under the *Municipal Freedom of Information and Protection of Privacy Act*, any record that is capable of being produced from a machine readable record under the control of the institution by means of computer hardware and software or any other information storage equipment and technical expertise normally used by the institution.

**Archival** means information assets of enduring significance that have historical and business value for the City of Hamilton and individuals engaging in historical research.

**Confidential Information** includes, but is not limited to, privileged information, draft by-laws or staff reports, third party information, personal information, technical, financial or scientific information and any other information collected, obtained or derived for or from City records that must or may be kept confidential under the *Municipal Freedom of Information and Protection of Privacy Act*, the *Personal Health Information Protection Act*.

**Control (of a record)** means the power or authority to make a decision about the use or disclosure of a record.

**Custody (of a record)** means the keeping, care, watch, preservation or security of a record for a legitimate business purpose. While physical possession of a record may not always constitute custody, it is the best evidence of custody.

**Information** includes content, data, documents, knowledge and records.

**Information management** means the administration of information through a life cycle, its use and transmission, and the application of techniques to create, modify, or improve information handling systems.

**Records & Information Management** means a field of management responsible for establishing and implementing policies, systems and procedures to capture, create, access, distribute, use, store, secure, retrieve and ensure disposition of an organization's records and information.

**Records Retention By-law** means the most recent by-law passed that contains the schedule and the length of time City records must be retained for before they may be disposed of in order to meet business needs and legislative requirements.

This is Exhibit "B" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

# **CITY OF HAMILTON**

## **BY-LAW NO. 11-040**

### **To Establish Retention Periods for Records of the City of Hamilton**

## **CONSOLIDATION**

*This By-law is a consolidated version and includes amendments made by those amending by-laws listed on the following page. This consolidation is prepared for the purposes of convenience only and is not the official or legal version of the By-law. For accurate reference to the By-law, certified copies should be obtained through the City Clerk's Office.*

# CITY OF HAMILTON

## CONSOLIDATED BY-LAW NO. 11-040

**Incorporating amendments made by:**

By-law No:	Effective Date:	
12-254	November 14, 2012	Amendments to Schedule A AD12 – Accessibility of Records CO06 – Council/Standing Committee Meeting Recordings EM03 – Emergency Calls ES09 – Water Works ES10 – Drains FA1801 – Quotations, Tenders and Proposals TS0301 – Accessible Transportation
13-316	December 11, 2013	Amendments to Schedule A CO06 – Council/Standing Committee Meeting Recordings
18-310	September 26, 2018	Amendments to Schedule A AD08 – Strategic Planning/Management AD12 – Accessibility of Records – Information Requests CO06 – Council/Standing Committee Meeting Recordings EM06 01 – Emergency Preparedness Planning PE04 01 – Building, Grading and Structural Inspections PE08 02 – Building Plans and Specifications CO09 – Vital Statistics – Documentation EM06 02 – Emergency Response HR14 – Volunteer and Unpaid Student Files TS14 – Motor Vehicle Accident Reports SH08 – Public Health

21-055	April 28, 2021	Amendments to Schedule A AD0103 – Employee Certifications AD0104 – Training Records AD05 – Office Equipment and Furnishings AD0701 – Posted Fire Safety Plan AD13 – Security Administration AD1301 – Security Systems Management AD1302 – Security CCTV Recording for Public Conveyance AD1303 – Security CCTV Recording for Property or Facility AD14 – Building and Property Operations and Maintenance AD1401 – Building and Property Inspections AD15 – Facility Bookings AD17 – Incident/Accident Reports AD18 – COVID-19 Symptom Screening Assessments CO02 – Council Agendas, Minutes and Original Supporting Documents CO03 – Council Standing Committees and Supporting Documents CO06 – Meeting Recordings CO0902 – Vital Statistics – Documentation DP07 – Official Plan – Former Municipalities DP08 – Official Plan Amendments – Former Municipalities DP1305 – Provincial Planning Legislation – LPAT Reform DP16 – Severances DP17 – Site Plan Control DP19 – Variances DP2001 – Zoning DP21 – Easements DP3703 – Landscape Drawings and Specifications ES01 – Operational – Water, Storm and Wastewater ES02 & ES03 – removed ES0401 – Urban Forestry Planning and Management ES0801 – Garbage Collection and Routes ES0802 – Waste Disposal and Landfill Areas ES0803 – Resource Recovery Centres ED0804 – Composting ED0805 – Waste Recycling
--------	----------------	---

	<p> ED0806 – Household Hazardous Wastes  ES0807 – Transfer Stations Operations  ES12 – Water Quality  ES12-01 – Water Supply  ES1202 – Spill Investigations  ES13 – Corporate Energy Policy  ES1301 – Energy and Commodity Contracts  ES1302 – Energy and Commodity Data  ES14 – Energy Retrofit Projects  HR13 – Employee Terminated Records  LA01 – Appeals and Hearings (including LPAT &amp; Property Standards)  PC0301 – Cemetery Burial Plot Records  PC0401 – Park and Cemetery Maintenance  PE0101 – By-law Enforcement – Parking &amp; Animal Control  PE0103 – Mobile Sign Permits  PE02 – Hazardous Materials Transportation and Storage  PW06 – Investigations  PE0601 – Human/Animal Contact Exposure Investigations  PE0701 – Licences/Permits – Trade, Establishment, Mobile  PE0702 – Licencing Inspections  PE0703 – Licencing – Lotteries  PE0802 – Building Plans and Specifications  PE0805 – Building Permits Plans and Specifications, Other  PE13 – Animal Control  PE15 – Taxicab Driver/Owner Training Courses  PE16 – Provincial Offences Investigations  TS0101 – Lighting Installation and Maintenance  TS03 – Public Transit Operations  TS0301 – Accessible Transportation  TS0302 – Transit Customer Experience and Innovation  TS0303 – Transit Revenues  TS0304 – Public Transportation Planning  TS0305 – Public Transportation Scheduling  TS0306 – Public Transportation Infrastructure  TS0401 – Infrastructure Design and Construction  TS06 – Road Maintenance – Regular Maintenance  TS0601 – Road Maintenance – Water/Wastewater/Stormwater Assets </p>
--	---

		<p>TS0602 – Roads Inventory Management  TS0603 – Road Maintenance Standards and Reports  TS07 – Traffic Signs and Signals Equipment  TS08 – Traffic Control Signals, Pedestrian Crossovers and Turn Lanes/Intersections  TS0901 – Temporary Road and Lane Closures  TS1001 – Bridge Maintenance  TS13 – Sidewalk Maintenance  TS14 – Motor Vehicle Accident Investigations  TS15 – Engineering Drawings and Specifications  TS1501 – Engineering Business Planning Programs  TS1502 – Engineering Standards, Policies and Quality Assurance  VE01 – Fleet Management  VE02 – Transportable and Mobil Equipment  VE03 – removed  VE05 – Garage Management  VE0503 – Vehicle Inspections  VE0504 – Vehicle Fuel Records</p>
23-006	January 25, 2023	CO06 – Meeting Recordings



**Authority:** Item 15, Audit, Finance &  
Administration Committee  
Report 11-001 (FCS11014)  
CM: January 26, 2011

**Bill No. 040**

## **CITY OF HAMILTON**

### **BY-LAW NO. 11-040**

#### **TO ESTABLISH RETENTION PERIODS FOR RECORDS**

#### **OF THE CITY OF HAMILTON**

**WHEREAS** subsection 254(1) of the *Municipal Act, 2001* (the Act) provides that a municipality shall retain and preserve its records in a secure and accessible manner;

**AND WHEREAS** subsection 255(3) of the Act provides that a municipality may, subject to the approval of the municipal auditor, establish retention periods during which its records must be retained and preserved;

**AND WHEREAS** subsection 255(2) of the Act provides that a municipality's records may be destroyed if a retention period for the record has been established and the retention period has expired;

**AND WHEREAS** Records Retention By-law 06-333, adopted by the Council of the City of Hamilton on October 25, 2006, established retention periods for records of the City of Hamilton;

**AND WHEREAS** it is now appropriate to repeal Records Retention By-law 06-333 and to replace it with an updated records retention by-law;

**NOW THEREFORE** the Council of the City of Hamilton enacts as follows:

1. In this By-law:

- (a) “active” refers to the time frame a record is actively used in a department or retained in the department;
- (b) “archival record” means a permanent, public record determined to be of sufficient historical, continuing or enduring value as to warrant the added cost of storage, conservation and preservation. Not all permanent records are archival records. All records deemed to be archival, by a Municipal Archivist, are records that the City Clerk is responsible for maintaining;
- (c) “City” means the municipality of the City of Hamilton or the geographic area of the City of Hamilton, as the context requires;
- (d) “Council” means the Council of the City;
- (e) “inactive” refers to the time frame a record is retained in a departmental file location or in the Corporate Records Storage Facility until it has fulfilled its retention requirements;
- (f) “Manager of Records & Freedom of Information” means the Manager of Records & Freedom of Information for the City or their designate;
- (g) “official record” means an original record, generated or received, in the City’s custody and control that serves important functions of the City supporting program delivery or policy development, committing the City to action, meeting legal, financial, operational and other official requirements, or providing evidence of obligations, responsibilities, decisions and actions;
- (h) “permanent record” means a record that possesses enduring legal, fiscal or administrative value and must be preserved permanently. The responsibility of preserving permanent records lies with the responsible department as set out in Schedule “A” to this by-law;
- (i) “record” means information however recorded or stored, whether in printed form, on film, by electronic means or otherwise, and includes but is not limited to documents, financial statements, minutes, accounts, e-mails, correspondence, memoranda, plans, maps, drawings, photographs, and films, complete and unchanged;
- (j) “record classification” is a group of identical or related records that are used and filed as a unit and that permit evaluation as a unit for retention scheduling purposes. This By-law is based on records classification as set out in the File Plan, attached as Schedule “A”;
- (k) “responsible department” means the office or department with primary responsibility for retaining a record;
- (l) “retention schedule” means the schedule prescribing retention periods for records as set out in Schedule “A”;

- (m) “signing authority” means the General Manager of the responsible department or their designate;
- (n) “transitory record” means a record, including but not limited to an e-mail, voice mail or text message, and web pages, having only temporary value and which is not required to meet statutory obligations, set policy, establish guidelines or procedures, certify a transaction, become a receipt or provide evidence of legal, financial, operational or other decisions for the City, including but not limited to a record that is:
  - (i) retained solely for convenience of reference;
  - (ii) of insignificant value in documenting the business transactions of the City;
  - (iii) required solely for the completion of a routine activity, or the preparation of another record;
  - (iv) not related to the business of the City;
  - (v) not an integral part of a record;
  - (vi) a miscellaneous notice or memorandum of a minor administrative nature;
  - (vii) a duplicate copy of a document such as a report or memorandum, retained only for distribution or convenience;
  - (viii) a copy of a record unless such copy has been annotated to reflect significant input;
  - (ix) a publication, telephone directory, catalogue, pamphlet or periodical that does not form part of any record;
  - (x) one of a number of multiple copies of a record such as minutes, reports or agendas;
  - (xi) unsolicited advertising information;
  - (xii) a preliminary draft of a letter, memorandum or report, or information notes that do not represent significant steps in the preparation of a final document; or
  - (xiii) a tape or notes from a meeting for which the minutes or reports have been adopted or finalized; and
- (o) “vital record” means a record that is essential to the continuation or resumption of City business, to fulfill obligations to ratepayers, employees, Federal and Provincial governments, or to recreate the financial or legal status of the City in case of an emergency. The protection of vital records is the responsibility of the responsible department holding these records.

2. This By-law shall not apply to transitory records and such records may be destroyed at any time.
3. Any record in a category set out in Schedule "A" shall be retained for the period set out for such category and may thereafter be destroyed.
4. The Manager of Records & Freedom of Information shall determine the appropriate classification of records, taking into account the legal, financial, administrative, operational and historical values of each record, and shall:
  - (a) monitor the retention schedule and ensure that the schedule complies with all legislative requirements; and
  - (b) in determining the retention for any record, consult with the signing authorities and the City Clerk and the City Solicitor.
5. Where any record may be destroyed under this By-law, the following procedure shall apply:
  - (a) where a record has been retained in the custody of the responsible department, the signing authority shall notify the Manager of Records & Freedom of Information in writing of the scheduled destruction of the record, such notice to include the scheduled destruction date and to identify the record to be destroyed; and
  - (b) where the record has been retained in the custody of the office of the City Clerk, the Manager of Records & Freedom of Information shall notify the signing authority in writing of the scheduled destruction of the record, such notice to include the scheduled destruction date and to identify the record to be destroyed.
6. Where notice has been provided under subsection 5(a) or (b):
  - (a) the signing authority shall notify the Manager of Records & Freedom of Information in writing, before the scheduled destruction date, if in their opinion any record included in the notice should be retained for a further period, and the rationale for further retention;
  - (b) if, in the opinion of the Manager of Records & Freedom of Information, circumstances warrant retention of the record for a further period, the destruction of the record shall be postponed for such further period as may be determined by the Manager of Records & Freedom of Information, in consultation with the signing authority; and
  - (c) if no notice is received under subsection 6(a) before the scheduled destruction date, the record shall be deemed to be authorized for destruction.

7. The following principles shall govern the destruction of records:
  - (a) no record shall be destroyed unless first classified according to Schedule "A" of this By-law;
  - (b) all records shall be destroyed in a manner that preserves the confidentiality of any information contained in such records; and
  - (c) any record pertaining to pending or actual litigation or investigation or a request under the privacy legislation shall not be destroyed until such record is no longer required for such purpose.
8. Schedule "A" is attached to and forms part of this By-law.
9. By-law 06-333 is repealed.
10. This By-law comes into force on the day it is passed by Council.

**PASSED** this 26<sup>th</sup> day of January, 2011.

---

R. Bratina  
Mayor

---

R. Caterini  
City Clerk

**Schedule "A" to By-law 11-040**

**Retention By-law/File Plan Index**

There are 15 City-wide functions identified in the Retention By-law/File Plan to reflect the general nature of the programs and activities undertaken by the City. The 15 functions are:

	<b>Function Name</b>	<b>Alphabetic Designator</b>
1.	Administration	AD
2.	Council & Legislative Services	CO
3.	Development & Planning	DP
4.	Emergency Services	EM
5.	Environmental Services	ES
6.	Finance & Accounting	FA
7.	Human Resources	HR
8.	Information Management	IM
9.	Legal Affairs	LA
10.	Media & Public Records	MP
11.	Parks, Recreation & Culture	RC
12.	Protection & Enforcement Services	PE
13.	Social & Health Care Services	SH
14.	Transportation Services	TS
15.	Vehicles & Equipment	VE

**The Components of the File Plan are:**

<b>Column Heading</b>	<b>Explanation</b>
Primary	The two character alphabetic designator for the functional grouping.
Secondary	The two digit numeric designator for the secondary grouping.
Tertiary	The two digit numeric designator for the tertiary grouping.
Series Title	The general title identifying a record series for retention scheduling purposes.
Scope Notes	A brief description of the 'series title' or records series content, as well as examples of specific types of records that should be included in the series. Exclusions are also noted in the scope notes.
Active	The amount of time in years that a record should be kept in an easily accessible location.
Inactive	The amount of time in years that a record should be kept in a departmental storage location or the Corporate Records Storage Facility.
Total Retention	The sum of the active and inactive retention periods that a records must be kept before disposal.
Vital Record	Those records that are essential to resume or continue City business.
Archival Record	Those records series that are evaluated for archival preservation.
Responsible Department	The department that has primary responsibility for all records classified under a particular records series.
Remarks	This column contains comments relating to the records series.

**Retention Codes**

<b>Code</b>	<b>Explanation</b>
Current (C)	Records to be kept in this phase until the end of the calendar year (December 31).
Permanent (P)	A record that must be preserved permanently by the responsible department.
Superseded (S)	This record is replaced by an updated version.
Termination (T)	The termination of an event as defined in the Remarks column of the File Plan.

### Administration

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	00		Administration - General	Records associated with records of a general administrative nature.	C	-	C	N	N	Originating	
AD	01	01	Associations and Organizations	Records associated with professional associations, clubs, societies and organizations in which an employee has a membership or interest. This record series may include minutes, annual reports, membership information, etc.	C+1	2	C+3	N	N	Originating	
AD	01	02	Certifications and Memberships	Records associated with City funded Association and Organization certification or memberships.	C+1	2	C+3	N	N	Originating	
AD	01	03	Employee Certifications	Records relating to employee professional certifications which are kept by the employee's originating division.	T+2	3	T+5	N	N	Originating Department	T = Expiration of certification.
AD	01	04	Training Records	Records relating to employee training which are kept by the employee's originating division.	C	T+6 months	T+6 months	N	N	Originating Department	T= Termination of employment
AD	02		Staff Committees and Meetings	Records associated with activities of staff committees, task forces and meetings representing the function of routine administrative and office services. The record series may include notices of meetings, agendas, minutes, etc.  Excludes: Council and Standing Committee Agendas and Minutes	C+1	3	C+4	N	N	Originating	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Administration

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	03		Conferences and Seminars	Records associated with conferences, conventions, seminars, workshops and special functions. This record series may include information kits, presentation handouts and proceedings.	C+1	4	C+5	N	Y*	Originating	*Only those sponsored by the Municipality are subject to archival review
AD	04		Inventory Control	Records associated with inventory listings and reports and control of supply stock levels.	C+1	4	C+5	N	N	Originating	
AD	05		Office Equipment and Furnishings	Records associated with design, selection and maintenance of owned and leased office equipment and furniture. This record series may include inventories, specifications and repair work orders. Excludes: Service Agreements, Capital Assets and Insurance Policies	C+2	T	T	N	N	Originating Department	T = Disposal of item
AD	06		Office Services	Records associated with word processing, photocopying, mail, postal and courier services, catering and corporate printing. This record series may include the inter-office mail system, mail and fax logs, internal mail lists, logging or tracking, postal and mail directives, postal code directories, printing job requisitions, Canada Post regulations, courier service and tracking of lost or damaged mail.	C+1	2	C+3	N	N	Originating	
AD	07		Policies and Procedures	Records associated with the development of policies and procedures, manuals, guidelines and directives, either Corporate or Departmental. This series includes working documentation.	S	P	P	N	Y	Originating	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Administration

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	07	01	Posted Fire Safety Plan	Records relating to facility posted fire evacuation plans.	S	P	P	Y	N	Originating Department	
AD	08		Strategic Planning / Management	Records associated with strategic planning including VISION 2020, Council's Strategic Plan Review, Strategic Plan implementation (including business planning process, VISION 2020 corporate training and integration). This records series also includes Department and Divisional strategic plans.	S+5	5	S+10	N	Y	Originating	Subject to archival review
AD	09		Travel and Accomodation	Records associated with employee travel and accomodation of official City business. This series includes receipts and ticket stubs.	C+1	5	C+6	N	N	Originating	
AD	10		Uniforms and Clothing	Records associated with uniforms used by municipal staff.	S	-	S	N	Y	Originating	
AD	11		Intergovernmental Relations	Records associated with communication between different governement levels	C+1	4	C+5	N	Y	Originating	
AD	12		Accessibility of Records - Information Requests	Records associated with requests for access to information under the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA). This record series may include records written submissions to the Information and Privacy Commissioner (IPC) on appeals and orders.	T + 2	-	T+2	N	Y	Clerks	T= Close of file

### Administration

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	13		Security Administration	Includes investigation files, requests, logs, request for access, and other records regarding the security and safety of offices / facilities, buildings, properties public / citizens and employees such as security passes and control of keys. Records include management tracking document data, statistical data, operational logs, operational briefs, tour of duty reports, run sheets, requests and operational resource assignments. Records include hardcopy and electronic incident report files and associated attachments (i.e. links, pictures). Records also include all digitally created Security CCTV video files that have been associated with an incident report file, and have been removed from the original source media and preserved for applicable use. Records may also contain supporting physical material and or evidence related to the incident.	T	6	T + 6	Y	N	Facilities Management	T = Investigation closed, or superseded.
AD	13	01	Security Systems Management	Records include software and system activity database and archival database files. Electronic access control logs are limited by software at 365 days (1 Year), with active and archival files being held for a period up to 2 years. Applicable software and systems include CCTV administration (not CCTV Video Files), electronic access control, intrusion monitoring, key management, ID credential, environment sensors and duress notification.	C+2	0	N	Y	N	Facilities Management	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Administration

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	13	02	Security CCTV Recording for Public Conveyance	Records relating to digitally created Security Closed Circuit Television Video (CCTV) video files or audio from public conveyance/ vehicle assets.	72 Hrs	-	72 Hrs	N	N	Facilities Management	
AD	13	03	Security CCTV Recording for Property or Facility	Records include digitally created Closed Circuit Television Video (CCTV) Security video files or audio from physical structure assets. Records may also contain supporting meta data material and/or evidence related to the incident.	31 Days	-	31 Days	N	N	Facilities Management	
AD	14		Building and Property Operations and Maintenance	Records relating to the operation and maintenance of city buildings, facilities, and structures including janitorial and cleaning services, grounds maintenance, and activities are pertaining to mechanical systems and utilities. Utility systems include air conditioning, ventilation, heating, other environmental control systems, lighting and electrical systems, water, and plumbing systems. Grounds maintenance includes the maintenance of the grounds around buildings and properties.	C+2	4	C+6	N	N	Facilities Management	
AD	14	01	Building and Property Inspections	Records relating to the inspection of leased and owned city buildings, facilities, structures, and properties.	C+2	P	P	N	N	Facilities Management	
AD	15		Facility Bookings	Records associated with the booking of facilities at municipal sites including permits for the use of City-owned parks and recreational facilities.	C+2		C+2	N	N	Facilities Management	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Administration**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
AD	16		Customer Service Inquiries	Records associated with general inquiry telephone calls received and recorded for quality purposes in the operation of the Customer Contact Centre	3 Mnths		3 Months	N	N	Customer Service	
AD	17		Incident/Accident Reports	Records associated with accidents involving City personnel	T + 2	3	T+5	N	N	Originating	T=Completion of investigation and Corrective Actions

**Council Legislative Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
CO	01		By-laws	Records associated with draft and final versions. This record series may include working documentation used in the development of by-laws.	P	P	P	Y	Y	Clerks	
CO	02		Council Agendas, Minutes and Original Supporting Documents	Records associated with Council agendas, minutes and original supporting documents to agendas and minutes. This records series includes communications, committee reports, original motions/notices of motion, Council Communication Updates and Closed Session minutes and documentation.	P	P	P	Y	Y	Clerks	
CO	03		Council Standing Committees and Supporting Documents	Records associated with Standing Committee of Council including Committee of the Whole (COW) and Board of Health agendas, minutes, reports and original supporting documents. This records series includes communications, delegation requests, staff reports, staff presentations, original motions/notices of motion, and Closed Session minutes and documentation.	P	P	P	Y	Y	Clerks	
CO	04		Agencies, Boards and Committees	Records associated with municipal agencies, boards and commissions. This records series includes agendas, minutes, notices of meetings.	P	P	P	Y	Y	Clerks	
CO	05		Appointments to Agencies, Boards and Committees	Records associated with appointments to Agencies, Boards and Committees. This records series includes applications.	T		T	Y	Y	Clerks	T = Term of Office

**Council Legislative Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
CO	06		Meeting Recordings	Records associated with audio and visual recordings of Council Meetings, Standing Committee Meetings, Subcommittee and Advisory Committee Meetings - maintained as a resource tool only - not considered the official records of Council/Committee proceedings.	T		P	N	Y*	Clerks	T=Term of Office *Only applied to Inaugural Meeting of Council  Subject to archival review at end of term of Council
CO	07		Federal Legislation	Records associated with Federal legislation	S		S	N	Y	Originating	
CO	08		Provincial Legislation	Records Associated with Provincial Legislation	S		S	N	Y	Originating	
CO	09		Vital Statistics	Records associated with births, deaths and marriage registrations.	P	P	P	Y	Y	Clerks	
CO	09	02	Vital Statistics - Documentation	Includes records of vital events including marriage applications, voided marriage licenses and death registration paperwork (including Form 17s). This series does not include Marriage and Death Registers.	C	3	C+3	N	N	Clerks	
CO	10	01	Elections	Records associated with notices, lists of official voters' lists, name polling, polling places, nominations, ballots, official and unofficial results including recounts, preliminary voters lists and ward boundary information.	T	90 days	T + 90 days	Y	Y	Clerks	T = Election of new Council
CO	10	02	Election Results	Election Results	P	P	P	Y	Y	Clerks	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

**Development and Planning**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	01		Demographic Studies	Records associated with protection, flood control, environmentally significant areas, watersheds, natural resources conservation and management, reasearch and monitoring in natural areas.	C+5	5	C+10	Y	Y	Planning	
DP	02		Economic Development	Records associated with economic development plans for the City and area.	C+5	5	C+10	Y	Y	Planning	
DP	03	01	Natural Environment Planning	Records associated with conservation, flood control, valley land, waterfront, dangerous substance transportation, pollution, natural resources and watersheds. This series also includes long range planning and policies, plans, protection and preservation of natural geographic areas.	C+5	5	C+10	Y	Y	Planning	
DP	03	02	Natural Resources	Records associated with forest and aggregate management, and water and soil conservation.	C+5	5	C+10	Y	Y	Planning	
DP	04		Residential Development	Records associated with the development of available housing. This series includes affordable hosing, rental accomodation, multiple occupancy, housing cost statistics, federal and provincial agencies and programs.	C+5	5	C+10	Y	Y	Planning	
DP	05		Tourism Development	Records associated with the planning, development and promotion of the tourism industry within the municipality.	C+5	5	C+10	N	Y	Planning	



### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	06		Condominium Plans	Records associated with registered and unregistered condominium plans. This record series includes applications, drawings, reports, and certificates of approval and working documentation.	5	P	P	Y	Y	Planning	Applications can be destroyed 2 years after final decision
DP	07		Official Plan - Former Municipalities	Records associated with the official plans from the former 7 municipalities - Ancaster, Dundas, Flamborough, Glanbrook, Hamilton, Stoney Creek and Regional Municipality of Hamilton-Wentworth.	C+1	P	P	Y	Y	Planning	
DP	08		Official Plan Amendments - Former Municipalities	Records associated with official plan amendments for various official plans from the 7 former municipalities - Ancaster, Dundas, Flamborough, Glanbrook, Hamilton, Stoney Creek and Regional Municipality of Hamilton-Wentworth.	T+1	49	T+50	Y	Y	Planning	T=Final Decision
DP	09		Official Plan - Post Amalgamation	Records associated with the development of the new official plan for Hamilton.	C+1	P	P	Y	Y	Planning	
DP	10		Rural Planning	Records associated with rural planning policy issues.	C+1	P	P	Y	Y	Planning	
DP	11		Institutional Planning	Records associated with institutional planning policy issues.	C+1	P	P	Y	Y	Planning	
DP	12		Open Space Planning	Records associated with open space planning policy issues.	C+1	P	P	Y	Y	Planning	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	13	00	Provincial Planning Legislation	Records associated with provincial legislation (i.e. Parkway belt West, NEC, Planning Act, etc.) and matters from a planing perspective.	C+1	P	P	N	Y	Planning	
DP	13	01	Provincial Planning Legislation - NEC	Records associated with provincial legislation related to the NEC.	C+1	P	P	N	Y	Planning	
DP	13	02	Provincial Planning Legislation - Parkway Belt West	Records associated with provincial legislation related to the Parkway Belt West.	C+1	P	P	N	Y	Planning	
DP	13	03	Provincial Planning Legislation - Provincial Policy Statement	Records associated with provincial legislation related to the Provincial Policy Statement.	C+1	P	P	N	Y	Planning	
DP	13	04	Provincial Planning Legislation - Planning Act	Records associated with provincial legislation related to the Planning Act.	C+5	P	P	N	Y	Planning	
DP	13	05	Provincial Planning Legislation - LPAT Reform	Records associated with provincial legislation related to LPAT reform.	C+5	P	P	N	Y	Planning	
DP	14		Growth Related Integrated Development Strategy (GRIDS)	Records associated with GRIDS.	T+1	5	C+10	Y	Y	Planning	
DP	15		Social Planning	Records associated with social planning policy studies.	T+2	5	C+10	Y	Y	Planning	
DP	16		Severances	Records associated with the division of parcels of land. This series includes applications, background information, appeals and decisions of the Local Planning Appeal Tribunal.	T	P	P	Y	Y	Planning	T=Final Decision

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	17		Site Plan Control	Records associated with the approval procedure of providing services to buildings and individual land sites. This records series includes information on access, sewers, water, utilities, appeals and decisions of the Local Planning Appeal Tribunal.	T	49	T+50	Y	Y	Planning	T=Final Decision
DP	18		Subdivision Plans	Records associated with the control of registered and unregistered subdivision plans. This series includes drawings, reports, background information, notices, and certificates of approvals and working documentation.	T	P	P	Y	Y	Planning	Application 2 years after final decision
DP	19		Variances	Records associated with the approval of applications for variances or the expansion of non-conforming uses of land under the zoning by-law. This series includes notices, reports and necessary documents including appeals and decisions of the Local Planning Appeal Tribunal.	T	3	T+3	Y	Y	Planning	T=Final Decision
DP	20	01	Zoning	Records associated with the development of standards to designate zones of land for specific purposes. This records series includes applications for zoning and rezoning, reports, notices, approvals, reviews, appeals, Development Agreement comments and decisions of the Local Planning Appeal Tribunal.	P	P	P	Y	Y	Planning/Building	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	20	02	Zoning Verification and Property Information Reports	Records associated with issued zoning verifications and or property information reports. This record series includes applications, zoning verifications and other correspondence.	T	3	T+3	N	Y	Building	T=Date of Issuance
DP	21		Easements	Records associated with the municipality's interest in maintaining public services such as water and sewer on privately owned property and constructing a right-of-way road or erecting utility structures, for example.	T	7	T+7	N	N	Public Works	T= Discharge of the right in the land registry office.
DP	22		Encroachments	Records associated with properties in the municipality that have encroachments.	T+1	5	T+6	Y	Y	Planning	T=Termination of right
DP	23		Annexation/Amalgamation	Records associated with the merging of neighbouring municipal lands to accommodate growth.	C+1	9	C+10	Y	Y	Planning	
DP	24		Community Improvement Projects	Records associated with the planning and development of rehabilitation programs for the community area. This series includes provincial and federal program funding, studies and statistics.	T+1	6	T+7	Y	Y	Planning	T=Completion of project
DP	25		Municipal Addressing	Records associated with the municipal addressing system.	C+5	5	C+10	Y	Y	Planning	
DP	26		Reference Plans	Records associated with planning reference plans.	C+5	P	P	Y	Y	Planning	
DP	27		Industrial / Commercial Development	Records associated with the development of land for commercial and industrial purposes.	C+1	9	C+10	Y	Y	Planning	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	28		Institutional Development	Records associated with the development of land for institutional purposes.	C+1	9	C+10	Y	Y	Planning	
DP	29		Development Permit System	Records associated with the development permit system.	C+1	4	C+5	N	N	Planning	
DP	30		NEC Development Permits	Records associated with NEC development permits	C+1	4	C+5	N	N	Planning	
DP	31		Official Plan, Other Municipalities	Records associated with the official plan of other municipalities.	S	5	S+5	N	N	Planning	
DP	32		Facilities Constructions and Renovations	Records associated with new building and alterations to existing municipal structures.	T	6	T+6	N	Y	Originating	T=Completion of project
DP	33		Mapping	Records associated with the management of the municipal mapping system. This series includes blueprints, charts, sketches, maps and plans.	S	-	S+10	Y	Y	Planning	
DP	34	01	Downtown Renewal	Records of a general nature that cannot be filed under a specific subject relating to downtown renewal.	C+1	1	C+2	N	N	Planning	
DP	34	02	Downtown Hamilton Residential Loan Program	Records associated with the Downtown Hamilton Residential Loan Program.	C+1	6	C+7	N	N	Planning	
DP	34	03	Commercial Property Improvement Grant Program	Records associated with the Commercial Property Improvement Grant Program.	C+1	6	C+7	N	N	Planning	
DP	34	04	Enterprise Zone Program	Records associated with the Enterprise Zone Program.	C+5	2	C+7	N	N	Planning	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Development and Planning

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	35		Business Improvement Areas	Records associated with the improvement of a business area. This record series may include petitions, surveys, statistics, plans and development reports.	C+5	5	C+10	Y	Y	Planning	
DP	36		Secondary Planning	Records associated with the preparation of Secondary Plans including Secondary Plans completed under an integrated Environmental Assessment process.	C+5	5	C+10	Y	Y	Planning	
DP	37	01	Urban Design	Records associated with research, planning, design, management, drawing, public consultation and staff reports of urban design projects. Projects include: Neighbourhood master plans, streetscape master plans, community core design guidelines, site specific development (building and landscape) design guidelines, Urban Braille system, civic gateway designs, civic landscape design, and other public space designs. All projects include conceptual drawings and reports.  Excludes: detailed design and constructions documents.	C+5	5	C+10	Y	Y	Planning	
DP	37	02	Neighbourhood Plans	Records associated with existing neighbourhood plans, the preparation of new neighbourhood plans and amendments to neighbourhood plans.	C+5	5	C+10	Y	Y	Planning	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Development and Planning**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Department	Remarks
DP	37	03	Landscape Drawings and Specifications	Records relating to the production, use, and storage of master copies of landscape drawings. Landscape drawings demonstrate design solutions and define construction materials and standards.	S	P	P	Y	Y	Originating Department	Current version is Vital.

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Emergency Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
EM	01		Daily Occurrence Logs	Records associated with daily reporting and tracking number of occurrences involving fire and ambulance assistance calls.	T	3	T+3	N	N	Emergency Services	T=date of last report
EM	02		Dispatch Complaint Records	Records associated with emergency services dispatch complaints.	C+1	1	C+2	N	N	Emergency Services	
EM	03		Emergency Calls	Records associated with emergency calls such as fire and ambulance. Includes damage reports.	C+1	5	C+2	N	N	Emergency Services	
EM	04		Fire Hose and Hydrant Maintenance	Records associated with the maintenance and routine inspection of fire hoses, flushing of fire hydrants and sprinkler reports. This series also includes permits, reports and use statistics.	C+1	1	C+2	N	N	Emergency Services	
EM	05		Fire Prevention	Records associated with a fire prevention program and inspections for institutions, residences, industrial and commercial buildings.	C+1	1	C+2	Y	Y	Emergency Services	
EM	06	01	Emergency Preparedness Planning	Records Associated with information related to Emergency Preparedness Planning. Includes: Mock/traning exercises, emergency preparedness plans and business continuity plans. Excludes: Operational responses (see EM06 02 - Emergency Response)	S	-	S	Y	Y	Originating	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Emergency Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
EM	06	02	Emergency Response	Records associated with information related to operational responses to emergencies where either the City or individual Department is one of the lead record holders for activation or partial activation of the Incident Management System (IMS). Excludes: Mock/training exercises, emergency preparedness plans and business continuity plans (see EM06 01 - Emergency Preparedness Planning).	T	15	T+15				T= end of emergency
EM	07		Investigations	Records associated with investigations regarding accidents and emergency service investigations.	T	5	T+5	N	Y	Emergency Services	T=Termination of investigation
EM	08		Notice of Violation	Records associated with notice of violation of Ontario Fire Code.	T	5	T+5	N	N	Emergency Services	T=Resolution of action
EM	09		Protective Equipment	Records associated with protective equipment used such as breathing apparatus, breathing tanks and rescue equipment.	C+1	1	C+2	N	N	Emergency Services	
EM	10		Run Reports	Records associated with run reports used for ambulance and fire calls.	C+1	1	C+2	N	N	Emergency Services	
EM	11		Telephone Operator's Log	Records associated with the operator's logbook for emergency service calls.	T	3	T+3	N	N	Emergency Services	T=last date in log

### Environmental Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
ES	01		Operational - Water, Storm and Waste Water	Records relating to the ongoing operation, inspection, maintenance, service programs of water infrastructure which may include but is not limited to: sewers, resevoirs, towers, water treatment plants, water mains, pumping stations, CSO infrastructure and other assets in the distribution system.	C + 5	P	P	Y	N	Public Works	
ES	01	01	Preventative Maintenance - Water, Storm and Waste Water	Records relating to the preventative maintenance of water infrastructure.	C + 5	P	P	N	N	Public Works	
ES	04		Trees	Records associated with the planning and maintenance of trees on municipal land.	C+2	3	C+5	N	N	Public Works	
ES	04	01	Urban Forestry Planning and Management	Records relating to the management and preservation of trees and forests located in City of Hamilton parks, cemeteries and Right-of-Way. This includes information relating to the planting, maintenance, protection, and removal of trees. May also include information on mineral deposits, tree diseases, soil analysis, pesticide spraying, pruning, and planting regimens.	T+2	18	T + 20	N	N	Public Works	T = End of life of asset
ES	05		Environmental Assessments	Records associated with the planning and performance of environmental assessments.	C+5	5	C+10	Y	Y	Originating	A document related to environmental assessment may be destroyed by or under the authority

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Environmental Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
ES	06		Environmental Monitoring	Records associated with environmental monitoring.	C+2	3	C+5	Y	Y	Public Health	
ES	07		Utilities	Records associated with utility services provided to residents. This series includes telephone lines, gas mains, power lines, and relevant equipment and facilities.	C+2	3	C+5	N	Y	Public Works	
ES	08		Waste Management	Records associated with the management and disposal of waste within area landfill sites.	C+2	3	C+5	N	Y	Public Works	
ES	08	01	Garbage Collection and Routes	Records relating to solid waste garbage collection and route pick-ups within the City of Hamilton. This includes garbage collection from residential, commercial, and industrial sites.	C+1	9	C+10	N	Y	Public Works	
ES	08	02	Waste Disposal and Landfill Areas	Records relating to the maintenance and use of landfills for disposal of routine and hazardous waste materials. Landfills are ground depressions which accommodate wastes and isolate them from the surrounding environment. Also includes information on disposal user fees for commercial, industrial, and restaurant organizations, waste disposal statistics and reports, and correspondence.	C+2	P	P	N	Y	Public Works	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Environmental Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
ES	08	03	Resource Recovery Centres	Records relating to the provisions and operation of Resource Recovery Centres. These facilities accept and process solid waste materials, remove contaminants, and recover recyclable materials wherever possible.	C+2	P	P	N	Y	Public Works	
ES	08	04	Composting	Records relating to the composting of food waste, leaves and other organic wastes. Composting refers to the decomposition of plant remains, and other once-living materials, to form organic plant nutrients. Includes information on residential backyard composting and use of composter equipment.	T	15	T+15	N	N	Public Works	T = Completion of statistical reporting.
ES	08	05	Waste Recycling	Records relating to the reduction, reuse, and recycling of solid and liquid waste materials. Includes the recycling of newspapers, cardboard, other curb side materials, automobile tires, white goods, scrap metal, and soil. May also include information about recycling operations at transfer stations.	C+1	9	C+10	N	Y	Public Works	
ES	08	06	Household Hazardous Wastes	Records relating to the collection and processing of household hazardous wastes that pose a health and safety hazard, such as paint, batteries, antifreeze, and adhesives.	C+1	9	C+10	N	Y	Public Works	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Environmental Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
ES	08	07	Transfer Stations Operations	Records relating to the operations of transfer stations, which serve as drop-off points for waste haulers. .	C+2	P	P	N	Y	Public Works	
ES	09		Water Works	Records associated with the planning, design, construction and maintenance of the water works systems such as water mains, pipelines, etc.	C+2	3	C+5	Y	Y	Public Works	<b>Specifications are kept permanently (12-254)</b>
ES	10		Drains	Records associated with the policy and procedures, design, construction, maintenance and management of drains and drainage systems.	C+2	3	C+5	Y	Y	Public Works	Specifications are kept permanently
ES	11		Air Quality	Records associated with the routine control and monitoring of air quality.	T	5	T+5	Y	Y	Public Works	T=Completion of the inventory
ES	12		Water Quality	Records relating to the testing, control, and monitoring of drinking water quality. Water Quality testing is required by the SDWA and its Regulations, an approval, municipal drinking water licence or order, including an OWRA approval or OWRA order.	T+2	13	T+15	N	N	Public Works	
ES	12	01	Water Supply	Records relating to the City's supply of potable water for drinking and commercial purposes.	T+2	13	T+15	N	N	Public Works	
ES	12	02	Spill Investigations	Records relating to water quality investigations of spills that occur within the City of Hamilton	T	16	T+16	N	Y	Public Works	T = Completion of investigation.

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Environmental Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
ES	13		Corporate Energy Policy	Records relating to the development of the Corporate Energy Policy.	S	10	S+10	Y	Y	Public Works	
ES	13	01	Energy and Commodity Contracts	Records relating to the purchase, sale, delivery and storage of Energy Commodities and the consideration of price hedging for Energy Commodities.	S	P	P	Y	N	Public Works	
ES	13	02	Energy and Commodity Data	Records relating to energy usage spending and baseline tracking.	C+10	P	P	N	N	Public Works	Baseline tracking begins in 2005.
ES	14		Energy Retrofit Projects	Records relating to the design and construction of retrofit projects.	T+2	4	T+6	N	Y	Public Works	T = End of Warranty Period.

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	01		Accounts Payable	Records associated with the payment for goods and services for the municipality. This record series includes all records relating to the following areas of accounts payable: initial purchase of goods and services, such as invoices, purchase orders and requisition forms; books or reports of initial accounts payable entries such as accounts payable journals or registers, account summary reports.	C+1	5	C+6	N	N	Finance	Permission to destroy prior to the expiration of the retention period must be obtained from the Minister of Finance.
FA	02		Accounts Receivable	Records associated with the payments received from the user(s) of the goods and/or services of the municipality. This record series includes the following: transactional information such as adjustment accounts receivable, building receipts, accounts receivable analysis, controls, invoices and statements; and books of initial entry such as accounts receivable ledgers or registers.	C+1	5	C+6	Y	N	Finance	Permission to destroy prior to the expiration of the retention period must be obtained from the Minister of Finance.
FA	03	01	Audit Reports - Internal	Records associated with monitoring the integrity of accounting and management controls of municipal programs. This record series includes audits, such as audit systems tests and other financial and procedural audits.	C+1	5	C+6	Y	N	Finance	
FA	03	02	Audit Reports - External	Records associated with external auditor's financial audit reports.	C	P	P	Y	Y	Finance	
FA	04	01	Bank Statements	Records associated with the management of cash and other banking activity. This record series may include all records relating to banking and cash management, such as accounts reconciliation reports.	C+1	9	C+10	Y	Y	Finance	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	04	02	Accounts Payable Cheques Cashed by Banks	Records associated with the management of accounts payable cheques cashed by banks.	C+1	9	C+10	N	N	Finance	
FA	04	03	Payroll Cheques Cashed by Banks	Records associated with the management of cheques cashed by banks.	C+1	9	C+10	Y	N	Finance	
FA	04	04	Duplicate Copies of Cheques Attached to Vouchers	Records associated with the management of cash	C+1	9	C+10	N	N	Finance	
FA	05		Budgets	Records associated with establishing expenditure levels to measure the financial progress of each department, division and section. This record series includes the preparation of the current (or operational) budgets, such as estimates, status and budget annual reports to Council.	C+1	5	C+6	Y	Y	Finance	
FA	06		Assets	Records associated with the City financial assets.	T+1	6	T+7	Y	Y	Finance	T=Disposal of asset
FA	07	01	Cheques	Records associated with the support of the reconciliation of all financial transactions, used to provide a proper audit trail. This record series includes all records relating to issuance of cheques, trust cheques and cancelled cheques.  Excludes: Ambulance Service Cheques	C+1	6	C+7	Y	N*	Finance	*The register is a vital record.
FA	07	02	Ambulance Service Cheques	Records associated with the support of the reconciliation of financial transactions related to the ambulance service. These records are used to provide a proper audit trail.	T+1	6	T+7	Y	N	Finance	T=Use of Ambulance Service

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	08		Debentures and Bonds	Records associated with all records relating to the raising of capital for projects conducted by and for the municipality.	T+1	6	T+7	Y	Y	Finance	T=Debentures surrendered for exchange/cancellation
FA	09		Employee and Council Expenses	Records associated with employee and council expenses while engaged on City business.	C+1	5	C+6	N	N	Finance	
FA	10		Financial Statements	Records associated with the financial status of the municipality, in accordance with reporting requirements. This record series includes financial statements, balance sheets, income statements, statements of source and application of funds.	C+2	P	P	Y	Y	Finance	
FA	11		Grants and Loans	Records relating to the receipt or provision of monies by means of acquiring or issuing grants and loans. This record series contains grant applications, correspondence, grant revenue information, and other related documents and records for the municipality.	C+1	5	C+6	Y	Y	Finance	
FA	12		Investments	Records associated with the investment of municipal funds to fund capital projects and current budget.	T+1	5	T+6	Y	N	Finance	T=Closure of account
FA	13	01	Journal Vouchers	Records associated with the journal used to transfer transactional information to the General Ledger. This record series includes general journal vouchers.  Excludes: General Ledgers and General Journals	C+1	5	C+6	N	N	Finance	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	13	02	Ambulance Service Vouchers	Records associated with the recording of ambulance services vouchers.	T+1	6	T+7	Y	N	Finance	T=Use of Ambulance Service
FA	14		Subsidiary Ledgers, Registers and Journals	Records associated with the documentation of financial transactions to appropriate cost centres and accounts. This record series includes the following: journal and ledger entries, such as journal entry input forms.  Excludes: the General Ledger and other books of final entry such as the General Journal	C+1	9	C+10	N	Y	Finance	Permission to destroy C.P.P. and Employment Insurance records prior to the expiration of their retention period must be obtained from the Minister of Revenue.
FA	15	01	General Ledger	Records associated with the accounting for all financial transactions of the municipality during each fiscal year and for audit purposes. This record series includes the following general ledger information: financial reports; account code lists to track general ledger codes; and general ledger (final version) reports.	C+1	P	P	Y	Y	Finance	
FA	15	02	General Journal	Records associated with the journal used to transfer transactional information to the General Ledger. This record series includes support documentation that feeds directly into the General Journal.	C+1	P	P	Y	Y	Finance	
FA	16	01	Payroll - Original Registers for Salary and Wage	Records associated with the administration of payroll services for the municipality.	C+1	5	C+6	Y	N	Payroll	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	16	02	TD1s	Records associated with TD1 statements.	P	-	P	N	N	Payroll	Only on Replacement
FA	16	03	T-4s	Records associated with T-4 statements for employees.	P	-	P	N	N	Payroll	
FA	16	04	OHSC and Medical	Records associated with OHSC and medical statements.	C+1	2	C+3	N	N	Payroll	
FA	16	05	Unemployment Insurance Records	Records associated with employee unemployment insurance claims.	C+2	5	C+7	Y	N	Payroll	
FA	17		Purchase Orders and Requisitions	Records associated with purchase orders and requisitions	C+1	5	C+6	Y	N	Finance	
FA	18	01	Quotations, Tenders and Proposals	Records associated with obtaining and evaluating proposals from external agencies for goods and services to be purchased by the municipality. This record series includes records on Requests for Proposals (RFP), Requests for Information (RFI) and supporting documentation of awarded or cancelled contracts.	C+1	5	C+6	N	N	Purchasing	
FA	18	02	Quotations, Tenders and Proposals - Unsuccessful	Records associated with offers or proposals presented by external agencies that have not been accepted.	C+1	-	C+1	N	N	Purchasing	
FA	18	03	Consultants	Records associated with the selection and appointment of consultants. This record series may include resumes, correspondence and proposals.	C+1	2	C+3	N	N	Originating	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Finance and Accounting

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	18	04	Vendors and Suppliers	Records associated with vendors and suppliers of goods and services. This record series includes a listing of pre-approved vendors, specifications, price lists and catalogues.	C	2	C+2	N	N	Purchasing	
FA	19		Receipts and Revenue	Records associated with the proof of payments owed to or proof of proceeds donated to the municipality.	C+1	5	C+6	N	N	Finance	
FA	20		Reserve Funds	Records associated with reserve funds.	C+1	5	C+6	Y	N	Finance	
FA	21		Mortgages	Records associated with mortgages on City properties.	C+1	9	C+10	Y	N	Finance	
FA	22		Tax Rolls and Records	Records associated with the accounting of monies owed to or paid by the municipality in the form of taxes.	S	P	P	Y	Y	Tax	The sections of the <i>Education Act</i> related to Protestant and Roman Catholic School Board Index Books have been repealed.
FA	23		Write Offs	Records associated with all records relating to write offs, such as outstanding payment reports, recommendations to Council and lists of accounts being considered for write off.	C+1	5	C+6	N	N	Finance	
FA	24		Trust Funds	Records associated with trust funds managed by the City.	T	6	T+6	Y	N	Finance	T=Closure of account
FA	25		Security Deposits	Records associated with securites managed by the City.	T	6	T+6	Y	N	Finance	T=Closure of account

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Finance and Accounting**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
FA	26		Working Papers	Records associated with working papers required for internal financial audits.	T+1	-	T+1	N	N	Finance	T=After completion of audit
FA	27		Amortization Schedules	Records associated with fixed assets, such as records of depreciation and amortization, used to evaluate and manage municipal assets	T	6	T+6	Y	Y	Finance	T=Disposal of asset

### Human Resources

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
HR	01		Attendance and Scheduling	Records associated with work attendance reporting.	C+2	T+7	C+2,T+7	N	Y	Human Resources	
HR	02		Benefits Records	Records associated with benefit payments, general correspondence, subscriber listings, benefit information, such as group insurance, dental plans and tuition assistance.	S	5	S+5	N	N	Human Resources	
HR	03	01	Employee Records	Records associated with the individual employee and the information contained is vital and confidential. This record series includes name, address, change of address, beneficiary, social insurance number, date of birth, marital status, resumes, job applications, work and educational history.	T+2	5	T+7	N	N	Human Resources	T=Termination of employment
HR	03	02	Employee Records - Performance Development	Records associated with the performance development and planning of an employee. This record series may include interim and merit increment reviews, evaluations and performance appraisals, terms of employment, leave of absence requests, employee service awards, employee transfers or promotions	T+2	5	T+7	N	N	Human Resources	T=Termination of employment
HR	03	03	Employee Records - Disciplinary	Records associated with disciplinary letters, notes and warnings	C+2	-	C+2	N	N	Human Resources	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

## Human Resources

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
HR	04		Health and Safety	Records associated with the health and safety of staff. This record series includes accident reports, inspections, Workplace Safety and Insurance Board (WSIB) reports, health and safety programs and health and safety agendas and minutes.	T	5	T+5	Y	Y	Human Resources	Records related to exposure to airborne arsenic, ethylene oxide or asbestos must be kept the longer of (a) 40 years from the time such records were first made with respect to the worker; or (b) 20 years from the time the last of such records were made with respect to the worker.
HR	05		Job Descriptions	Records associated with the description of job duties, specifications, experience and education requirements. This series includes the establishment of job specifications and background information.	S	5	S+5	Y	Y	Human Resources	
HR	06		Labour Relations	Records associated with relations between labour and management. This record series includes the administration of contracts, agreements, collective bargaining and lists of unions and staff associations.	C+1	P	P	Y	Y	Human Resources	
HR	07		Grievances and Arbitrations	Records associated with hearing settling differences between management and union. This record series includes supporting documentation for grievances and arbitration hearings.	C+1	P	P	Y	Y	Human Resources	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Human Resources

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
HR	08		Organizational Structure	Records associated with the organizational structure of the corporation and its departments, divisions and business units. This series includes charts representing departmental and divisional hierarchies.	S	5	S+5	Y	Y	Human Resources	
HR	09	01	Salary Planning	Records associated with the administration and planning of salary schedules by job evaluations, classifications and surveys. This series also includes information relating to pay equity.	C+1	4	C+5	Y	Y	Human Resources	
HR	09	02	Salary and Wage Records	Records associated with rates of pay by group, salaries earned and job title.	C+1	4	C+5	Y	Y	Human Resources	
HR	10		Pension Records	Records associated with pension plans offered to employees. This record includes OMERS, remittance, statutory information, employee pension data and government annuities.	T	6	T+6	N	Y	Human Resources	T=Death of last surviving beneficiary. Pension plans, annual information returns are kept permanently.
HR	11		Recruitment	Records associated with staff recruitment for job competitions and posting.	T	1	T+1	N	N	Human Resources	T=closing of competition
HR	12		Employee Retirement	Records associated with termination of employment due to retirement.	T	6	T+6	N	N	Human Resources	T+death of last surviving beneficiary

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Human Resources

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
HR	13		Employee Terminated Records	Records associated with employment terminations other than retirement	T	20	T+20	N	N	Human Resources	T=last day of employment
HR	14		Volunteer and Unpaid Student Files	Records associated with the administration, coading, mentoring, precepting, supervising, delivery, screening, orientation and maintainance of volunteers and unpaid student placements. Includes: volunteer requests and role descriptions, volunteer applications, unpaid student placement applications, interview questions, reference verification, orientation materials, scheduleing and individual volunteer performance monitoring, supervision notes, health and safety certificates. Excludes: Volunteer or Student Placement policies and procedures (see AD 07 Policies and Procedures); Police background checks (retained by Human Resources); Paid Students (e.g. Internships) who must be processed through Human Resources (See HR 03 01).	T	7	T+7	N	N	Human Resources	T= last day of employment

### Information Management

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
IM	01	01	Hardware Documentation	Records associated with operational and maintenance requirements of computer hardware such as hardware specifications, operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	S	-	S	N	N	Originating Department	
IM	02	01	Software Documentation	Records associated with the use and support of application and the operation of packaged software. This record series may include network software.	S	-	S	N	N	Originating Department	
IM	03	01	Software Licensing	Records associated with Software Licensing	S		S	N	N	Originating Department	
IM	04	01	Strategic Planning	Records associated with the Information Technology Strategic Plan	S		S	N	N	Information Services	
IM	05	01	Projects	Records associated specifically with technology projects and project methodology.	S	-	S	N	N	Originating Department	
IM	06	01	System Development	Records associated with the development of information systems. Records associated with the use and support of application and the operation in-house developed software.	S	-	S	N	N	Originating Department	

### Information Management

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
IM	07	01	Telecommunications Systems	Records associated with the installations, maintenance, operation and use of telecommunications systems. This record series includes voice messaging, fax, telephone directories, pagers, cell phones, blackberry's, towers, antennae, base and mobile stations, police and fire communication systems, and emergency systems cables.	S	-	S	N	N	Originating Department	
IM	08	01	IT Disaster Recovery and Business Continuity Plan	Records associated with the Disaster Recovery Plan and Business Continuity Plan. (Records developed during the creation of the plan will be classified in the project classification IM-03)	S		S	Y	N	Originating Department	
IM	09	01	Security Audits	Records associated with any security audits performed for technology.	S		S	N	N	Information Technology Services	
IM	10	01	Micrographics	Records associated with microform and imaging technology.	S	-	S	N	N	City Clerk	
		02	Records Management	Records associated with the implementation of a corporate records program, development of policies and procedures for the records disposition, conversion projects and classification systems.	C	5	C+5	N	Y	City Clerk	
		03	Records Retention Schedule By-Laws	Records associated with the development and implementation of council approved records retention schedule by-laws that identify the length of time a record must be retained in active and inactive status before the final disposition.	S	-	S	Y	Y	City Clerk	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Information Management

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
		04	Records Disposition	Records associated with the disposition of records. This series includes the method of disposal used, destruction authorization forms and descriptions of records destroyed.	C	P	P	Y	Y	City Clerk	
		05	Records Destruction Certificates	Records associated with records destruction certificates obtained when records are destroyed. This series includes company name, date of destruction and the witness' signature.	C	P	P	Y	Y	City Clerk	
		06	Records Transfer	Records associated with transfer reports for the management of inactive records transferred to records centres.	T+7		T+7	N	N	City Clerk	T = Destruction of Box listed on Transfer list
IM	11	01	Forms Management	Records associated with the design, production, form review and requests.	S	-	S	N	N	City Clerk	
IM	12		Corporate Records Library	Records associated with Corporate Library holdings	P		P	N	N	City Clerk	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Legal Affairs

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
LA	00		Legal - General	Records associated with Legal files	T	20	T+20	Y	Y	Legal	T = File closed
LA	01		Appeals and Hearings (including LPAT & Property Standards)	Records associated with appeals, hearings and decisions from legal proceedings, documentation and transcripts.	T	6	T + 6	Y	Y	Legal	T=Resolution of appeal
LA	02	01	Claims Against the Municipality	Records associated with liability or damage claims made by parties against the municipality.	T	6	T+6	Y	Y	Risk Management	T=Resolution of claim and all appeals
LA	02	02	Claims by the Municipality	Records associated with damage or liability claims by the corporation against another party.	T	6	T+6	Y	Y	Legal	T=Resolution of claim and all appeals
LA	03	01	Contracts and Agreements - Under Seal	Records associated with contracts and agreements under the corporate seal entered into by the municipality and authorized by Council. This record series may include easements, encroachments.	T + 2	P	P	Y	Y	Clerks	T = Termination of Agreement
LA	03	02	Contracts and Agreements - Simple	Records associated with agreements and contracts not under seal entered into and authorized by the municipality. This record series may include rental, leasing, purchasing and services contracts.	T + 2	30	T + 32	Y	Y	Clerks	T = Termination of Agreement
LA	03	03	Contracts for Buildings	Records associated with agreements and contracts for buildings.	T + 2	30	T + 32	Y	Y	Clerks	T = Expiration of contract
LA	04		Insurance Appraisals	Records associated with insurance appraisals.	S	-	S	N	N	Finance	
LA	05		Insurance Policies	Records associated with insurance policies.	T+2	15	T+17	Y	N	Finance	T=Expiration of policy

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Legal Affairs

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
LA	06		Land Acquisition and Sale	Records associated with transactions of land through buying, selling and leasing of land. This record series includes agreements of purchase and sale, appraisals, leases, deeds, certificates of registration, notices of applications for approval to expropriate land.	T	21	T+21	Y	Y	Legal / Real Estate / Clerks	T=Property disposition
LA	07		Opinions and Briefs	Records associated with legal opinions and briefs.	S	-	S	N	Y	Legal	
LA	08		Precedents	Records associated with legal precedents.	S	-	S	N	Y	Legal	
LA	09		Prosecutions	Records associated with prosecutions involving the municipality.	T	7	T+7	N	Y	Legal	T=Delivery of judgement

### Media and Public Relations

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
MP	01		Advertising	Records associated with the municipality advertising to the public in magazines, newspapers, radio, television and transit.	C+2	-	C+2	N	Y	Originating	
MP	02		Ceremonies and Events	Records associated with hosting, attendance and performance of official business at special ceremonies, inaugurations and awards.	C+2	-	C+2	N	Y	Originating	
MP	03		Charitable Campaigns/Fund Raising	Records associated with fund raising and donations to charitable organizations. This record series may include records for charitable campaigns, such as the United Way, and information about Finance deductions.  Excludes: Payroll Records	C+2	-	C+2	N	N	Originating	
MP	04		Complaints, Commendations and Inquiries		1	-	1		Y	Originating	
MP	05		News Clippings	Records associated with clippings from newspapers, journals and other media regarding the municipality's public relations.	C+2	-	C+2	N	Y	Originating	
MP	06		News Releases	Records associated with working documentation and final versions of news releases issued by the municipality.	C+2	-	C+2	N	Y	Originating	
MP	07		Publications	Records associated with production and dissemination of City publications.	S	-	S		Y	Originating	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Media and Public Relations**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
MP	08		Speeches and Presentations	Records associated with working documentation and final versions of public addresses and speeches. This record series may include video presentations.	C+2	-	C+2	N	Y	Originating	
MP	09		Visual Identity and Insignia	Records associated with the copyright, patent and trademark protection of municipal logos, and products used for visual identity. This series includes the municipal crest, coat-of-arms, letterhead design, emblem, vehicle identification and seals of office.	C+2	P	P	Y	Y	Clerk's	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**



### Parks, Recreation and Culture

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PC	01		Heritage Preservation	Records associated with the development and preservation of heritage and historical designated buildings, archaeological areas and artifacts.	T	-	T	Y	Y	Heritage	T=Removal of designation
PC	02		Museum and Archival Services	Records associated with the management and provision of museum and archival services.	C+2	3	C+5	N	Y	Heritage	
PC	03		Cemetery Records	Records associated with the management of City cemeteries.	C+2	P	P	N	Y	Cemeteries	
PC	03	01	Cemetery Burial Plot Records	Records relating to burial permits, contracts, cremation certificates, maps, plot ownership records (deeds), lot cards, interment registers, and indexes for municipal cemeteries and abandoned cemeteries, land registry.	C	P	P	N	Y	Cemeteries	
PC	04		Parks Management	Records associated with the management, maintenance, design and landscaping of municipal parks.	C	2	C+2	N	Y	Parks & Recreation	
PC	04	01	Park and Cemetary Maintenance	Records relating to the maintenance and routine operation of municipal cemeteries, parkland, playgrounds, and open spaces. May include information on staffing requirements, timesheets, conditions, facility statistics, and suggested improvements, such as path paving and lighting.	C+2	18	C+20	N	N	Parks & Recreation & Cemeteries	
PC	05		Recreational Facilities	Records associated with the management and operation of municipal recreation facilities, such as arenas, rinks, pools and fitness centres.	C	2	C+2	N	Y	Parks & Recreation	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Parks, Recreation and Culture**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PC	06		Recreational Programming	Records associated with the administration and development of community recreational programs.	C	2	C+2	N	N	Parks & Recreation	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

**Protection and Enforcement Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PE	01	01	By-law Enforcement - Parking & Animal Control	Records associated with by-law enforcement such as parking violations and animal control and legal actions regarding parking violations and animal control.	T	2	T+2	Y	Y	Originating Department	T=Resolution of action
PE	01	02	By-law Enforcement - Other	Records associated with inspections for enforcement of the zoning by-law, property standards by-law, licensing by-law, heat by-law, noise by-law, yard waste and maintenance by-law and vital services by-law. This record series includes Order to Comply and Notices of Violation issued under the authority of municipal by-laws and legal action resulting from enforcement of these by-laws and Action Requests received by the municipality.	2	6	8	N	Y	Originating Department	
PE	01	03	Mobile Sign Permits	Records associated with the issuance of mobile sign permits granted to a business or an individual.	T	25	T+25	N	N	Originating Department	T= Termination of permit
PE	02		Hazardous Materials Transportation and Storage	Records relating to the handling, transportation and storage of hazardous materials. Hazardous materials are any substance or material which may result in health injuries, destruction of life and environmental conditions, and facility damage. This includes toxic, flammable, corrosive, and explosive materials.	C+1	2	C+3	N	N	Originating Department	
PE	03		Incident/Accident Reports	Records associated with accidents involving protection and enforcement personnel.	T	2	T+2	N	N	Originating Department	T=Cause of action or age of majority

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

### Protection and Enforcement Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PE	04	01	Building, Grading and Structural Inspections	Records associated with building, grading and structural inspections. This record series includes inspection records relating to Building Permits issued by the municipality and Action Requests received by the municipality.	C+2	15	C+17	N	N	Building	
PE	04	02	Building, Grading and Structural Inspections, Enforcement	Records associated with building, grading and structural inspections enforcement. This record series includes Orders (Orders To Comply, Stop Work Orders, Unsafe Orders, etc.) issued under the authority of the Ontario Building Code and other municipal by-laws.	T	P	P	N	Y	Building	T=Issuance of Order
PE	05		Health Inspections	Records associated with inspections for health reasons.	S	-	S	N	N	Public Health	
PE	06		Investigations	Records associated with protection and enforcement services investigations (NOT including Human/Animal Contact Exposure Investigations, see PE 06 01)	C+2	8	10	N	Y	Originating Department	
PE	06	01	Human/Animal Contact Exposure Investigations	Records associated with Human/Animal Contact Exposure Investigations, including officer notes, Amanda files, and officer investigation documents.	T+2	4	T+6	N	N	Animal Control	
PE	07	01	Licences/Permits - Trade, Establishment, Mobile	Records associated with licences issued or denied to citizens and businesses, excluding marriage licences. This record series includes expired licences. This record series also includes the records of staff at Residential Care Facilities and applications for licences.	T	25	T+25	N	Y	Parking & By-law Services	T=termination and/or expiry of licence, or date of denial

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Protection and Enforcement Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PE	07	02	Licencing Inspections	Records associated with inspections for establishment and mobile licences including insurance records, and certificates of safety. This series also includes inspection reports from the Traffic Department, Public Health Services (Public Health Inspectors and Nursing Inspectors, Fire Prevention and Community Services - Subsidy and Hostels and MLE Inspectors. NOTE: Does not include Taxi/Vehicle Inspections (see PE 07 04)	C+2	15	C+17	N	N	Parking & By-Law Services	
PE	07	03	Licencing - Lotteries	Records associated with charities licenced or denied to run municipal lotteries	4	3	7	N	N	Licencing	
PE	07	04	Taxi/Vehicle Inspection and Enforcement	Records associated with vehicle inspections for licensed taxis, etc., including orders to comply, officer investigation notes, Amanda files, and orders filed with the court.	T	25	T+25	N	N	Licencing	T=Termination of investigation/order/court order
PE	08	01	Building Permits	Records associated with the issuance of Building Permits issued under the Building Code Act. This record series includes permits, applications, engineering reports, sprinkler and fire alarm tests, surveys and property sketches.	T	P	P	N	Y	Building	T=Permit Issuance
PE	08	02	Building Plans and Specifications	Records associated with the issuance of Building Permits issued under the Building Code Act. This record series includes plans, specifications, and other correspondence.	C+2	P	P	N	N	Building	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

**Protection and Enforcement Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PE	08	03	Building Permits, Post Disaster Buildings	Records associated with the issuance of Building Permits issued under the Building Code Act relating to Post Disaster Buildings as defined by the Ontario Building Code. This record series includes permits, plans, specifications, applications, engineering reports, sprinkler and fire alarm tests, surveys, property sketches and other correspondence.	T	P	P	N	Y	Building	T=Permit Issuance
PE	08	04	Building Permits, Other	Records associated with the issuance of permits issued under authority other than the Building Code Act. This record series includes permits, applications, engineering reports, surveys and property sketches.	T	P	P	N	Y	Building	T=Permit Issuance
PE	08	05	Building Permits Plans and Specifications, Other	Records associated with the issuance of permits issued under authority other than the Building Code Act. This record series includes plans, specifications, and other correspondence.	C+2	P	P	N	N	Building	
PE	09		Demolition Permits	Records associated with permits for demolition.	C+2	P	P	N	Y	Building	
PE	10		Sign Permits	Records associated with permits for signs.	C+2	P	P	N	Y	Building	
PE	11		Water and Sewer Permits	Records associated with permits for water and sewers.	C+2	P	P	N	Y	Building	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

**Protection and Enforcement Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
PE	12		Permits, Other	Records associated with the issuance of other permits.	T	7	T+7	N	Y	Originating Department	T=Expiry of permit
PE	13		Animal Control	Records associated with animal control. This records series includes licensing, files associated with the investigation of animal abuse, animal adoptions, animal confiscation, notices to comply with an order, and notices to pet owners.	C+2	4	C+6	N	N	Animal Control	
PE	14	01	Protective Equipment	Records relating to protective equipment used by various departments. Also includes maintenance and history files on equipment.	T	2	T+2	N	N	Originating Department	T = Disposal of equipment.
PE	15		Taxicab Driver/Owner Training Courses	Records associated with taxicab driver/owner training courses. Records include taxi licences, driver records, driver photos, owner information, and classes attended by drivers for the purpose of driving a taxi.	T	25	T+25	N	N	Licencing	T=Termination of taxicab licence

## Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	01	01	Client and Case Files	<p>Records associated with clients who have had interaction with Public Health Services programs and services (including Records Access Requests). <u>Includes, but is not limited to:</u></p> <ul style="list-style-type: none"> <li>- Community as client (i.e. where a community or group is the client such as schools, workplaces, daycares or community organizations)</li> <li>- Individual client records (i.e. where the client is a person; these records include referral forms, consent forms, correspondence, etc.)</li> <li>- Chronic Disease Prevention Client Records</li> <li>- Prevention of Injury and Substance Misuse Client Records</li> <li>- Reproductive and Child Health Client Records</li> <li>- Infectious Diseases Clients Records</li> <li>- Sexual Health and Sexually Transmitted Infections Client Records</li> <li>- HIV/AIDS Client Records</li> <li>- Syphilis Client Records</li> <li>- Tuberculosis Client Records</li> <li>- Tobacco Cessation Client Records</li> <li>- Telephone logs relating to personal health information from clients</li> <li>- Human/Animal Contact Exposure Client Records</li> <li>- Mental Health Client Records (including raw data)</li> <li>- health promotion materials, curriculum and meeting minutes referred to in client records (when charting by reference)</li> </ul> <p><b>Excludes:</b> Dental Client Records (see PH-01-02); Vaccine Preventable Diseases Client Charts (incl. Adverse Event Following Immunization (AEFI) (see PH-01-03)</p>			T + 15*	Y	N	Public Health	<p>*</p> <p><b>For clients 18 years and over:</b> T = client's last visit, or discharge</p> <p><b>For clients under age 18:</b> T = 18 minus age of client discharge</p> <p><b>Statements of Conscience: under 18</b> T= 18 minus age of client at date of completion of form</p> <p><b>18 yrs &amp; over</b> T= completion of form</p> <p><b>Infectious Diseases</b> T = Discharge of client/ closure of annual file</p> <p>Total Retention = up to 33 years</p>

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	01	02	Dental Client Records	Records associated with clients who have had interaction with Public Health Services Dental Programs (includes Records Access Requests). <u>Includes:</u> Dental Screening assessment; Dental Health Client Records (including assessment of dental screening for clients referred for other services, referrals, parent notification; dental follow up			<b>Dental Screening</b> T+3*				<b>*Dental screening</b> T= end of school year  <b>**Dental Health Client Records Adult (18 &amp; over)</b> T = Discharge of Client <b>Under age 18</b> T = 18 minus age of client at discharge

**Public Health Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	01	03	Vaccine Preventable Diseases Client Charts (incl. AEFI)	<p>Records associated with vaccinations, and interactions with clients related to vaccine preventable diseases (includes Records Access Requests).</p> <p><u>Includes:</u> Group vaccinations clinics where clients range in age - (e.g. community clinics, mass school immunizations, pandemic), vaccinations by single cohort; adverse event following immunization intervention (AEFI) records .</p> <p><u>Excludes:</u> Cold Chain Inspection Records (see PH 05 03 (Vaccine Cold Chain)</p> <p><b>NOTES:</b>                      1. Retention periods for client records are dictated by whomever is the client.                      2. If there is no Date of Birth indicated for a record and an age needs to be determined, consider the type of service that is being delivered to the client and base client's age on past practices associated with that service (e.g. in case of school vaccination records for which there is no date of birth for an individual, data of birth would be based on school grade level).</p>	T+2		T+15				<p><b>Clinics with a range of ages:</b>  <b>If youngest client is 18 or over:</b>                      T = date of clinic  <b>If youngest client is under 18:</b>                      T = 18 minus the age of the youngest client</p> <p><b>Immunization clinics of single cohort:</b>  <b>For age 18 &amp; over:</b>                      T = end of school year  <b>Under 18 years:</b>                      T = 18 minus age of youngest client</p> <p><b>Consents</b>                      T = end of calendar year</p> <p><b>Statements of Conscience:</b>  <b>If under age 18:</b>                      T = 18 minus age of client as of date of completion of form  <b>If age 18 or over:</b>                      T = date of completion of form</p> <p>Total Retention = up to 33 years</p> <p>1, 2, 3, 4, 5, 6, 7, 8, 10, 13</p>

**Public Health Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	02		Medical Directives and Medical Delegations	<p><u>Medical Directive</u>: A formal written order for a procedure or a series or procedures that may be implemented for a number of clients when specific circumstances exist. A directive is always written by a regulated health professional who has the legislative authority to order the procedure for which she/he has ultimate responsibility.</p> <p><u>Medical Delegation</u>: A formal written document in which a regulated health professional who has the authority and competence to perform a procedure under one of the controlled acts delegates the performance of that procedure to another individual.</p>			P			Public Health	

### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	03		Program Operations	<p>Records associated with program management, administration and service delivery of the full range of programs operating within Hamilton PHS.</p> <p><u>Includes:</u> All record types related to the management and administration of Public Health Services programs; operational plans; day planners*; paper notebooks*, electronic notebooks* capturing transitory information; personal health information captured in the referral/intake process where the individual never becomes a client (voluntary programs only); client scheduling; medical equipment maintenance records***.</p> <p><u>Excludes:</u> Financial records (<i>see Finance and Accounting FA</i>); Contracts and Agreements (<i>see Legal Affairs LA 03 01/ LA 03 02</i>); Employee Records (<i>see Human Resources HR</i>); Ministry Reporting (<i>see AD 11 Intergovernmental Relations</i>); clients referred for mandatory follow-up (<i>see PH 01 01 to PH 01 01 03 Client &amp; Case Files</i>)</p>	C+2	4	C + 6*  Dental Steriliza-tion equipment C+10 yrs***	Y	Y**	Public Health	<p>*Day planners /Notebooks/ Electronic notes are maintained for C + 2 years then destroyed.</p> <p>***Maintenance Records for Sterilization equipment (dental) C+ 10 yrs</p> <p>**Archival Review: Minutes, plans and reports related to the development and management of specific programs</p>

### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	04		Health Promotion & Program Delivery	<p>Records associated with information on the development, implementation and evaluation of programming of the following:</p> <ul style="list-style-type: none"> <li>- Healthy Eating</li> <li>- Healthy Weights</li> <li>- Comprehensive Tobacco Control (includes prevention, cessation and control of tobacco use)</li> <li>- Food Handling and Safety</li> <li>- Physical Activity</li> <li>- Exposure to ultraviolet radiation</li> <li>- Workplace Wellness Programs</li> <li>- School Health</li> <li>- Prevention of Injury and Substance Misuse</li> <li>- Violence Prevention and Mental Health Promotion</li> <li>- Reproductive Health</li> <li>- Child Health</li> <li>- Dental Health</li> <li>- Infectious Disease Prevention &amp; Control (includes promotion of infection control practices)</li> <li>- Rabies Prevention and Control</li> <li>- Sexual Health, STI's, and Blood-borne Infections Prevention</li> <li>- Tuberculosis Prevention</li> <li>- Vaccine Preventable Disease Promotion</li> <li>- Safe Water</li> <li>- Emergency Preparedness (health promotion activities only)</li> <li>- Epidemiology (health promotion activities only)</li> <li>- Determinants of Health</li> </ul>	T+2	4	T + 6	Y	Y*	Public Health	*Archival review: include but not limited to reports of the Medical Officer of Health; statistical research reports on program effectiveness
				<p><u>Includes:</u> Documents related to the development of healthy public policies, initiatives, distribution lists, correspondence, presentations, inventories of program materials.</p> <p><u>Excludes:</u> PH 01 Client &amp; Case Files ; Rabies investigation records ( see PH 11 Vector Borne Disease Investigations &amp; Rabies Investigations ); boil water advisories ( see PE 05 Premise Inspections and Enforcement ); emergency preparedness plans, business continuity plans, and emergency preparedness mock/training exercises ( see EM06 01 - Emergency Preparedness Planning ); Research and Evaluation (see PH 05 Research, Evaluation) .</p>							

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	05		Research and Evaluation	<p>Records associated with research and evaluation activities conducted by PHS Programs.</p> <p><u>Includes:</u> Research and evaluation projects and plans, situational assessments, program reviews, questionnaires, surveys, needs assessments, research ethics, research data, literature searches and references, findings reports, dissemination strategies and information, benchmarking, resources, tools, workshops, in-services, presentations related to research and evaluation methods and best practices for specific research and evaluation project, and research funding opportunities.</p> <p><u>Excludes:</u> Financial research proposal and submissions (<i>see Grants &amp; Loans FA 11</i>)</p>	C +2	5	T + 7 up to P*	y	Y**	Public Health	<p>T = Completion of research.</p> <p>*Retention of research conducted through a Research Ethics Board may be determined by the agreement signed off by the investigating parties; or assessed on a case by case basis.</p> <p>**Archival Review: Records which describe research protocols, findings and research evaluation</p>

### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	06	01	Premise Inspections and Enforcement	<p>Records associated with information related to premise inspections and documentation related to complaints/service requests on food safety, safe water, health hazards, and infectious diseases.</p> <p><u>Includes, but not limited to:</u> All records, related to inspection of food service settings, long term care facilities, retirement homes, day care centres, hospitals, detention centres, personal service settings, funeral homes, pools, spas, septic systems, boil water advisories, and individual complaints or service requests (e.g. for an inspection). NOTE: Court files of charges/tickets that have been resolved are considered transitory notes since the original records are given to the court. Therefore these copies can be destroyed after 1 to 2 years.</p> <p><u>Excludes:</u> Outbreak client records or records related to personal illness (<i>see PH 01 Client Records</i>); Records related to Smoke Free Ontario Act (<i>see PH 09</i>); Black Books (<i>see Inspectors'/Officers' Notes PH 05 02</i>); Cold Chain Inspections (<i>see PH 05 03</i>)</p>	T+2		T + 15	Y	N	Public Health	<p>Complaints/Service Requests: 2</p> <p>Boil Water Advisories: 9</p>

## Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	06	02	Inspectors'/ Officers' Notes	<p>Note books (Black Books/field notes) used to document relevant data in the process of conducting inspections and enforcement which may be used as by inspectors or officers as memory aids to present evidence in legal proceedings.</p> <p><u>Includes, but not limited to:</u> Notes and photgrpahs made electronically when the officer uses a computer or other electronic devices to records noes in place of notebooks.</p>			T+15			Public Health	T = date of last entry  2
PH	06	03	Vaccine Cold Chain	Records associated with vaccine cold chain inspections.			T+15			Public Health	2
PH	07		Accreditation and Continuous Quality Improvement	<p>Records associated with compiling, researching and submitting all information subject to accreditation processes, including accreditation review and assessment.</p> <p><u>Includes:</u> Correspondence re: Accreditation, summary reports; Accreditation project files; final assessmsent; project scope and planning; Ontario Public Health Organizational Standards assessment and related materials.</p> <p><u>Excludes:</u> Original corporate or departmental policy documents. (See AD 07 Policies &amp; Procedures); business process reviews (see PH 16 Project Management)</p>	C + 1	6	T + 7	N	N	Public Health	T = End of accreditation period.

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**



### Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	08		Vaccine Preventable Diseases Health Protection and Disease Prevention	<p>Records associated with health protection activities related to vaccine preventable diseases such as the storage, distribution, and inventory management of vaccine.</p> <p><u>Excludes:</u> Cold Chain Inspections (see PH 05 03) Premise Inspections and Enforcement); Client records (see PH 01 01 &amp; PH 01 03 Client &amp; Case Files), Vaccine Preventable Health Promotion activities (see PH 03 Health Promotion Program Delivery)</p>	C+1	2	C + 3	Y	N	Public Health	
PH	09		Medical (OHIP) and Dental Claims Processing	Records associated with submission and administration of OHIP claims for Sexual Health and Clinical Services. Also includes payment of Dental claims by Hamilton PHS and OHIP claims.	C + 2	10	C + 12	N	N	Public Health	
PH	10		Comprehensive Tobacco Control Enforcement & Investigation	<p>Records associated with information related to comprehensive tobacco control and the enforcement of the Smoke-Free Ontario Act.</p> <p><u>Includes:</u> Documents related to Tobacco Enforcement, Smoke-Free Ontario (SFO), warning letters, and signage.</p> <p><u>Excludes:</u> Health promotion records (see PH 03 Health Promotion &amp; Program Delivery); Tobacco Cessation Client Records (see PH 01 Client and Case Files); Black books (see Inspectors'/Officers' Notes PH 06 02)</p>	C+2	4	T + 7	N	N	Public Health	T = ticket "closed" 12

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

## Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	11		Outbreak Management	<p>Records associated with the monitoring, reporting, prevention, containment and management of communicable/reportable disease outbreaks.</p> <p><u>Includes:</u> Client line lists, client interview tools and documentation, outbreak meeting minutes, email correspondence, documentation of control measures, iPHIS records, lab results, notifications to laboratories, media releases, medical advisories.</p> <p><u>Excludes:</u> Promotion of Infectious Disease Control practices (<i>see PH 03 Health Promotion &amp; Program Delivery</i>); and vaccine/medication distribution (<i>see PH 07 Vaccine Preventable Diseases Health Protection and Disease Prevention</i>); Incident Management System documentation of an outbreak response (<i>see EM06 02 - Emergency Response</i>).</p>	T+2	8	T + 15	N	Y*	Public Health	*Archival Review: reports or minutes related to Outbreak Management should be retained permanently
PH	12		Vector-Borne Disease Investigations & Rabies Investigations	<p>Records associated with information related to the investigations of and/or surveillance of diseases such as rabies and vector-borne diseases, which include, but are not limited to, West Nile Virus and Lyme disease.</p> <p><u>Excludes:</u> Client records (<i>see PH 01 01 Client Records</i>), West Nile Virus Registry (<i>see West Nile Virus Registry PH 12</i>)</p>	C+2	4	C + 6	N	N	Public Health	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

**Public Health Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	13		West Nile Virus Registry	Records associated with the collection of personal health information of residents who have voluntarily submitted their names to be contacted in the event Public Health Services determines the need to apply an adulticide (fogging) within the City.	S		S	N	N	Public Health	S = superseded (Individual is known to no longer reside in the City of Hamilton).
PH	14		Disease Inventory and Control - Epidemiology	Records associated with population-based disease research, inventory, data collection, analysis and monitoring.  <u>Includes:</u> Medical research; precedent cases; disease statistics and inventory; epidemiological studies, data and reports; population health and health demographic surveys; health informatics.  <u>Excludes:</u> Quality of services received, i.e. survey or questionnaire re: satisfaction of service; research and evaluation (see PH 05 Research and Evaluation).	C+1	14	P*	N	Y	Public Health	*Permanent subject to selection at end of inactive retention period.

**Public Health Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	15		Health Statistics and Surveillance	<p>Records associated with the provision of health statistics and other data related to health behaviours, risks and trends. Utilizing such databases as (but not limited to) iPHIS, HELPS, RRFSS, CCHS and census data, statistics are produced and interpreted in order to support evidence-informed program decisions.</p> <p><u>Includes:</u> Health statistics and epidemiology, requests tracking, data access, collection and management, data sets and analysis, technical notes, graphs, tables, maps, abstract submissions, oral/poster presentations, socio-demographic reports and health status reports, factsheets, surveillance reports, reporting and dissemination strategies and related information.</p> <p><u>Excludes:</u> Contact tracing (see PH 01 01 Client &amp; Case files) .</p>	C+2	5	P*	N	Y	Public Health	* P - Demographic, health status reports & surveillance summary reports

**Public Health Services**

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
PH	16		Medical Officer of Health	<p>Records associated with operations, accountability, leadership, advice and decision-making directed or issued by the Medical Officer of Health.</p> <p><u>Includes:</u> Records demonstrating the accountability of the Medical Officer of Health to Citizens; records having evidentiary or legal purpose; Correspondence; program structure and strategy documentation; correspondence with MOHLTC and other provincial/federal ministries, reports to MOHLTC and other provincial/federal ministries .</p> <p><u>Excludes:</u> General staffing files for Full Time/Part Time employees, volunteers and students (<i>See HR</i> )</p>	C + 1	14	P*	N		Public Health	2, 11 * Archival
PH	17		Project Management	<p>Records related to initiating, planning, executing, monitoring, controlling and closing PHS projects and business process reviews.</p> <p><u>Includes, but not limited to:</u> Project plans, charters, schedules, reports, directives, change requests, project data, minutes, status updates, communications, deliverables.</p> <p><u>Excludes:</u> Projects related to direct program and service delivery (<i>see PH 03 Health Promotion &amp; Program Delivery</i>)</p>	T+1	6	T+7			Public Health	T = completion of the project.  Project is defined as an initiative with a beginning and an end.

**Citations**

- 1 Medicine Act, 1991, General, O. Reg 114/94 s.19(1)
- 2 Limitations Act, 2002, S.O. 2002, c.24, Schedule B, ss.15(1)(2)
- 3 General Regulation under Municipal Freedom of Information and Protection of Privacy Act, R.R.O. 1990.

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

## Public Health Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks/Citations
											4 College of Nurses of Ontario Practice Guideline Independent Practice, 2014
											5 College of Dietitians of Ontario Records Keeping Guidelines for Registered Dietitians, 2014
											6 The College of Physician and Surgeons of Ontario, Policy Medical Records, May 2012
											7 Royal College of Dental Surgeons of Ontario (Guidelines Dental Recordkeeping, May 2008)
											8 Child and Family Services Act, R.S.O. 1990, C.C.11, s.54
											9 Records of Site Condition - Part XV.1 of the Act Regulation, under the Environment Protection Act, O. R. 153/04, ss. 16, 18
											10 Mandatory Blood Testing Act, 2006, S.O. 2006, c. 26.
											11 Evidence Act, R.S.O. 1990, c. E.24
											12 Smoke Free Ontario Act, S. O. 1994, c. 10, s. 14.(14)
											13 Drug and Pharmacies Regulation Act, R. S. O. 1990, c. H.4, ss. 156. (1),(2); as am. S.O. 1991, Vol. 2, c. 18, s. 47. (16); s. 156

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Social and Health Care Services

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
SH	01		Children's Day Nursery Services	Records associated with the planning, regulation, funding and administration of municipal and private child care facilities.	T	6	T+6	Y	Y	Comm Service	T=discharge of client Fire drills are kept for 2 years and Inspection reports
SH	02		Elderly Assistance	Records associated with municipal elderly assistance programs.	C+2	3	C+5	N	Y	Comm Service	Fire drills 2 years
SH	03		Homes for the Aged Residents	Records associated with the management of nursing homes.	T+2	5	T+7	N	Y	Comm Service	T=Date of last entry Records pertaining to a resident can be destroyed 5 years
SH	04		Social Assistance Programs	Records associated with City social assistance programs.	C+2	3	C+5	N	Y	Comm Service	
SH	05		Welfare Case Records	Records associated with welfare case records.	T+2	5	T+7	N	Y	Comm Service	T=File closed
SH	06		Medical Case Records	Records associated with medical case records.	T+2	8	T+10	N	Y	Public Health	T=Discharge of patient
SH	07		Children's Services	Records associated with children's services.	C+2	3	C+5	N	Y	Comm Service	Child abuse records must be kept for 25 years
SH	09		Day Nursery Case Records	Records associated with the planning, regulation, funding and administration of municipal and private day nursery care facilities.	T	6	T+6	N	Y	Comm Service	T=Discharge of child
SH	10		Social Housing Administration	Records associated with the regulation, funding and administration of social housing.	T	P	P	Y	Y	Planning	T=Discharge of mortgage
SH	11		Social Housing Tenant Records	Records associated with tenant records.	T	7	T+7	N	Y	Planning	T+file closed

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Transportation and Roads

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
TS	01		Illumination	Records associated with the installation, inspection and repair of equipment used to illuminate streets and pedestrian crossover lights.	T	6	T+6	N	N	Public Works	T=Completion of project specifications
TS	01	01	Lighting Installation and Maintenance	Records relating to the types and maintenance of lighting devices used to illuminate streets and pedestrian crossovers.	T+2	13	T+15	N	N	Public Works	T = Removal of Asset.
TS	02		Parking	Records associated with municipal parking issues. This series includes handicapped parking, fire routes, parking facilities and parking meter reports.	T	6	T+6	N	N	Public Works	T=Closure of lot or space
TS	03		Public Transit Operations	Records relating to the operation of public transit	C+2	7	C + 9	N	N	Public Works	
TS	03	01	Accessible Transportation	Records associated with the provision of Accessible Transportation Services including DARTS, Taxi Scrip and the HSR Support Person programs including confidential client information, incident reports, and general correspondence. Incorporate records associated with Accessible Transportation	T	7	T+7			Public Works	T= Termination of Service
TS	03	02	Transit Customer Experience and Innovation	Records related to accessible transit service (ATS) and public consultation	C+1	10	C+11	N	N	Public Works	
TS	03	03	Transit Revenue	Records relating to fare and revenue collection	C+1	6	C+7	N	N	Public Works	
TS	03	04	Public Transportation Planning	Records relating to public transportation route planning.	C+2	10	C+12	N	N	Public Works	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event



### Transportation and Roads

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
TS	03	05	Public Transportation Scheduling	Records relating to public transportation scheduling	C+2	10	C+12	N	N	Public Works	
TS	03	06	Public Transportation Infrastructure	Records relating to public transportation infrastructure	C+2	17	C+19	Y	N	Public Works	
TS	04		Road Construction	Records associated with road construction projects such as the design and planning of new roads, road improvements, resurfacing and bridge widening.	T	6	T+6	Y	Y	Public Works	T=Completion of project. Specifications are kept permanently.
TS	04	01	Infrastructure Design and Construction	Records relating to the design and construction of horizontal and vertical infrastructure including roads, bridges, sidewalks, cycling paths, landfills, sanitary and storm sewers, waterfront, parks, trails.	T+2	13	T+15	N	Y	Public Works	T = End of Warranty Period or completion of construction, whichever is longer. Planning comments are maintained until project is
TS	05		Road Design and Planning	Records associated with the planning and design of City roadways.	T	6	T+6	N	Y	Public Works	T=Completion of project. Specifications are
TS	06		Road Maintenance - Regular Maintenance	Records relating to the maintenance of roads that includes culverts, minor road surface repairs, curbs, medians, sidewalks, etc. It also includes ploughing, grading, salting and the removal of snow from the City main roadway, bike lanes and sidewalks, which are undertaken to ensure public safety.	T + 2	13	T+15	Y	N	Public Works	T=Completion of project/Maintenance and repairs completed.

### Transportation and Roads

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
TS	06	01	Roads Maintenance - Water/Wastewater/Stormwater Assets	Records relating to the maintenance of City roads. This includes the ongoing maintenance of culverts, catch basins, storm sewers, water mains, curbs, and medians. May include information on grading, minor road surface repairs, and securing safe use of manholes.	T+2	3	T+5	N	N	Public Works	T = Life of Asset
TS	06	02	Roads Inventory Management	Records relating to the management of roads inventory and classification data, which list road names and areas. These data document the status and condition of City roads, including both major arterial roads and minor roads.	S	P	P	N	N	Public Works	
TS	06	03	Road Maintenance Standards and Reports	Records relating to the inspection and reporting on the maintenance standards within the road right-of-way, specified by the municipal act, or standards modified by council approval. Including but not limited to maintenance standards for lighting, sidewalks, bike lanes, roadways, traffic signs and signals, bridges deck spalls, winter patrol regulatory signs, weather monitoring.	S + 2	13	S + 15	Y	Y	Public Works	

### Transportation and Roads

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
TS	06	04	Road Assumptions and Reversions	Records relating to issues and decisions concerning road assumptions and reversions. Road assumptions concern roads for which the City assumes responsibility for maintenance, whereas road reversions concern roads for which non-municipal organizations assume maintenance responsibility (e.g. roads running through private property).	T	15	T+15	N	Y	Public Works	T = Completion of case.
TS	07		Traffic Signs and Signals Equipment	Records relating to the manufacture, installation, and inspections of traffic signs and signals equipment.	T+2	13	T + 15	N	N	Public Works	T = Removal of Asset.
TS	08		Traffic Control Signals, Pedestrian Crossovers, and Turn Lanes/Intersections	Records relating to the investigative and analytical decision-making processes used to determine the need to install, improve, or remove traffic control signals (TCS), pedestrian crossovers (PXO), and turn lanes at intersections.	T + 2	13	T + 15	Y	N	Public Works	T = End of life of asset
TS	09		Roads and Lane Closures	Records associated with the closure of lanes and roads.	C	P	P	N	Y	Public Works	Temporary closures 2 years
TS	09	01	Temporary Road and Lane Closures	Records relating to temporary road closures for purposes of construction and events such as parades and movie filming.	T	15	T+15	N	N	Public Works	T = Expiration of granted order.
TS	10		Bridge Plans	Records associated with the plans for the construction, maintenance and restoration of bridges.	C	P	P	Y	Y	Public Works	
TS	10	01	Bridge Maintenance	Records relating to the routine and ongoing maintenance and repairs of City bridges.	T+2	13	T+ 15	Y	Y	Public Works	T = Maintenance and repairs completed.

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Transportation and Roads

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
TS	11		Cycling Paths	Records associated with general information on cycling paths, which includes maps and locations of paths	S	-	S	N	N	Public Works	
TS	12		Railways and Crossings	Records associated with railways, signals and line closures.	C	P	P	Y	Y	Public Works	
TS	13		Sidewalk Maintenance	Records relating to the sidewalk inspection program, sidewalk maintenance, temporary and permanent repairs of City sidewalks. Excludes winter maintenance (see TS 06)	T+2	13	T+15	N	N	Public Works	T = Maintenance or orders completed, or until next inspection cycle.
TS	14		Motor Vehicle Accident Investigations	Records relating to motor vehicle accident reports and investigations including road conditions, lighting, etc. as well as investigative and analytical decision-making processes used to determine the need to install, improve, or remove traffic control signals (TCS), pedestrian crossovers (PXO), and turn lanes at intersections.	T	4	T+4	N	N	Public Works	T=completion of investigation and Corrective Actions
TS	15	01	Engineering Business Planning Programs	Records relating to citywide or large geographic area studies, material reviews, program specific consulting and business planning records	C+2	P	P	Y	Y	Public Works	
TS	15	02	Engineering Standards, Policies and Quality Assurance	Records relating to standards, policies, and quality assurance for engineering projects	S	P	P	Y	Y	Public Works	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Vehicles and Equipment

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
VE	01		Fleet Management	Records relating to the management and maintenance of leased or owned city vehicles. May include cars, trucks, vans, garbage collection vehicles, snow removal vehicles, street cleaning vehicles, busses etc.	T	2	T+2	N	N	Public Works	T = Life of asset.
VE	02		Transportable and Mobile Equipment	Records relating to transportable equipment (equipment not intended to be carried by a person nor intended for fixed installation) and mobile equipment.	T	2	T+2	N	N	Fleet	T=Life of Equipment
VE	03		Transportable Equipment	Records associated with transportable equipment.	T	2	T+2	N	N	Fleet	T=after disposal of vehicle
VE	04		Protective Equipment	Records associated with protective equipment.	T	2	T+2	N	N	Fleet	T=after disposal of vehicle
VE	05		Garage Management	Records relating to the management of City vehicle garages including inspections and maintenance.	C	1	C+1	N	N	Fleet	
VE	05	01	Garage Reports	Records associated with the management of City vehicle garages. This series includes gasoline tickets, garage issues, vehicle usage cards and vehicle report cards.	C+1	-	C+1	N	N	Fleet	
VE	05	02	Vehicle Record of Repairs and Mileage	Records associated with the mileage summary and repairs of vehicles used by municipal employees.	C	1	C+1	N	N	Fleet	

C - Current Year; P - Permanent; S- Superseded; T - Termination of an event

### Vehicles and Equipment

Primary	Secondary	Tertiary	Series Title	Scope Notes	Active	Inactive	Total Retention	Vital Record	Archival Record	Responsible Dept.	Remarks
VE	05	03	Vehicle Inspections	Records relating to vehicle inspections conducted by the City and other organizations.	C	2	T + 2	N	N	Fleet	T=Termination of asset/vehicle
VE	05	04	Vehicle Fuel Records	Records relating to fuel usage records for City vehicles. Notes: Liquid Fuels Handling Code – Document Ref. No.: FS-235-18 1. Clause 1.2.4 is revoked and the following substituted: 1.2.4. Except for section 3.2.2, any record required to be created, maintained or retained by this Code shall be kept for seven years.	C	6	C + 6	N	N	Fleet	

**C - Current Year; P - Permanent; S- Superseded; T - Termination of an event**

This is Exhibit "C" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

<b>Corporate Human Resources Policy</b>		Content Updated: 2020-02-12
Work Environment		
Policy No: HR-01-09		
Page 1 of 6		Approval: 2014-09-24

## ***Code of Conduct for Employees***

<b>POLICY STATEMENT</b>	<p>The residents and businesses of the City of Hamilton are entitled to fair, ethical and accountable local government administration. Accordingly, the City of Hamilton has high expectations of its employees for integrity and ethical conduct in their service to the community.</p> <p>The City recognizes that employees strive to perform their duties in a manner that maintains and enhances public confidence and trust in the integrity, objectivity and impartiality of the City, understanding that trust and mutual respect are the cornerstones of any relationship between the public and its municipal government.</p> <p>City employees owe a duty of loyalty and commitment to the City as a condition of accepting employment with the City of Hamilton. In serving the public interest they are entrusted with access to a wide range of information, resources and responsibilities. The City expects its employees to operate with a sense of honesty and accountability in accordance with the values and goals established in the Mission, Vision and Values of the City.</p>
<b>PURPOSE</b>	<p>The City of Hamilton’s work is diverse, multi-faceted and complex. Consequently, City employees must be independent, impartial and responsible to the public in carrying out their duties. By signing the Code of Conduct for Employees, employees acknowledge and accept responsibility to act and behave in a manner that is consistent with the expectations prescribed in this Policy. Employees collectively benefit from an overall atmosphere of high ethical conduct that flows from this commitment.</p> <p>While it is not possible to cover every possible conflict of interest situation that might arise, this Policy and the related Schedules outline the City’s expectations regarding real and apparent conflicts of interest between an employee’s personal interests and the best interests of the City of Hamilton. If employees have questions or are unclear whether they have a conflict of interest, they are encouraged to discuss the situation with their supervisors or managers.</p>
<b>SCOPE</b>	<p>This Code of Conduct and all related Schedules apply to all City employees, including but not limited to regular, temporary and contract employees, volunteers, students and interns (collectively called “Employees”).</p>





**PRINCIPLES**

Employees of the City of Hamilton are guided by the following principles:

1. We are a government that the community has confidence and trust in. We are conscious of our City’s public duty and the part that each of us plays in carrying out this duty.
2. We have high ethical standards and are accountable for our actions.
3. We are respectful of each other and towards members of the community we serve. We treat all with dignity and without discrimination.
4. We live our corporate values and demonstrate our shared principles through our work practices, our decisions, and our interactions.
5. We act with Integrity avoiding actual or perceived conflicts of interest.
6. We promote and foster a safe, secure and healthy work environment for all.
7. We abide by the law and adhere to all City of Hamilton policies and procedures.
8. We are conscious of our role as public servants and ambassadors of the City of Hamilton and do not engage in any conduct or business practice which might bring the reputation of the City into ill-repute or damage or diminish the reputation of the City in the eyes of members of the community.

The Code of Conduct for Employees is one element of the City of Hamilton’s broader ethical program that underlies, supports, and is reflective of the City of Hamilton’s corporate culture.

**TERMS & CONDITIONS**

All employees are responsible and accountable for using good judgment in the exercise of their duties and must carry out those duties in accordance with the principles within this policy and its related schedules.



Each Employee shares the obligation of ensuring compliance with the Code. They are required to address any situations of existing or potential non-compliance with the Code that they suspect or become aware of.

Employees are required to report all conflicts of interest that may come to their attention to the City Manager, their General Manager or equivalent (hereafter "General Manager"), director, manager, or supervisor.

Some City of Hamilton Employees belong to Professional Associations that are guided by their own Code of Conduct and Ethics that may have greater or lesser standards than are outlined within this policy. These external Codes do not replace the obligations that Employees have under the City's Code of Conduct and Employees should act to the highest standard.

**RESPONSIBILITIES**

The following positions and/or departments are responsible for fulfilling the responsibilities detailed in this Policy as follows:

**City Manager**

- Provide overall administration of the Policy to ensure implementation and compliance
- Provide guidance in interpreting the Policy
- Oversee annual review of this Policy to ensure it continues to reflect changing needs and responsibilities of the City's employees and administration

**Human Resources**

- Educate new employees and distribute copy of Policy during corporate orientation
- Assist managers with interpretation and application of the Policy
- Ensure reference to Policy in all employment agreements Request a signature of new employees, verifying that they have seen, read and understand their responsibility under the Policy. Signed letter shall be filed with employee's personnel file in Human Resources.
- Investigate violations of this Policy, subject to the application of the Whistleblower By-law, with the assistance of Audit Services and/or Hamilton Police Services if required
- Provide support and consultation to Supervisors and Managers in determining and assessing risk related to the Code of Conduct
- Review the Policy on an annual basis and update as



**General Managers**

necessary

- Administer the Policy and ensure compliance
- Provide guidance in interpreting the Policy
- Deal fairly and firmly with any confirmed violations of the Policy

**Directors, Managers, Supervisors, and Elected Officials**

- Ensure that all employees have received a copy of the Policy and are provided with any updates
- Ensure that employees review and sign off on the Code of Conduct annually
- Incorporate Ethics and Code of Conduct discussions into staff meetings
- Highlight any areas that have particular relevance, given the nature of the employee’s work
- Identify, in consultation with Human Resources, any positions that may pose a risk based on the terms and conditions of the Code of Conduct and its related Schedules
- Consult with General Manager, Human Resources or City Manager if interpretation of the Policy is required
- Report any violations of the Policy to the General Manager

**Employees**

- Subscribe with signature as part of employment offer prior to, or on first day of employment, or following orientation with supervisor, that he or she has read and agrees to abide by the Code of Conduct for Employees
- Annually review and sign off on this Policy
- Adhere to the standards outlined in this Policy
- Seek clarification if unsure about any information included in this Policy
- Consult with their immediate manager for guidance if they suspect a potential breach of this Policy

**COMPLIANCE**

Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Policy may result in appropriate disciplinary measures, up to and including dismissal.



**ATTACHED SCHEDULES**

- A) Conflict of Interest
- B) Fees, Gifts and Hospitality
- C) Financial and Business Integrity
- D) Outside Employment and Activity
- E) Anti-Nepotism
- F) Interacting with the Office of the City Auditor
- G) Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety

**RELATED**

The following policies and acts are related to the Code of Conduct, and employees must be aware of and abide by these policies:

- Computer and Technology Acceptable Use Policy
- Fraud Policy & Protocol
- Harassment & Discrimination Prevention Policy
- *Municipal Freedom of Information Act*
- *Personal Health Information Protection Act*
- Personal Harassment Prevention Policy
- Procurement Policy By-law
- Substance Abuse Prevention Policy
- Equity and Inclusion Policy
- Violence in the Workplace Prevention Policy
- Whistleblower By-Law

**HISTORY**

The following stakeholders were consulted in the creation or revisions made to this Policy:


- Legal Services
- Corporate Policy Review Group
- Human Resources Leadership Team
- Senior Management Team (SMT)

This Policy replaces the former Code of Conduct for Employees Policy approved by Council on 2009-11-11

This policy was approved by Council on 2014-09-24

Schedule C: Business and Financial Integrity was revised and approved by Council on 2015-05-08

The inclusion of Schedule E: Anti-Nepotism was approved by Council on 2016-06-22

<b>Corporate Human Resources Policy</b>	 Hamilton	Content Updated: 2020-02-12
Work Environment		
Policy No: HR-01-09		
Page 6 of 6		Approval: 2014-09-24
	<p>Revisions to Schedule D: Outside Employment and Activity; and the inclusion of Schedule F: Interacting with the Office of the City Auditor were approved by Council on 2019-10-09.</p> <p>The Inclusion of Schedule G: Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety was approved by Council on 2020-02-12.</p>	



<i>Human Resources</i>	
<b>Code of Conduct for Employees Procedure</b>	
<b>PURPOSE</b>	This procedure outlines the steps to implement the Code of Conduct for Employees and its attached Schedules (collectively referred to as the Code of Conduct).
<b>SCOPE</b>	This procedure applies to all City employees, including but not limited to regular, temporary and contract employees, volunteers, students and interns (collectively called “employees”). This procedure also applies to Members of Council in their role as supervisors of City of Hamilton Employees.
<b>DEFINITIONS</b>	
<b>Manager Once Removed</b>	The manager of an employee’s direct supervisor
<b>Supervisor</b>	A person who directly oversees the work of an employee
<b>ANNUAL REVIEW OF THE CODE OF CONDUCT</b>	On an annual basis, <b>Supervisors</b> will: <ul style="list-style-type: none"><li>○ review the Code of Conduct, highlighting the provisions most applicable to their business</li><li>○ provide employees with training, or set up a meeting(s) with their direct reports to discuss Code of Conduct responsibilities, the Code of Conduct Acknowledgement Form, and to answer any questions that are posed</li><li>○ Where the employee’s position may bring them into greater risk under the Code of Conduct, highlight these areas during the discussion or training</li><li>○ provide information to employees with regard to the Code of Conduct Disclosure Form</li><li>○ consult with the Policy and Planning Specialist in Human Resources for advice or guidance as needed</li><li>○ sign the Code of Conduct Acknowledgement Form to confirm that the discussion was held</li><li>○ request that the Employee sign the Code of Conduct Acknowledgement Form</li></ul>

In the event that an Employee chooses not to sign the Code of Conduct Acknowledgement Form following the discussion, the Supervisor will record a brief note indicating the refusal at the bottom of the form and indicate partial completion in the Code of Conduct Tracking File provided by Human Resources.

Within the first 90 days of employment, all **new Employees** to the City of Hamilton will:

- review the Code of Conduct for Employees policy
- seek clarification from their Supervisor as needed
- acknowledge understanding of the Code by signing the Code of Conduct Acknowledgement Form
- Return form to their Supervisor

On an annual basis, all **Employees** will:

- review the Code of Conduct
- seek clarification on the Code of Conduct from their supervisor as needed
- acknowledge understanding of the Code by signing the Code of Conduct Acknowledgement Form

### **Annual Retention and Reporting of Signed Code of Conduct Forms**

Once a Code of Conduct Acknowledgement Form has been signed and submitted, the **Supervisor** will:

- file the Code of Conduct Acknowledgement Form in a secure location within the department
- Record date of meeting and sign off in a Code of Conduct Tracking File distributed by Human Resources
- report sign-off completion rates to their General Manager
- Submit Code of Conduct Tracking File to Human Resources on an annual basis

Note: It is important that all Code of Conduct Acknowledgement Forms are retained by departments and filed in a secure location. Departments may be audited at any time to ensure compliance.

## MAKING DISCLOSURES UNDER THE CODE OF CONDUCT

### Disclosing a Real or Potential Breach of the Code of Conduct

On an annual basis, **Human Resources** will:

- Distribute a Code of Conduct Tracking File to departments
- compile and input data received from tracking file
- provide an annual report on Code of Conduct sign off to Senior Management Team

Employees have a duty to disclose any real or potential breach of the Code of Conduct as soon as they become aware of a breach.

If a situation arises where an Employee feels that they may be in breach of the Code of Conduct, the **Employee** will:

- consult with their supervisor, another member of their departmental management team, or contact Human Resources for guidance
- advise of a potential breach by completing and submitting the Confidential Code of Conduct Disclosure Form
- provide further information when requested

Once notified of a potential breach of the Code of Conduct, the **Supervisor, or Member of the Departmental Management Team** will:

- discuss the details of the potential breach with the employee
- consult with Human Resources for guidance and policy interpretation to determine if there is a breach or potential breach of the Code of Conduct
- based on the evidence presented, make a recommendation to the Manager Once Removed from the employee as to whether the situation disclosed is a breach of the Code of Conduct
- forward the Confidential Code of Conduct Disclosure Form to the Manager Once Removed for review
- once a final determination is made by the Manager Once Removed, the supervisor or member of the departmental management team will inform employee



of the decision and the steps to be taken

**The Manager Once Removed will:**

- review the Employee's disclosure and the evidence presented through the Confidential Code of Conduct Disclosure Form
- review the recommendation(s) of the supervisor/management
- consult with Human Resources as required
- if a determination is made that there is no violation of the Code of Conduct or that the perceived violation is of benefit to the City, indicate agreement on the disclosure form and sign off
- if permitted, outline the steps (if any) that the employee shall take in order to manage the situation appropriately
- if a determination is made that there is a breach of the Code of Conduct that cannot be permitted to continue, provide instructions for the employee to withdraw from participating in the issue at hand
- escalate to a higher authority for consideration where the issue is significant and/or has the potential to adversely impact the corporation
- consult with Human Resources regarding potential disciplinary action
- advise the supervisor/management of their finding(s) and provide a copy of the completed Confidential Code of Conduct Disclosure Form
- forward the original copy to Human Resources, retain one copy and forward copy to supervisor/management

**If an Employee Becomes Aware of a Violation of the Code of Conduct by another Employee**

In the event that an Employee becomes aware of a situation that is in violation with the Code of Conduct, and the situation represents a serious wrongdoing as defined in the Whistleblower By-Law 09-227 such that the Employee is concerned that their disclosure may have negative repercussions, the employee is advised to make a report under the Whistleblower By-Law 09-227.

If an Employee becomes aware of a situation that may be in

breach of the Code of Conduct, and chooses not to disclose through the Whistleblower By-Law 09-227;

**The Employee will:**

- promptly notify their supervisor or a member of the departmental management team of the potential violation
- provide information as requested

**The Supervisor or Member of the Departmental Management Team will:**

- notify the Manager once removed of a potential violation of the Code of Conduct
- consult with Human Resources for guidance
- investigate the allegation and document findings
- forward findings to the Manager once removed for consideration
- implement next steps as determined by Manager once removed

**The Manager once removed will:**

- review the findings of the investigation
- consult with Human Resources, as appropriate
- escalate to a higher authority for consideration where the issue is significant and/or has the potential to adversely impact the corporation
- confirm or reject the finding of a breach of the Code of Conduct
- make a determination as to next steps
- document decision and communicate to the supervisor or member of departmental management team
- follow through with disciplinary action if appropriate
- if violation of the Code of Conduct is found, forward all documentation to Human Resources for retention in employee file

## RECEIPT OF GIFTS OR HOSPITALITY

### Receipt of Gifts or Hospitality that exceeds \$25 but is not more than \$100

#### Human Resources will:

- provide guidance and support
- where violation is found, retain documentation in employee file

If an Employee receives a gift or hospitality with a value that exceeds \$25 but is not more than \$100, the **Employee** will:

- decline the offer if the Employee feels that the gift or extension of hospitality does not meet the criteria established within the policy
- seek approval in advance through a Gifts & Hospitality Disclosure Form, whenever possible
- complete the Gifts & Hospitality Disclosure Form and submit the form to their supervisor for approval, where advance approval was not possible
- if not approved, return gift to sender or decline invitation, and inform the gift giver of the City's policy
- reimburse the individual or group extending the hospitality if hospitality accepted was not approved upon submission of the Gifts & Hospitality Disclosure Form, The Employee will inform them of Schedule B of the Code of Conduct

Upon receipt of a Gifts & Hospitality Disclosure Form, the **Supervisor** will:

- determine whether the gift or hospitality meets the conditions of appropriate gifts as outlined in Schedule B of the Code of Conduct
- approve the Gifts & Hospitality Disclosure Form and inform the Employee of their decision if the gift meets the criteria as outlined within Schedule B
- direct the employee to return the gift or invitation, or to reimburse the giver and inform them of Schedule B of the Code of Conduct if the gift does not meet the criteria as outlined within Schedule B
- forward a signed copy of the Gifts & Hospitality Disclosure Form to the General Manager for review

**Receipt of Gift or Hospitality that exceeds \$100**

If an Employee receives a gift or hospitality that exceeds \$100, the **Employee** will:

- decline the gift or hospitality if possible or appropriate
- document receipt through the Gifts & Hospitality Disclosure Form if unable to decline
- draft a business case and include with the Gifts and Hospitality Disclosure Form if the extension of the hospitality is seen to be appropriate for business purposes,
- submit the Gifts and Hospitality Disclosure Form to their supervisor and seek guidance on next steps

The **Supervisor** will:

- review the Gifts & Hospitality Disclosure Form submitted by the employee
- consult with Human Resources and their General Manager or both if necessary
- evaluate the disclosure form and make a recommendation as to what should be done when a gift is received. This can include:
  - returning the gift to the giver
  - having the employee gain permission from the gift giving organization to redirect the gift to a charity of the organization's choosing, and attribute the donation as from that organization
  - sharing the gift with all staff by placing it in a central location e.g. floral arrangement, food item
  - directing the employee to email the organizational contact or individual who gave the gift to thank them and to inform them of Schedule B of the Code of Conduct
- sign the Gifts & Hospitality Disclosure Form, and forward it to the General Manager for signature along with a written copy of the instructions provided to the employee regarding the gift
- if the supervisor feels that it would be appropriate for the employee to accept the gift or hospitality, document reasons for an exception in the Gifts and

Hospitality Disclosure Form and forward to the General Manager for approval.

- advise the employee in writing of the final decision

**The General Manager will:**

- receive and review the completed Gifts & Hospitality Disclosure Form with employee and supervisor signature
- sign off on the form to indicate awareness of the disclosure
- if there is disagreement with the supervisor's recommendation, the General Manager will override the original recommendation and make a final determination
- approve exceptions if appropriate and supported by a strong business case.

**The City Manager will:**

- follow the same steps as outlined above for employees, and submit Gifts & Hospitality Disclosure Form to the Mayor for approval and sign-off

**If the Value of the Gift or Hospitality is Unknown**

**The Employee will:**

- make a good faith estimate of the item's fair market value
- disclose receipt of the gift or hospitality to their supervisor using the Gifts & Hospitality Disclosure Form

**Receipt of Fees**

Employees must not accept a fee for a speaking engagement, publication, or for acting as a witness where such activities relate to or are a direct result of the employee's position as a City of Hamilton employee.

If an employee receives a fee for an engagement, publication or by acting as a witness, the **Employee** will:

- notify their supervisor using a Confidential Code of Conduct Disclosure Form, of the fee and the circumstances under which it was received
- if the fee covers expenses incurred by the employee that were not covered by the City, the employee will

provide evidence of the fees incurred to their supervisor

- if the fee received is above the fees incurred, the employee must provide supporting evidence for the costs incurred and return the fee minus expenses to their supervisor

**The Supervisor will:**

- review the employee's notification of fees received
- determine whether the employee may keep the fee based on the costs incurred for their participation
- forward fees retained to the General Manager, including with the employee's notification and an explanation of the supervisor's decision
- if there is a case for exception, provide the Manager once removed with a business case

**The Manager Once Removed will:**

- review requests for exceptions related to fees for public engagements, publications and witness duties
- consult with Human Resources on each case
- approve or deny requests made for exceptions
- where the issue is of significance or has the potential to adversely impact the corporation, escalate to a higher authority for consideration

**Human Resources will:**

- Provide guidance and support as required

**Activity on Community Boards**

**Employees** who are concerned that their membership on a board may pose a conflict of interest relative to their position with the City, will:

- consult with their supervisor or Human Resources or both for guidance
- if it is unclear or where there is likelihood that a conflict exists between the employee's activity on a board and their position with the City, the employee will make a formal disclosure using the Code of Conduct Disclosure Form

**Outside Employment and Interests**

**Employees** who are concerned that their outside employment or outside interests may pose a conflict relative to their position with the City, will:

- consult with their supervisor or Human Resources or both for guidance
- if it is unclear or where there is likelihood that a conflict exists between the Employee's outside employment or outside interest and their position with the City, the Employee will make a formal disclosure using the Code of Conduct Disclosure Form

**Intellectual Property**

The intellectual property rights to any work produced by an employee through the course of their employment at the City are the exclusive property of the City. If the employee wishes to use their work in other applications, the

**Employee** will:

- make a written request to their supervisor indicating the specific work they want access to and the purpose for their request

The **Supervisor** will:

- evaluate the employee's request
- consult with Human Resources or their supervisor for guidance if necessary
- make a determination and advise employee in writing

**Return of City Property**

Upon the end of their employment with the City of Hamilton, the **Employee** will:

- promptly deliver to the City any and all property, technology, data, manuals, notes, parking passes, records, plans, or other documents, held by the Employee concerning the City's services and programs, know-how, developments, and equipment. This includes property made or prepared by the Employee and relating in any way to the affairs of the City
- request permission from their supervisor to retain samples of their work if such work is in the public domain

	<p>The <b>Supervisor</b> will:</p> <ul style="list-style-type: none"> <li>○ ensure that all City property is accounted for and returned by the employee</li>   <li>○ approve or deny requests to retain samples of work</li> </ul>
<b>COMPLIANCE</b>	<p>Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of the Code of Conduct Policy or Procedure may result in appropriate disciplinary measures, up to and including dismissal.</p>
<b>RELATED DOCUMENTS</b>	<p>The following related documents are referenced in this Procedure:</p> <ol style="list-style-type: none"> <li>1. <i>Code of Conduct for Employees</i> <ul style="list-style-type: none"> <li>• <i>Schedule A: Conflict of Interest</i></li> <li>• <i>Schedule B: Fees, Gifts, &amp; Hospitality</i></li> <li>• <i>Schedule C: Financial and Business Integrity</i></li> <li>• <i>Schedule D: Outside Employment and Activity</i></li> </ul> </li> <li>2. <i>Gifts and Hospitality Disclosure Form</i></li> <li>3. <i>Confidential Code of Conduct Disclosure Form</i></li> <li>4. <i>Whistleblower By-Law 09-227</i></li> <li>5. <i>Separation of Service: Return of Property Procedure</i></li> <li>6. <i>Code of Conduct Tracking File (in development)</i></li> </ol>
<b>HISTORY</b>	<p>The Corporate Policy Review Group was consulted in the creation of this Procedure</p>
<b>APPROVAL</b>	<p>SMT Approved this Procedure on 2015-09-10</p>



<b>Corporate Human Resources Policy</b>	 <b>Hamilton</b>	<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2014-08-18
Policy No: HR-01-09		
Page 1 of 5		Approval: 2014-09-24

**Schedule A: Conflict of Interest**

<b>PURPOSE</b>	<p>Recognizing, understanding, addressing and preventing conflicts of interest are important to ensuring that employees meet the City of Hamilton’s goal to provide fair, ethical and accountable local government.</p> <p>This Schedule provides employees with the tools to identify and address potential and real conflicts of interest that may arise when there is competition between an employee’s personal and professional interests.</p>
<b>DEFINITIONS</b>	
<b>Conflict of Interest</b>	<p>A conflict of interest is a situation in which an employee has personal or private interests that may compete with the public interests of the City of Hamilton. Such competing interests can make it difficult to fulfill his or her duties impartially. A conflict of interest can create an appearance of impropriety or a perception of bias that can undermine confidence in the person and in the City of Hamilton generally. A conflict exists even if no unethical or improper act results from it. A conflict of interest can either be an apparent conflict or a real conflict.</p> <p><b><u>Apparent Conflict:</u></b> An apparent conflict of interest exists where an informed and reasonable person reviewing the matter and having thought the matter through could conclude that a conflict of interest exists.</p> <p><b><u>Real Conflict:</u></b> A real conflict of interest exists where a personal interest exists and that interest:</p> <ol style="list-style-type: none"> <li>1. is known to the employee; and</li> <li>2. has a connection to the employee’s duties that is sufficient to influence the exercise of those duties.</li> </ol>
<b>Family Member</b>	<p>means:</p> <ol style="list-style-type: none"> <li>(a) spouse, including but not limited to common-law spouse and same-sex partner</li> <li>(b) child, mother, father, sister, brother, grandchild, grandparent, aunt, uncle, niece and nephew</li> <li>(c) mother-in-law, father-in-law, sister-in-law and brother-in-</li> </ol>

<p><b>Interests</b></p>	<p>law</p> <p>(d) step-mother, step-father, step-sister, step-brother and step-child, and</p> <p>(e) child, mother or father in a relationship where the role of parent has been assumed.</p> <p><b><u>Direct Interests:</u></b> Direct interests are those interests in which the employee has an apparent significant social relationship or financial relationship and with respect to which the employee may gain benefits or losses, advantages or disadvantages.</p> <p><b><u>Indirect Interests:</u></b> Indirect interests are those interests in which the employee, by virtue of a significant social relationship or a financial relationship, may reasonably be seen to gain benefits or losses, advantages or disadvantages, even though the employee may never have a direct interest.</p> <p><b><u>Personal Interest:</u></b> A personal interest includes a right, entitlement, or legal share in something and involves any situation where the employee is likely to secure some benefit or loss, or advantage or disadvantage. A personal interest includes but is not limited to financial interests and can be a direct interest or an indirect interest.</p> <p>A personal interest does not include an interest:</p> <p>(a) that is of general application to residents, businesses, or employees of the City; or</p> <p>(b) where the interest is so remote or insignificant in its nature that a decision affecting the interest cannot reasonably be regarded as likely to influence the employee.</p>
<p><b>Relationships</b></p>	<p><b><u>Financial Relationship:</u></b> A financial relationship is one in which:</p> <p>a) the employee or his or her agent,</p> <ol style="list-style-type: none"> <li>i. is a shareholder in, or a director or senior officer of, a corporation that does not offer its securities to the public;</li> <li>ii. has a controlling interest in, or is a director or senior officer of, a corporation that offers its securities to the public; or,</li> <li>iii. is a member of a body that potentially has a financial interest in matters within the scope of the employee's duties or responsibilities.</li> </ol>

b) The employee is a partner of a person, a business associate of, or is, in addition to the employee's position at the City, in the employment of another person or body.

**Significant Social Relationship:** A significant social relationship includes personal relationships, such as family and emotional relationships, and memberships in volunteer and professional organizations.

**TERMS & CONDITIONS**


**Personal Interests**

No employee in the course of his or her duties shall seek to advance a personal interest, whether or not it is detrimental to the City.

Examples of advancing a personal interest include but are not limited to:

1. Influencing or attempting to influence the City to contract with a person, partnership or corporation for any purpose in which the employee has a personal interest, or for which the employee has received or reasonably anticipates receiving some profit, payment, or compensation.
  
2. Soliciting or accepting from any person or corporation any profit, commissions or other payments or favours in the way of price or other advantages, such as loans or services, when:
  - (a) the person or corporation has had, has, or may reasonably be expected to have, any business, commerce or trade dealings with the City; or
  - (b) the person or corporation is seeking any decision, act, advice, comment, endorsement or anything whatsoever from the City, its employees or City Council;
  
3. Soliciting or accepting any share of profits, commissions or other payments or favours in the way of price or other advantages, such as loans or services, in exchange for referral of third parties to any City employee for the

	<p>purpose of securing or continuing business with the City.</p>
<b>Public Duty</b>	<p>Some positions in the organization are more subject than others to conflicts of interest. General Managers, Directors, Managers and employees who give professional advice or assistance, or participate in enforcement and/or inspection activities, shall take every reasonable action not to place themselves in conflict of interest situations, or exhibit behaviour or commit acts which could bring disrepute to the City or undermine the City's reputation.</p> <p>Since public criticism can also undermine the City's reputation, employees are expected to refrain from public criticism of the City or of other City employees through all venues including social networking. This does not remove employees' rights as citizens to comment generally on matters of public interest, but in exercising this right, City employees must not identify themselves as such or purport to be speaking on behalf of the City.</p>
<b>Employees Doing Business with the City</b>	<p>No employee shall knowingly approve or attempt to influence the approval of any license, permit, contract, agreement or other document on behalf of the City for his or her own personal use, or for the use of an individual with whom the employee has a financial or social relationship. This is in accordance with the City's <u>Procurement Policy By-law</u>.</p>
<b>Influencing the Employment Process</b>	<p>No employee shall personally make any decision or participate in the process to hire, transfer, promote, demote, discipline or terminate any family member, friends, or business associates.</p> <p>No employee shall attempt to interfere with the employment process or influence any City employee to hire, transfer, promote, demote, discipline or terminate any family member, friends or business associates (see Anti Nepotism Policy).</p>
<b>Reporting a Conflict of Interest</b>	<p>If employees have a personal interest, whether direct or indirect, that might present a conflict of interest in connection with their duties as City Employees, they must report this</p>

<b>Corporate Human Resources Policy</b>	 Hamilton	<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2014-08-18
Policy No: HR-01-09		
Page 5 of 5		Approval: 2014-09-24
	<p>conflict to their director, manager or supervisor in writing. The director, manager or supervisor shall notify the General Manager of the Department or designate, who, in consultation with Human Resources, shall determine whether the employee has breached or may potentially become in breach of this Policy.</p> <p>If a real or apparent conflict exists, and it is duly reported, such that the employee is or may become in breach of the Policy, the General Manager or designate shall instruct the employee, in writing, to withdraw from participation in any dealings or decision-making processes relative to the issue at hand. If the employee has knowingly or willfully breached the Policy, the General Manager shall determine the appropriate disciplinary measure, in consultation with Human Resources.</p> <p>A written record of the employee's declaration of the conflict of interest, the decision of the General Manager, and the written instructions to the employee with respect to the conflict of interest shall be maintained in the employee's personnel file.</p>	
<b>COMPLIANCE</b>	<p>Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Schedule may result in appropriate disciplinary measures, up to and including dismissal.</p>	

<b>Corporate Human Resources Policy</b>	 <b>Hamilton</b>	<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2014-08-18
Policy No: HR-01-09		
Page 1 of 4		Approval: 2014-09-24


**Schedule B: Fees, Gifts, and Hospitality**

<b>PURPOSE</b>	There may be occasions where City of Hamilton Employees are presented with gifts, hospitality, or are paid a fee by an outside agency for services related to their position. This schedule clarifies the expectations that the City has of employees when faced with these situations
<b>DEFINITIONS</b>	
<b>Fees</b>	An amount of money that is paid for work conducted
<b>Gifts</b>	Any business related gift, gift certificate, gift card, discount, favour, or assistance given to an employee(s) from an outside organization or individual.
<b>Hospitality</b>	Any business related hospitality event (e.g. a dinner, golf game, theatre tickets, sporting tickets, etc) given to an employee(s) from an outside organization or individual.
<b>TERMS AND CONDITIONS</b>	
<b>Gifts and Hospitality</b>	<p>An employee may not solicit or accept any gift, benefit, money, discount, favours, gift certificate, gift card or other assistance from any person or business which has or desires to have a contract with the City to supply goods or services, unless the gift, benefit, money, discount, favours, gift certificate, gift card or assistance is available to all members of the public or is available on a discounted basis to all City employees e.g. discounted cell phone package or automobile insurance.</p> <p>No employees shall accept any gifts, hospitality, and invitations to special events which exceed \$100 in value. An employee may accept a nominal gift or hospitality with a value of \$25, or under (for example, lunch, dinner, coffee, a business portfolio, a plant) provided that:</p> <ul style="list-style-type: none"> <li>• it is in the context of a business meeting or interaction, or in the context of a recognized charitable event; and</li> <li>• it is an infrequent occurrence; and</li> </ul>

<b>Exceptions Specific to Gifts and Hospitality</b>	<ul style="list-style-type: none"> <li>• it legitimately serves a business purpose; and</li> <li>• it is appropriate to the business responsibilities of the individual employee; and</li> <li>• the gift or hospitality is not an attempt to seek special favours or advantages from the employee or the City.</li> </ul> <p>Receipt of gifts, hospitality, and invitations to special events with a value ranging from \$25 to \$100 inclusive shall be documented and disclosed to the General Manager. General Managers shall likewise document and disclose to the City Manager receipt of gifts, hospitality and invitations to special events with a value ranging from \$25 to \$100 inclusive.</p> <p>Some management and professional staff are required, as a part of their business responsibilities for the City, to participate in hospitality events that may be more frequent or that may involve a higher monetary value than the guideline above. Such participation is not a breach of this Policy, so long as the hospitality event serves a legitimate business purpose.</p> <p>Gifts received by an employee on behalf of the City where the gift is intended by the giver to become the property of the City and/or the gift commemorates or records a significant event, place, or individual (such as, without being limited to, a commemorative plaque) are excluded from this Schedule.</p> <p>In limited circumstances it may be acceptable for an employee to accept a gift or hospitality that is valued at over \$100. These exclusions must be approved by the General Manager who will complete a form that authorizes the employee to keep the gift or attend the event.</p>
<b>Public Engagements</b>	<p>No employee shall charge or knowingly accept a fee for taking part in a public speaking engagement such as a public radio/television broadcast, web site broadcast or conference to which he or she was invited as a direct result of his or her position as an employee.</p> <p>Any fee that is received for a speaking engagement during normal working hours, or at any time where the employee is</p>

<b>Publications</b>	<p>representing the City, shall be turned over to the City, unless the value of the fee does not exceed expenses (incurred for such speaking engagement) which are not reimbursed by the City.</p> <p>Accepting a nominal gift for a speaking engagement such as a pen or other souvenir, with a value of \$25, or under, is not a violation of this Policy. Accepting free admission from the seminar or conference organizers for the balance of the seminar or conference is not a violation of this Policy.</p> <p>Employees may charge or accept a fee for speaking engagements during time off work (e.g. vacation time) providing such employees are not representing or purporting to represent the City.</p> <p>No employee shall charge or knowingly accept a fee for writing or publishing articles or books in any print or online publications, including journals and newsletters, if such article or book directly relates to the employee's position as a City employee or uses insider information about the City.</p> <p>Any fee that is received for articles or books written during normal working hours, or at any time where the employee is representing the City, shall be turned over to the City, unless the value of the fee does not exceed expenses (incurred for writing the publication) which are not reimbursed by the City.</p> <p>Accepting a nominal gift for an article or book, such as a pen or other souvenir with a value of \$25 or under, is not a violation of this Policy.</p> <p>Employees may charge or accept a fee for writing and publishing articles and books during time off work (e.g. vacation time) providing such employees are not representing or purporting to represent the City and providing that the article or book does not contain insider information.</p>
<b>Witness Fees</b>	<p>No employee shall charge or knowingly accept a witness fee for taking part in a court, tribunal, or other adjudicative process to which he or she was requested to attend as a</p>




<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 4 of 4	 Hamilton	<b>Code of Conduct for Employees</b> Content Updated: 2014-08-18 Approval: 2014-09-24
<b>Exceptions Related to Fees</b>	<p>direct result of his or her position as an employee.</p> <p>Any witness fee that is received shall be turned over to the City, unless the value of the fee does not exceed expenses (incurred for such attendance as a witness) which are not reimbursed by the City.</p> <p>Requests for exceptions related to Fees for public engagements, publications and witness fees will be dealt with on a case-by-case and must be approved by a General Manager in consultation with Human Resources.</p>	
<b>Related Documents</b>	Gifts and Hospitality Disclosure Form	
<b>COMPLIANCE</b>	<p>Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Schedule may result in appropriate disciplinary measures, up to and including dismissal.</p>	


<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-06-22
Policy No: HR-01-09		
Page 1 of 6		Approval: 2015-06-10


**Schedule C: Financial and Business Integrity**


<b>PURPOSE</b>	<p>City of Hamilton employees are trusted to perform their job duties with integrity, transparency, and accountability. This is important in all positions, but especially so for those who are trusted with substantial access to or influence over confidential information and/or the City’s resources. To ensure that the public trust is maintained, employees have a responsibility to act with diligence and integrity.</p> <p>This Schedule outlines the expectations that the City of Hamilton has of its employees in regard to financial and business integrity, including the security of confidential information</p>
<b>DEFINITIONS</b>	
<b>Confidential Information</b>	<p>Includes but is not limited to information in the possession of the City that the City is either prohibited from disclosing, is required to refuse to disclose or exercises its discretion to refuse under the <i>Municipal Freedom of Information and Protection of Privacy Act</i>, <i>Personal Health Information Protection Act</i> or other legislation, and information concerning matters that are considered in an in-camera meeting under section 239 of the <i>Municipal Act</i>, 2001.</p>
<b>Fraud</b>	<p>Fraud includes any array of acts characterized by intentional deception. Dishonest, illegal or fraudulent activities include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Forgery or alteration of documents (cheques, promissory notes, time sheets, independent contractor agreements, purchase orders, etc.);</li> <li>• Misrepresentation of information by an individual;</li> <li>• Misrepresentation of information on documents;</li> <li>• Misappropriation of funds, securities supplies or any other asset;</li> <li>• Tampering with City systems, programs or global positioning (GPS) devices for the purpose of misrepresenting information;</li> <li>• Unauthorized use, disappearance, or destruction of City property, equipment, materials or records;</li> <li>• Improprieties in the handling or reporting of money transactions;</li> <li>• Authorization or receipt of payments for goods not received or</li> </ul>

<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 2 of 6		<b>Code of Conduct for Employees</b> Content Updated: 2016-06-22  Approval: 2015-06-10
<b>Intellectual Property</b>	<p>services not performed;</p> <ul style="list-style-type: none"> <li>• Authorization or receipt of payment for hours not worked;</li> <li>• Any inappropriate expense claim made, which is unrelated to City business or the employee’s job responsibilities.</li> <li>• Any apparent violation of Federal, Provincial or local laws.</li> </ul> <p>Ownership over creations of the mind. These creations are intangible; they represent such things as original ideas and concepts.</p>	
<b>Post-Employment Period</b>	<p>A period commencing immediately following the end of the employment relationship with the City of Hamilton</p>	
<b>TERMS AND CONDITIONS</b>	<p>Employees of the City of Hamilton are trusted to act with honesty and integrity. Employees must not engage in fraudulent, illegal or dishonest activities.</p>	
<b>Financial Integrity</b>	<p>Every employee who maintains the City’s accounting records shall do so with the utmost integrity, reflecting accurately and punctually all transactions, assets and liabilities of the City. All business records, expense accounts, invoices, vouchers, bills, payroll and employee records and other reports are to be prepared with care and honesty. False or misleading entries, other false or misleading information, or omissions of entries in the records or reports of the City, or any unrecorded bank accounts, are strictly prohibited.</p> <p>No employee shall undertake any fraudulent activities. This includes misrepresenting information on documents, authorizing payment for goods and services not received, unauthorized use, destruction, or disappearance of City assets and information, and forgery or alteration of documents. Further details can be found in the <u>Fraud &amp; Protocol Policy</u>.</p> <p>No employee shall establish or maintain secret or unrecorded cash funds or other assets of the City for any purpose or conceal any transaction from the City’s internal or external auditors.</p> <p>No employee shall use City funds or financial processes for</p>	

	any personal use at any time.
<b>Purchase or Lease of Real Property</b>	No employee of the City shall directly or indirectly purchase or lease real property from or to the City, nor shall an employee have any direct or indirect interest in a company which purchases or leases real property from or to the City, unless this interest has been fully disclosed to the appropriate approving authority and unless the purchase or lease of the real property is done through a public process
<b>Use of City Property</b>	No employee shall use the City’s property, funds, equipment, tools, supplies or services for any personal uses whatsoever. Limited use of City telephones and cell phones, without incurring long distance or other charges, and limited personal use of a City computer in accordance with the <u>Computer Technology Acceptable Use Policy</u> , is acceptable
<b>Confidential Information</b>	<p>Employees must ensure that information is securely held and used only for the purposes for which it was collected. Every employee shall safeguard confidential information and shall not release confidential information to anyone other than the persons who are authorized to receive such information. The following information must not be used or disclosed:</p> <ol style="list-style-type: none"> <li>1. except in accordance with the <i>Municipal Freedom of Information and Protection of Privacy Act</i>: <ul style="list-style-type: none"> <li>▪ personal information about an employee (address, payroll or benefits information)</li> <li>▪ items under litigation</li> <li>▪ labour relations matters</li> <li>▪ information that constitutes the proprietary information of a third party, individual or group</li> <li>▪ information that might reasonably be regarded as having been disclosed to the employee in confidence,</li> <li>▪ information that is of a sensitive nature, or</li> <li>▪ information that imparts to the person in possession of such information an advantage not available to the public generally.</li> </ul> </li> <li>2. except in accordance with the <i>Personal Health Information</i></li> </ol>

<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 4 of 6		<b>Code of Conduct for Employees</b> Content Updated: 2016-06-22 Approval: 2015-06-10
	<p><i>Protection Act</i>, identifying information about an individual in oral or recorded form, if the information:</p> <ul style="list-style-type: none"> <li>▪ relates to the physical or mental health of the individual, including information that consists of the health history of the individual's family;</li> <li>▪ relates to the providing of health care to the individual, including the identification of a person as a provider of health care to the individual;</li> <li>▪ is a plan of service within the meaning the <i>Long-Term Care Act, 1994</i> for the individual;</li> <li>▪ relates to payment or eligibility for health care, or eligibility for coverage for health care, in respect of the individual;</li> <li>▪ relates to the donation by the individual of an body part or bodily substance of the individual or is derived from the testing or examination of any such body part or bodily substance,</li> <li>▪ an individual's health number, or</li> <li>▪ identifies an individual's substitute decision-maker.</li> </ul> <p>Employees shall consult with the Manager, Records &amp; Freedom of Information in the City's Clerk Division if clarification is required.</p>	
<b>Insider Information</b>	<p>No employee shall access, use or transmit confidential or privileged information available only to City employees to obtain personal or financial gain, or for the personal or financial gain of any other individual, partnership or company, whether directly or indirectly, or for any other purpose except as required by law.</p>	
<b>Intellectual Property</b>	<p>The intellectual property rights in any work produced by an employee through the course of their employment at the City are the exclusive property of the City, unless there is a written agreement stating otherwise between the City and the employee.</p> <p>No employee shall sell, transfer, or in any way authorize the use of any intellectual property, including copyrighted property such as literary or artistic works, patented inventions or processes, technological innovations, computer programs,</p>	

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-06-22
Policy No: HR-01-09		
Page 5 of 6		Approval: 2015-06-10
<b>Software Piracy</b>	<p>data bases, and trademarks, belonging to the City, without express authority from the City.</p>	
	<p>The City forbids software piracy, defined as using any unlicensed copy of a software package that has not been purchased for City purposes. It includes taking a copy of a licensed software package for one's own use or passing a copy on to another person for their use (See the Computer &amp; Technology Acceptable Use Policy).</p>	
<b>Return of City Property</b>	<p>Upon termination of employment, an employee shall promptly deliver to the City any and all property, technology, data, manuals, notes, records, plans, or other documents, including any such documents stored on any video or software related medium, held by the employee concerning the City's services and programs, know-how, developments, and equipment. This includes property made or prepared by the employee and relating in any way to the affairs of the City. With permission, employees may retain samples of their work if such work is in the public domain. However, this paragraph shall not apply to any original research or to any articles or papers for which the employee is an author or co-author, for which the employee shall retain all intellectual property rights.</p>	
<b>Post-Employment Restrictions</b>	<p>Employees who leave the employment of the City are expected to maintain discretion and ensure that sensitive information obtained during the course of their employment remains confidential.</p> <p>Employees in senior level positions, in addition to other identified positions, that are entrusted with high levels of authority and influence; power of approval or recommendation; visibility; access to confidential information; and intimate knowledge of City processes, may be subject to specific post-employment restrictions for a period of time following employment with the City, which is specified within individual employment contracts.</p>	

<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 6 of 6		<b>Code of Conduct for Employees</b> Content Updated: 2016-06-22  Approval: 2015-06-10
<b>RELATED DOCUMENTS</b>	<ul style="list-style-type: none"> <li>• <i>Fraud Policy &amp; Protocol</i></li> <li>• <i>Municipal Freedom of Information and Protection of Privacy Act</i></li> <li>• <i>Personal Health Information Protection Act</i></li> </ul>	
<b>COMPLIANCE</b>	<p>Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Schedule may result in appropriate disciplinary measures, up to and including dismissal and/or legal action.</p> <p>Former employees who are found to be in breach of their post-employment restrictions as outlined within this policy and in employment contracts may face legal action from the City of Hamilton in the form of civil remedies for breach of employment contract, a clawback of the severance package, injunctive relief or a claim for damages. Former Employees in violation of this policy will also not be eligible for re-employment with the City at any time.</p>	

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		
Page 1 of 5		Approval: 2019-09-10

<b>Schedule D: Outside Employment and Activity</b>	
<b>PURPOSE</b>	<p>The City of Hamilton recognizes that City employees are engaged in pursuits outside of their work day. This may include, but is not limited to, involvement in community groups and organizations, working with political organizations, and/or seeking additional employment opportunities in addition to their role at the City.</p> <p>While the City supports employees in their personal endeavors, the outside activities of employees must align with the City’s culture and values and must not create a conflict of interest, contravene City of Hamilton policies and procedures or misrepresent the City of Hamilton in any way. In addition, employees’ behaviour outside of the workplace must not diminish the trust and confidence that the community has in City administration or impact the City’s ability to provide services to the community.</p>
<b>DEFINITIONS</b>	
<b>Hate</b>	<p>Acts of hate are committed to intimidate, harm or terrify victims and the identifiable groups to which they belong. Victims of hate are targeted on the sole basis of who they are and/or the groups to which they belong (i.e., being Jewish, Muslim, Transgender, Black, Indigenous, etc.).</p> <p>Hate Related Incidents may involve intimidation, harassment, physical force or threat of physical force against a person, a group or a property if motivated by hatred/bias/prejudice against an identifiable group. Acts of hate may be committed by strangers or individuals well known to the victim. Perpetrators may include individuals, groups, organizations and institutions. Victims may be reluctant to report hate for a variety of reasons, including: not recognizing that the motivation was hate; fear of retaliation; embarrassment and humiliation; and/or uncertainty of the criminal justice system response.</p>
<b>Hate Activity</b>	<p>Can include, but is not limited to, verbal slurs; threats; vandalism; intimidation and harassment; and public messages that imply that members of an identifiable group are to be despised, scorned, denied respect and made subject to ill-treatment on the basis of group affiliation. Such messages may include group symbols, slogans or epithets and can be transmitted in many ways (e.g.</p>



<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		
Page 2 of 5		Approval: 2019-09-10

	graffiti, posters, flyers, hate mail, over the telephone, website and e-mail content, etc.)
<b>TERMS AND CONDITIONS</b>	
<b>Outside Employment</b>	<p>Employees shall not take outside employment, including self-employment, if such employment:</p> <ul style="list-style-type: none"> <li>• causes a real or apparent conflict of interest; or</li> <li>• is performed in such a way as to appear to be an official act of or to represent the City; or</li> <li>• interferes with regular duties in any way, or involves the use of City premises, resources or equipment including but not limited to City e-mail, telephones, cell phones, or supplies.</li> </ul> <p>Where it appears that a conflict of interest might arise in accepting outside employment, employees must notify their supervisor in writing of the nature of such outside employment prior and receive written permission prior to the acceptance of such employment (See Reporting a Conflict of Interest below).</p>
<b>Outside Business &amp; Financial Activity</b>	No employee participating in any outside business or financial activity shall do so during work hours or use the City's facilities or property including but not limited to vehicles, equipment, tools, photocopiers, stationery, telephones or cell phones, computers, etc., for the benefit or purpose of such business or activity.
<b>Purchase or Lease of Real Property</b>	<p>No employee of the City shall directly or indirectly purchase or lease real property from or to the City, nor shall an employee have any direct or indirect interest in a company which purchases or leases real property from or to the City, unless this interest has been fully disclosed to the appropriate approving authority and unless the purchase or lease of the real property is done through a public process</p> <p>No employee shall knowingly approve or attempt to influence the approval of any license, permit, contract, agreement or other</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		
Page 3 of 5		Approval: 2019-09-10

<b>Employees Doing Business with the City</b>	document on behalf of the City for his or her own personal use, or for the use of an individual with whom the employee has a financial or social relationship. This is in accordance with the City's <u>Procurement Policy By-law</u> .
<b>Individual Behavior Outside of the Workplace</b>	<p>Employees must not engage in any behaviour outside of the workplace that:</p> <ul style="list-style-type: none"> <li>• Violates City policies, including the Code of Conduct and the Harassment and Discrimination policy</li> <li>• Falls under the City's definition of hate or hate activity</li> <li>• Is in misalignment with the City's culture and values</li> <li>• Is detrimental to the City of Hamilton</li> <li>• Impacts the City's ability to carry out services</li> <li>• Negatively impacts the trust and confidence that the community has in City administration</li> </ul>
<b>Involvement with Outside Groups</b>	<p>No employee of the City of Hamilton shall participate or otherwise be involved with groups who engage in hate or hate activity.</p> <p>When considering involvement with outside groups, employees should ensure that they are aware of and fully understand the group's objectives, values and beliefs to ensure that they are not in misalignment with the City's corporate culture and values.</p>
<b>Community Board Activity</b>	<p>No employee shall accept an appointment to the Board of a community agency or association that deals with matters related to the activities of the City, without the written permission of his or her Director or designate. Written permission of the Director or designate is not required if the employee is appointed to the Board of the agency or association by the City to represent the City's interests.</p> <p>Any City employee serving on a community board shall take all reasonable actions to avoid any real conflict or apparent conflict between Board activity and the City's interests. Where a real or apparent conflict exists, the employee shall declare the conflict and shall not take part in, or be present for, any Board discussion or decision about the issue raising the conflict of</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		
Page 4 of 5		Approval: 2019-09-10

<b>Political Activity</b>	<p>interest. If the conflict of interest is significant, the employee shall resign from the board.</p> <p>To ensure public trust in the City of Hamilton, employees must be, and appear to be, both personally impartial and free from undue political influence in the exercise of their duties.</p> <p>Employees engaged in political activities must take care to separate personal political activities from their position of employment with the City.</p> <p>Employees who are politically involved in Municipal, Provincial, or Federal levels of government must make it clearly understood that they are acting personally and not as representatives of the City.</p> <p>Employees who are running for elected office at the municipal level must abide by the respective legislation governing such elections. This includes abiding by s. 30 of the Municipal Elections Act, 1996 which requires that employees request and <u>obtain an unpaid leave of absence beginning as of the day the employee is nominated and ending on voting day</u>; and deems employees who are elected to office to have resigned from employment immediately before making their declaration of office.</p> <p>Any employee who is politically involved shall ensure that such involvement does not interfere with his or her ability to perform his or her corporate duties objectively.</p> <p>Employees must not engage in any political activity during working hours or utilize City assets resources or property.</p> <p>Employees shall not identify themselves as City employees when engaged in political activity (e.g. employees shall not wear clothing with the City of Hamilton logo while canvassing for a candidate).</p> <p>Notices, posters or similar material in support of a particular candidate or political party are not to be displayed or</p>
---------------------------	--


<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		
Page 5 of 5		Approval: 2019-09-10

	distributed by employees at City work sites or on City property. An employee's decision to support a candidate or political party financially remains a personal decision.
<b>COMPLIANCE</b>	Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Schedule may result in appropriate disciplinary measures, up to and including dismissal with cause.

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-05-20
Policy No: HR-01-09		
Page 1 of 6		Approval: 2016-06-22


**Schedule E: Anti-Nepotism**

<b>PURPOSE</b>	<p>The City of Hamilton (“the City”) makes all hiring and employment related decisions based on transparency, equitable opportunity, and an overall emphasis on merit. This schedule aims to eliminate the influence of nepotism in City hiring and employment related decisions to maintain confidence in the integrity of the City’s hiring and employment practices.</p> <p>The purpose of this schedule is to ensure that employment related decisions concerning existing or potential City employees are free from any real or perceived improper influence based on family member or significant social relationships. At the same time, it is recognized that existing family member and significant social relationships with City employees should not unduly or unfairly restrict or enhance an individual’s opportunity to pursue employment or changes in employment at the City.</p>
<b>DEFINITIONS</b>	
<b>Conflict of Interest</b>	<p>A conflict of Interest, as defined in Schedule A of the Code of Conduct for Employees policy, is a situation in which an employee has personal or private interests that may compete with the public interests of the City of Hamilton. Such competing interests can make it difficult to fulfill his or her duties impartially. A Conflict of Interest can create an appearance of impropriety or a perception of bias that can undermine confidence in the person and in the City of Hamilton generally. A conflict exists even if no unethical or improper act results from it. A Conflict of Interest can either be an apparent conflict or a real conflict.</p> <p><b><u>Apparent Conflict:</u></b> exists where an informed and reasonable person reviewing the matter and having thought the matter through could conclude that a Conflict of Interest exists.</p> <p><b><u>Real Conflict:</u></b> exists where a personal interest exists and that interest:</p> <ol style="list-style-type: none"> <li>1. is known to the employee; and</li> <li>2. has a connection to the employee’s duties that is sufficient to influence the exercise of those duties.</li> </ol>


<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 2 of 6	 Hamilton	<b>Code of Conduct for Employees</b> Content Updated: 2016-05-20 Approval: 2016-06-22
<b>Direct Reporting Relationship</b>	Involves a reporting relationship where an individual has the authority to: direct and control the activities and work assignments of another employee; review or approve performance reviews; approve wage and salary adjustments; administer disciplinary action; and recommend or approve the hiring or firing of an employee.	
<b>Family Member</b>	Includes the following family relationships: <ul style="list-style-type: none"> <li>• spouse (includes married and common-law of the same or opposite sex)</li> <li>• mother, father, or legal guardian (foster or step)</li> <li>• son, daughter (foster or step)</li> <li>• sister, brother, step-sister, step-brother</li> <li>• aunt, uncle, niece and nephew</li> <li>• mother-in-law, father-in-law, sister-in-law, brother-in-law,</li> <li>• son-in-law or daughter-in-law</li> <li>• grandchild, grandparent, step-grandparent, step-grandchild</li> <li>• child, mother or father in a relationship where the role of parent has been assumed</li> </ul>	
<b>Indirect Reporting Relationship</b>	Exists between the employee and the second-removed manager.	
<b>Nepotism</b>	Favoritism granted to a family member or individual of significant social relationship, usually in the form of hiring practices or other employment decisions without regard or with lesser regard to the individual's merit, qualifications or performance.	
<b>Significant Social Relationship</b>	An emotional association, personal relationship or strong friendship that is not defined by blood or legal bonds e.g. godchild	
<b>PRINCIPLES</b>	<ol style="list-style-type: none"> <li>1. The City is committed to eliminating nepotism in any employment related decisions to preserve employee morale; to provide the highest quality service possible to the citizens and businesses the City serves; and to ensure equitable opportunities, and real and perceived integrity in the recruitment process.</li> <li>2. This schedule abides by the Recruitment &amp; Selection Policy</li> </ol>	


<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-05-20
Policy No: HR-01-09		
Page 3 of 6		Approval: 2016-06-22

<b>TERMS AND CONDITIONS</b>	<ol style="list-style-type: none"> <li>1. This schedule is in accordance with the Ontario <i>Human Rights Code</i>. S. 24 (1) (d) of the <i>Code</i> states that the right under section 5 to equal treatment with respect to employment is not infringed where an employer grants or withholds employment or advancement in employment to a person who is the spouse, child or parent of the employer or an employee.</li>   <li>2. The hiring process promotes equitable opportunity, and candidates are selected and employment decisions made in accordance with the City's recruitment &amp; retention policies and procedures, access &amp; equity policies, collective agreements, the Code of Conduct for Employees Policy, Code of Conduct for Members of Council Policy, as well as any other applicable City policies.</li>   <li>3. No employee shall attempt to use a family or significant social relationship for his or her personal benefit or gain. This includes an employee misusing their authority to influence or make an employment related decision. Employment related decisions where a benefit may be gained or authority may be misused include but are not limited to the following: <ul style="list-style-type: none"> <li>• the approval/denial of compensation increases;</li> <li>• hire, transfer, promotion, demotion decisions;</li> <li>• performance rating, discipline or termination;</li> <li>• the assignment and approval of overtime;</li> <li>• the assignment or direction of work assignments;</li> <li>• approval of leaves of absences;</li> <li>• the negotiation of salary level.</li> </ul> </li>   <li>4. No employee shall attempt to improperly influence a recruitment or selection decision to benefit a family member or someone with whom they have a significant social relationship</li>   <li>5. All job applicants will be requested to disclose the names of any spouse, child or parent who is a current employee or elected official of the City. Job applicants will be asked whether they are aware of any family or significant social relationships currently working as a City employee or elected official by disclosing a "yes" or "no" response.</li> </ol>
-----------------------------	--

<b>Corporate Human Resources Policy</b> Work Environment Policy No: HR-01-09 Page 4 of 6		<b>Code of Conduct for Employees</b> Content Updated: 2016-05-20 Approval: 2016-06-22
	<p>With the exception of a spouse, child, or parent relationship, applicants will not be requested to provide the names of any other family member or significant social relationships, in accordance, with the Ontario <i>Human Rights Code</i>.</p> <ol style="list-style-type: none"> <li>6. A spouse, child or parent of a current City employee or City elected official shall not be considered for employment, or changes in employment, if placement would create a direct or indirect reporting relationship with the above mentioned family members.</li> <li>7. No employee shall be in a direct or indirect reporting relationship; or be placed in a position of influence over an employed family member or significant social relationship.</li> <li>8. Employees who become involved in a spousal relationship, significant social relationship, or who become related over the course of their employment may continue as employees if no direct reporting or indirect reporting relationship exists between such employees. If there is a direct reporting or indirect reporting relationship the City will attempt to find a suitable job to transfer one of the affected employees. If the City is unable to transfer the employee or the employee is unable to find alternative employment, then a decision will be made, in consultation with Human Resources, as to appropriate next steps.</li> <li>9. Family members of City employees and City elected officials will be considered for employment or advancement provided they:           <ul style="list-style-type: none"> <li>• have made application in accordance with established procedure;</li> <li>• have been considered in accordance with established procedure;</li> <li>• possess the necessary qualifications; and</li> <li>• are considered to be the most suitable candidate.</li> </ul> </li> </ol>	
<b>RESPONSIBILITIES</b>  <b>Employee</b>	<ul style="list-style-type: none"> <li>○ Immediately notify supervisor in writing of any conflict of interest. This includes the existence or formation of a direct or indirect reporting relationship with a family member or person for whom</li> </ul>	



<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-05-20
Policy No: HR-01-09		
Page 5 of 6		Approval: 2016-06-22
<b>Supervisor</b>	<p>there is a significant social relationship.</p> <ul style="list-style-type: none"> <li>○ Inform General Manager or Human Resources directly, if the employee has knowledge of a reporting relationship where an undisclosed conflict of interest exists.</li> </ul>	
<b>Director</b>	<ul style="list-style-type: none"> <li>○ Do not knowingly place employees in positions where their duties could create a conflict of interest with a family member or significant social relationship.</li> <li>○ Where conflict of interests exist, notify the department's General Manager, who, in consultation with Human Resources, shall determine whether the employee has breached or may potentially become in breach of this Policy.</li> </ul>	
<b>Human Resources</b>	<ul style="list-style-type: none"> <li>○ If a real or apparent conflict exists, and it is duly reported, such that the employee is or may be or may become in breach of this schedule and the Code of Conduct, instruct the employee, in writing, to withdraw from participation in any dealings or decision-making processes relative to the issue at hand. If the employee has knowingly or willfully breached the Policy, determine the appropriate disciplinary measure in consultation with Human Resources.</li> <li>○ Where a direct or indirect reporting relationship exists between family members or a significant social relationship, in consultation with Human Resources and the manager or supervisor, make reasonable efforts to transfer one of the employees to a different division or department.</li> </ul>	
<b>COMPLIANCE</b>	<ul style="list-style-type: none"> <li>○ Provide consultation, as requested, from employees on this Policy and specific situations involving a conflict of interest.</li> </ul> <p>Every employee is expected to be aware of and act in compliance with the Code of Conduct for Employees Policy and the related Schedules. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is a serious</p>	

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2016-05-20
Policy No: HR-01-09		
Page 6 of 6		Approval: 2016-06-22
	<p>wrongdoing, as defined in the Whistleblower By-law, that By-law applies. Violations of this Schedule may result in appropriate disciplinary measures, up to and including dismissal.</p>	
<b>HISTORY</b>	<p>This replaces the former Employment of Relatives Policy dated 2005-09-14.</p> <p>The policy was approved by the Senior Management Team on 2011-12-15.</p> <p>This policy was reviewed and updated by Human Resources on 2015-06-01 to be consistent with recommendations of Employment System Review</p> <p>The Corporate Policy Review Group was consulted in revisions made to this Policy.</p> <p>This policy was added as a schedule under the Code of Conduct for Employees Policy and approved by Council on 2016-06-22</p>	

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 1 of 5		

## **Schedule F: Interacting with the Office of the City Auditor**

<p><b>PURPOSE</b></p>	<p>In accordance with the Municipal Act and City of Hamilton By-Law 19-180, the City Auditor acts as an Accountability Officer of the City of Hamilton. The Auditor and the Office of the City Auditor (OCA) fulfils this duty by assisting City Council in holding itself and its administrators accountable for the quality of stewardship over public funds and for the achievement of value for money in City operations. The OCA’s mandate is to report to Hamilton City Council via the Audit, Finance and Administration Committee objective information and recommendations resulting from independent audits of the government’s programs, and in other areas outlined in the Audit Charter.</p> <p>Audits are vital to ensuring transparency in government and in building trust and confidence. The purpose of this schedule is to outline the roles, responsibilities and expectations of all staff when involved in an audit investigation or other work.</p>
<p><b>SCOPE</b></p>	<p>Schedule F of the Code of Conduct applies to all employees at the City of Hamilton, including but not limited to regular, temporary and contract employees, volunteers, students and interns.</p> <p>Schedule F is applicable to the following types of work undertaken by the OCA:</p> <ul style="list-style-type: none"> <li>• All types of audits (including compliance, value for money or a combination of the two)</li> <li>• Investigations (including Fraud, Waste and Whistleblower)</li> <li>• Other types of work at the City Auditor’s discretion</li> </ul> <p>Schedule F is not applicable to the following types of work due to their collaborative nature:</p> <ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Consulting projects (including research)</li> </ul> <p>If for these types of work, issues in obtaining information are encountered, the work may either be cancelled or be switched to an audit or investigation, at the discretion of the City Auditor.</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 2 of 5		

<p><b>GUIDING PRINCIPLES</b></p>	<p>The following principles guide interactions between City employees and the Office of the City Auditor (OCA), when conducting audits and investigations.</p> <p><b><u>Independence</u></b> The City Auditor and staff are independent of City administration and operations. This independence is a safeguard that enables the OCA to fulfil its auditing and reporting responsibilities objectively and fairly. City auditors must therefore be free from any external impairment to that independence.</p> <p><b><u>Respect</u></b> Under the <i>Municipal Act</i> the OCA has the mandate and the authority to set the parameters of an audit. All dealings with the OCA shall be respectful of that authority.</p> <p><b><u>Responsibility</u></b> All City staff involved in an audit have a responsibility to ensure a positive and constructive relationship and working environment. In particular, Leaders have a duty to ensure this relationship is maintained through the course of an audit.</p> <p><b><u>Co-operation</u></b> It is the responsibility of all City staff to provide the OCA with access to the people, information, systems and records necessary to the performance of its legislated audit responsibilities. Provision of information will occur in an atmosphere that respects and protects the confidentiality of staff members</p>
<p><b>DEFINITIONS</b></p> <p><b>Accountability Officer</b></p> <p><b>Audit Working Papers</b></p>	<p>Independent parties that ensure transparency and accountability and receive and investigate complaints. This can include the City Auditor, Integrity Commissioner, Lobbyist Registrar or Ombudsman</p> <p>Auditors’ files, notations, analysis and documentation, both electronic and paper, that support findings and conclusions in their report.</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 3 of 5		

<b>Information</b>	All hard copy, electronic records and meta data.
<b>Sensitive and Confidential Information</b>	Information that is protected, including information excluded from MFIPPA and PFIPPA FOI requests.
<b>TERMS AND CONDITIONS</b>	
<b>Audit Standards</b>	<p>While conducting an audit, Auditors are obliged to follow audit standards. Auditors are required to maintain an attitude of professional scepticism in ensuring that all the information examined is supportable.</p> <p>Auditors are obliged to obtain sufficient and appropriate evidence regarding the information gathered, including electronic, written and verbal.</p>
<b>Confidentiality</b>	<p>Confidentiality is an integral part of the audit process and the OCA has a duty to protect the confidentiality of information received and cannot communicate information other than as part of the audit report and in prescribed situations. Accordingly, per section 223.22 (4) of the <i>Municipal Act</i>, audit working papers shall not be made available as they are confidential. Information collected by the auditors is not subject to public access under <i>the Municipal Freedom of Information and Protection of Privacy Act</i> (MFIPPA).</p>
<b>When Requested to Interact with the Office of the City Auditor</b>	<p>When involved in an audit investigation or other work, all City of Hamilton employees will:</p> <ul style="list-style-type: none"> <li>• Fully cooperate with the OCA</li> <li>• At the start of the audit, share all relevant information (including consultant’s reports) and provide access to systems</li> <li>• Respond courteously, with fairness and honesty to inquiries and requests for information or assistance from the OCA and not limit or unreasonably delay the time</li> </ul>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 4 of 5		

<p><b>Release of Sensitive Information</b></p>	<p>allowed to provide information and conduct interviews.</p> <ul style="list-style-type: none"> <li>• Respect that the OCA has the authority to select and determine what information is required for the audit, decide the pertinence of information, the selection or application of audit procedures and transactions or events to be examined.</li> <li>• Not restrict the audit or interfere with the auditors' ability to form independent, objective opinions and conclusions, or in matters of audit selection, scope and report content.</li> <li>• Provide clear and full disclosure of requested information and explanations, and the appropriate access to City resources and information sources.</li> <li>• Provide original supporting documentation when available and requested by the auditors, and shall in no way alter, change or delete information or records.</li> <li>• Leaders shall permit access to staff for the purposes of interviews, confidentially if so requested by the auditor.</li> <li>• Leaders will cooperate with any requests to assign a coordinator to work with the Office of the City Auditor to coordinate materials and ensure that the audit investigation or other work is handled efficiently. However, that should not constrict auditors from having direct access to information custodians or operational staff.</li> </ul> <p>All City records including confidential and sensitive information are subject to review by the OCA. Where approval is required by the General Manager for release of information, the approval process should not unreasonably delay the audit process.</p> <p>Any information including sensitive and confidential information, must be provided in full and not be redacted, altered or abridged.</p>
--	--

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 5 of 5		

<b>Issues Arising During the Course of an Audit</b>	<p>If, during the course of an audit, an employee commits or becomes aware of any infraction of the <i>Code of Conduct</i> they are obligated to contact the City Auditor to report the activity directly, or using the Fraud and Waste Hotline.</p> <p>If at any time, an employee is unclear if the infraction of the <i>Code of Conduct</i> jeopardizes the integrity of the audit, they will contact the Office of the City Auditor for consultation in the matter, or through the Fraud and Waste Hotline.</p> <p>The bringing forth of such information will be held in strict confidence by the City Auditor. Once the City Auditor has documented the information, it will be reviewed to determine how the infraction impacts the audit and develop next steps in dealing with the issue.</p>
<b>RELATED DOCUMENTS</b>	<p><i>OCA activity is guided by the following professional standards and/or legislative requirements:</i></p> <ul style="list-style-type: none"> <li>• <i>Municipal Act, Sections 223.19-223.23 (Auditor General), as applicable.</i></li> <li>• <i>City of Hamilton Whistleblower By-law (19-181).</i></li> <li>• <i>City Auditor Bylaw (19-180)</i></li> <li>• <i>International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors, for audit, assurance and general consulting work.</i></li> <li>• <i>Certified Fraud Examiners Code of Professional Standards issued by the Association of Certified Fraud Examiners for Fraud, Waste and Whistleblower assessments and investigations.</i></li> <li>• <i>Fraud and Waste Hotline</i></li> </ul>
<b>COMPLIANCE</b>	<p>Every employee is expected to be aware of and act in compliance with this policy and with the related Code of Conduct for Employees Policy. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is serious wrongdoing as defined in the Whistleblower By-law, then the By-Law prevails. Violations of this policy may result in appropriate disciplinary measures, up to and including dismissal.</p>




<i>Human Resources</i>	
<b>SHARING OF CONSULTANT REPORTS WITH IDENTIFIED IMMINENT RISKS TO HUMAN HEALTH OR SAFETY PROCEDURE</b>	
<b>PURPOSE</b>	<ul style="list-style-type: none"> <li>• To ensure Council receives notification of imminent risks to human health or safety as identified by consultants working for the City.</li> <li>• To outline the process for communicating imminent risks to human health or safety identified by consultants.</li> </ul>
<b>DEFINITIONS</b>  <b>Risk to Human Health or Safety</b>  <b>Imminent</b>  <b>Risk</b>	<p>Any hazard, existing or potential, that may reasonably be expected to have an imminent risk to public health or safety.</p> <p>A circumstance or condition that is certain to happen soon.</p> <p>The likelihood that a circumstance or condition will result in an adverse impact on human health or safety in the community.</p>
<b>AUDIENCE</b>	This procedure applies to all City of Hamilton employees.
<b>ACCOUNTABILITY</b>	<p>Each General Manager is accountable to ensure that staff in their department are compliant with this procedure.</p> <p>General Managers and the City Manager are responsible for ensuring that imminent risks to human health or safety are shared with Council.</p>
<b>PROCEDURE</b>	<ol style="list-style-type: none"> <li>1. City staff who are advised of an imminent risk to human health or safety in the community by a consultant will follow up with the consultant to understand the risk and seek appropriate recommendations.</li> <li>2. City staff will ensure that all identified imminent risks to human health or safety in the community are communicated</li> </ol>



	<p>immediately to their direct supervisor or designate and the Director of their division.</p> <ol style="list-style-type: none"> <li>3. Directors will inform the General Manager of the Department of the identified imminent risk to human health or safety in the community and provide details on recommendations from consultants and mitigation plans as available.</li> <li>4. The General Manager or their designate will share information on imminent risks to human health or safety in the community identified by consultants in addition to any mitigation plans developed with the City Solicitor and the City Manager.</li> <li>5. The City Manager and General Manager will ensure that imminent risks to human health or safety are communicated appropriately and promptly with Council.</li> <li>6. Risks will be communicated to Council in a manner appropriate to the situation. This may include but is not limited to emails, press releases, or information updates.</li> <li>7. Staff will provide consultant reports and documentation to Council upon written request to the General Manager or the City Manager.</li> </ol>
<b>COMPLIANCE</b>	<p>Employees are expected to communicate disclosures of imminent risks to human health and safety identified by consultants promptly. Failure to comply with Schedule G: Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety or this procedure may result in appropriate disciplinary measures up to and including dismissal.</p> <p>The Internal Auditor will monitor compliance to this procedure during planned audit functions of division responsibilities and business practices.</p>
<b>CONTENT UPDATED</b>	JANUARY 2020
<b>APPROVAL</b>	JANUARY 2020

This is Exhibit "D" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 1 of 5		

## **Schedule F: Interacting with the Office of the City Auditor**

<p><b>PURPOSE</b></p>	<p>In accordance with the Municipal Act and City of Hamilton By-Law 19-180, the City Auditor acts as an Accountability Officer of the City of Hamilton. The Auditor and the Office of the City Auditor (OCA) fulfils this duty by assisting City Council in holding itself and its administrators accountable for the quality of stewardship over public funds and for the achievement of value for money in City operations. The OCA's mandate is to report to Hamilton City Council via the Audit, Finance and Administration Committee objective information and recommendations resulting from independent audits of the government's programs, and in other areas outlined in the Audit Charter.</p> <p>Audits are vital to ensuring transparency in government and in building trust and confidence. The purpose of this schedule is to outline the roles, responsibilities and expectations of all staff when involved in an audit investigation or other work.</p>
<p><b>SCOPE</b></p>	<p>Schedule F of the Code of Conduct applies to all employees at the City of Hamilton, including but not limited to regular, temporary and contract employees, volunteers, students and interns.</p> <p>Schedule F is applicable to the following types of work undertaken by the OCA:</p> <ul style="list-style-type: none"> <li>• All types of audits (including compliance, value for money or a combination of the two)</li> <li>• Investigations (including Fraud, Waste and Whistleblower)</li> <li>• Other types of work at the City Auditor's discretion</li> </ul> <p>Schedule F is not applicable to the following types of work due to their collaborative nature:</p> <ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Consulting projects (including research)</li> </ul> <p>If for these types of work, issues in obtaining information are encountered, the work may either be cancelled or be switched to an audit or investigation, at the discretion of the City Auditor.</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 2 of 5		

<p><b>GUIDING PRINCIPLES</b></p>	<p>The following principles guide interactions between City employees and the Office of the City Auditor (OCA), when conducting audits and investigations.</p> <p><b><u>Independence</u></b> The City Auditor and staff are independent of City administration and operations. This independence is a safeguard that enables the OCA to fulfil its auditing and reporting responsibilities objectively and fairly. City auditors must therefore be free from any external impairment to that independence.</p> <p><b><u>Respect</u></b> Under the <i>Municipal Act</i> the OCA has the mandate and the authority to set the parameters of an audit. All dealings with the OCA shall be respectful of that authority.</p> <p><b><u>Responsibility</u></b> All City staff involved in an audit have a responsibility to ensure a positive and constructive relationship and working environment. In particular, Leaders have a duty to ensure this relationship is maintained through the course of an audit.</p> <p><b><u>Co-operation</u></b> It is the responsibility of all City staff to provide the OCA with access to the people, information, systems and records necessary to the performance of its legislated audit responsibilities. Provision of information will occur in an atmosphere that respects and protects the confidentiality of staff members</p>
<p><b>DEFINITIONS</b></p> <p><b>Accountability Officer</b></p> <p><b>Audit Working Papers</b></p>	<p>Independent parties that ensure transparency and accountability and receive and investigate complaints. This can include the City Auditor, Integrity Commissioner, Lobbyist Registrar or Ombudsman</p> <p>Auditors’ files, notations, analysis and documentation, both electronic and paper, that support findings and conclusions in their report.</p>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 3 of 5		

<b>Information</b>	All hard copy, electronic records and meta data.
<b>Sensitive and Confidential Information</b>	Information that is protected, including information excluded from MFIPPA and PFIPPA FOI requests.
<b>TERMS AND CONDITIONS</b>	
<b>Audit Standards</b>	<p>While conducting an audit, Auditors are obliged to follow audit standards. Auditors are required to maintain an attitude of professional scepticism in ensuring that all the information examined is supportable.</p> <p>Auditors are obliged to obtain sufficient and appropriate evidence regarding the information gathered, including electronic, written and verbal.</p>
<b>Confidentiality</b>	<p>Confidentiality is an integral part of the audit process and the OCA has a duty to protect the confidentiality of information received and cannot communicate information other than as part of the audit report and in prescribed situations. Accordingly, per section 223.22 (4) of the <i>Municipal Act</i>, audit working papers shall not be made available as they are confidential. Information collected by the auditors is not subject to public access under <i>the Municipal Freedom of Information and Protection of Privacy Act</i> (MFIPPA).</p>
<b>When Requested to Interact with the Office of the City Auditor</b>	<p>When involved in an audit investigation or other work, all City of Hamilton employees will:</p> <ul style="list-style-type: none"> <li>• Fully cooperate with the OCA</li> <li>• At the start of the audit, share all relevant information (including consultant’s reports) and provide access to systems</li> <li>• Respond courteously, with fairness and honesty to inquiries and requests for information or assistance from the OCA and not limit or unreasonably delay the time</li> </ul>

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 4 of 5		

<p><b>Release of Sensitive Information</b></p>	<p>allowed to provide information and conduct interviews.</p> <ul style="list-style-type: none"> <li>• Respect that the OCA has the authority to select and determine what information is required for the audit, decide the pertinence of information, the selection or application of audit procedures and transactions or events to be examined.</li> <li>• Not restrict the audit or interfere with the auditors' ability to form independent, objective opinions and conclusions, or in matters of audit selection, scope and report content.</li> <li>• Provide clear and full disclosure of requested information and explanations, and the appropriate access to City resources and information sources.</li> <li>• Provide original supporting documentation when available and requested by the auditors, and shall in no way alter, change or delete information or records.</li> <li>• Leaders shall permit access to staff for the purposes of interviews, confidentially if so requested by the auditor.</li> <li>• Leaders will cooperate with any requests to assign a coordinator to work with the Office of the City Auditor to coordinate materials and ensure that the audit investigation or other work is handled efficiently. However, that should not constrict auditors from having direct access to information custodians or operational staff.</li> </ul> <p>All City records including confidential and sensitive information are subject to review by the OCA. Where approval is required by the General Manager for release of information, the approval process should not unreasonably delay the audit process.</p> <p>Any information including sensitive and confidential information, must be provided in full and not be redacted, altered or abridged.</p>
--	--

<b>Corporate Human Resources Policy</b>		<b>Code of Conduct for Employees</b>
Work Environment		Content Updated: 2019-08-23
Policy No: HR-01-09		Approved: 2019-10-09
Page 5 of 5		

<p><b>Issues Arising During the Course of an Audit</b></p>	<p>If, during the course of an audit, an employee commits or becomes aware of any infraction of the <i>Code of Conduct</i> they are obligated to contact the City Auditor to report the activity directly, or using the Fraud and Waste Hotline.</p> <p>If at any time, an employee is unclear if the infraction of the <i>Code of Conduct</i> jeopardizes the integrity of the audit, they will contact the Office of the City Auditor for consultation in the matter, or through the Fraud and Waste Hotline.</p> <p>The bringing forth of such information will be held in strict confidence by the City Auditor. Once the City Auditor has documented the information, it will be reviewed to determine how the infraction impacts the audit and develop next steps in dealing with the issue.</p>
<p><b>RELATED DOCUMENTS</b></p>	<p><i>OCA activity is guided by the following professional standards and/or legislative requirements:</i></p> <ul style="list-style-type: none"> <li>• <i>Municipal Act, Sections 223.19-223.23 (Auditor General), as applicable.</i></li> <li>• <i>City of Hamilton Whistleblower By-law (19-181).</i></li> <li>• <i>City Auditor Bylaw (19-180)</i></li> <li>• <i>International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors, for audit, assurance and general consulting work.</i></li> <li>• <i>Certified Fraud Examiners Code of Professional Standards issued by the Association of Certified Fraud Examiners for Fraud, Waste and Whistleblower assessments and investigations.</i></li> <li>• <i>Fraud and Waste Hotline</i></li> </ul>
<p><b>COMPLIANCE</b></p>	<p>Every employee is expected to be aware of and act in compliance with this policy and with the related Code of Conduct for Employees Policy. Any employee under investigation may be suspended with or without pay or be re-assigned to other duties pending completion of the investigation, depending on the particulars of the case and the best interests of the City. Where there is serious wrongdoing as defined in the Whistleblower By-law, then the By-Law prevails. Violations of this policy may result in appropriate disciplinary measures, up to and including dismissal.</p>

This is Exhibit "E" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*





<i>Human Resources</i>	
<b>SHARING OF CONSULTANT REPORTS WITH IDENTIFIED IMMINENT RISKS TO HUMAN HEALTH OR SAFETY PROCEDURE</b>	
<b>PURPOSE</b>	<ul style="list-style-type: none"> <li>• To ensure Council receives notification of imminent risks to human health or safety as identified by consultants working for the City.</li> <li>• To outline the process for communicating imminent risks to human health or safety identified by consultants.</li> </ul>
<b>DEFINITIONS</b>  <b>Risk to Human Health or Safety</b>  <b>Imminent</b>  <b>Risk</b>	<p>Any hazard, existing or potential, that may reasonably be expected to have an imminent risk to public health or safety.</p> <p>A circumstance or condition that is certain to happen soon.</p> <p>The likelihood that a circumstance or condition will result in an adverse impact on human health or safety in the community.</p>
<b>AUDIENCE</b>	This procedure applies to all City of Hamilton employees.
<b>ACCOUNTABILITY</b>	<p>Each General Manager is accountable to ensure that staff in their department are compliant with this procedure.</p> <p>General Managers and the City Manager are responsible for ensuring that imminent risks to human health or safety are shared with Council.</p>
<b>PROCEDURE</b>	<ol style="list-style-type: none"> <li>1. City staff who are advised of an imminent risk to human health or safety in the community by a consultant will follow up with the consultant to understand the risk and seek appropriate recommendations.</li> <li>2. City staff will ensure that all identified imminent risks to human health or safety in the community are communicated</li> </ol>

	<p>immediately to their direct supervisor or designate and the Director of their division.</p> <ol style="list-style-type: none"> <li>3. Directors will inform the General Manager of the Department of the identified imminent risk to human health or safety in the community and provide details on recommendations from consultants and mitigation plans as available.</li> <li>4. The General Manager or their designate will share information on imminent risks to human health or safety in the community identified by consultants in addition to any mitigation plans developed with the City Solicitor and the City Manager.</li> <li>5. The City Manager and General Manager will ensure that imminent risks to human health or safety are communicated appropriately and promptly with Council.</li> <li>6. Risks will be communicated to Council in a manner appropriate to the situation. This may include but is not limited to emails, press releases, or information updates.</li> <li>7. Staff will provide consultant reports and documentation to Council upon written request to the General Manager or the City Manager.</li> </ol>
<b>COMPLIANCE</b>	<p>Employees are expected to communicate disclosures of imminent risks to human health and safety identified by consultants promptly. Failure to comply with Schedule G: Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety or this procedure may result in appropriate disciplinary measures up to and including dismissal.</p> <p>The Internal Auditor will monitor compliance to this procedure during planned audit functions of division responsibilities and business practices.</p>
<b>CONTENT UPDATED</b>	JANUARY 2020
<b>APPROVAL</b>	JANUARY 2020

<b>Title:</b>	<b>Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety</b>		
<b>Document #</b>	PW-P-008-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1.1	<b>Issue date</b>	January 2022

## 1 PURPOSE

To outline the process for communicating imminent risks to human health or safety identified by Consultants to Council thereby protecting the community and maintaining trust and confidence in government.

## 2 SCOPE

This procedure applies to all Public Works Staff who receive reports from consultants which identify an imminent danger to human health or safety.

This procedure does not include consultants retained in the course of a litigation matter.

This procedure shall be followed in accordance with the Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety (HR20002) and the Code of Conduct for employees (Schedule G).

## 3 DEFINITIONS

Term	Definition
<b>Imminent</b>	A circumstance or condition that is certain to happen soon.
<b>Risk</b>	The likelihood that a circumstance or condition will result in an adverse impact on human health or safety in the community.
<b>Risk to Human Health or Safety</b>	Any hazard, existing or potential, that may reasonably be expected to have an imminent risk to public health or safety.

## 4 RESPONSIBILITY

### 4.1 General Manager

- Ensure that staff in their Department are compliant with this procedure.
- Ensure Consultant Reports which identify imminent risks are shared with Council.

### 4.2 Divisional Leadership Teams

- Ensure that staff in their divisions/sections are aware of and trained on the responsibilities and processes listed in this procedure.



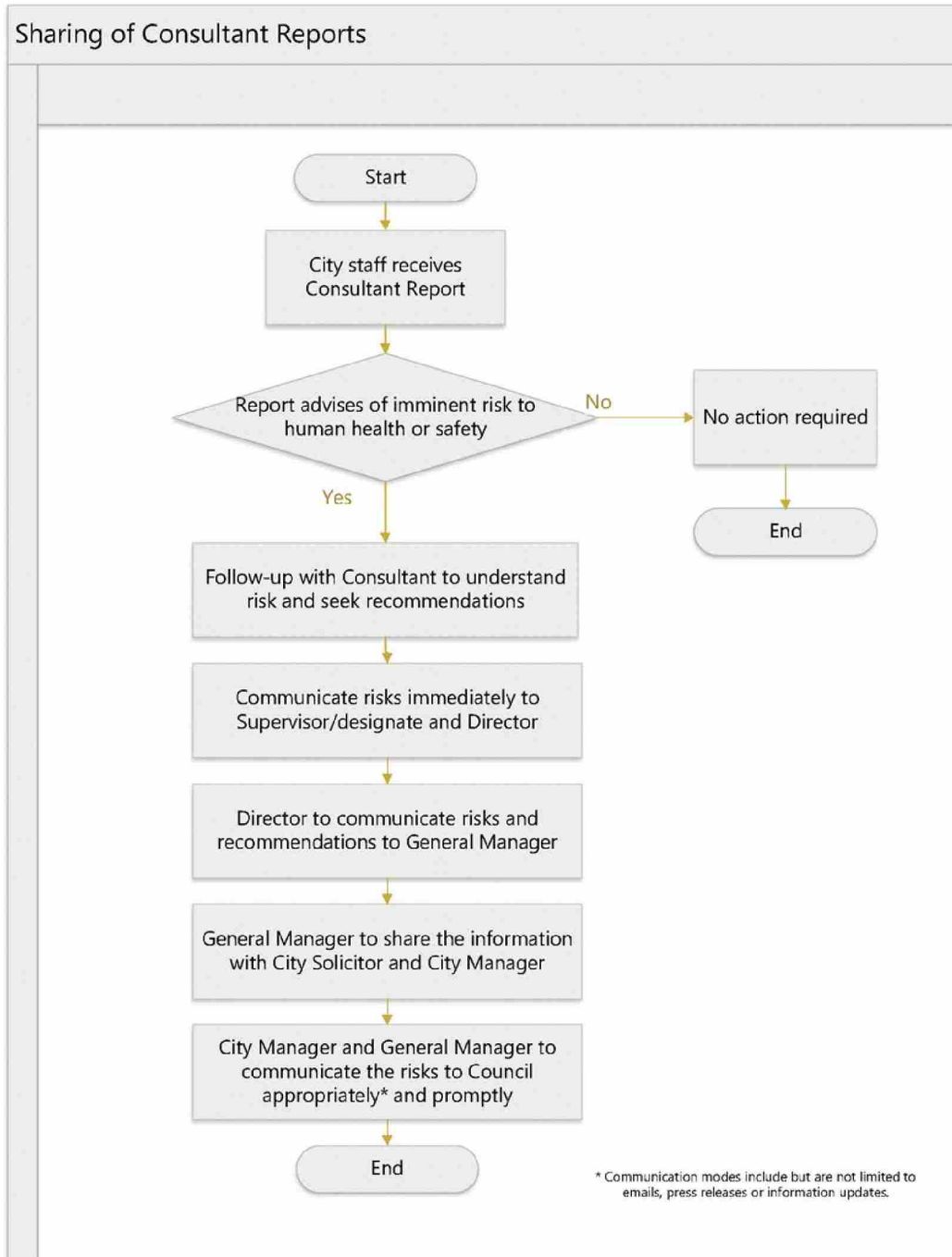
<b>Title:</b>	<b><i>Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety</i></b>		
<b>Document #</b>	<i>PW-P-008-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>January 2022</i>

- Ensure staff is aware of the Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety (HR20002) policy.
- Shall inform the General Manager of Public Works of any imminent risk to human health or safety and provide details on recommendations and mitigation plans as available.
- Ensure that Consultant Reports are tracked as per Section 5.3 below.

#### **4.3 All Staff**

- Shall communicate all identified imminent risks to human health or safety in the community, received through a Consultant Report, immediately to their direct supervisor, or designate, confirming receipt of the communication.
- Any staff in receipt of a report which identified imminent risks shall be responsible for maintaining and tracking the report via the Departmental tracking tool or any applicable method which they have put in place.

## 5 PROCEDURE



<i>Title:</i>	<b><i>Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety</i></b>		
<i>Document #</i>	<i>PW-P-008-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1.1</i>	<i>Issue date</i>	<i>January 2022</i>

## **5.1 Requirements**

- 5.1.1 City staff who are advised of an imminent risk to human health or safety, through a report developed by a Consultant, shall follow up with the Consultant to understand the risk and seek appropriate recommendations.
- 5.1.2 City staff shall ensure that all identified imminent risks to human health or safety in the community are communicated immediately to their direct supervisor or designate and the Director of their division.
- 5.1.3 Directors will inform the General Manager of the Department of the identified imminent risk to human health or safety in the community and provide details on recommendations from consultants and mitigation plans as available.
- 5.1.4 The General Manager or their designate will share information on imminent risks to human health or safety in the community identified by consultants in addition to any mitigation plans developed, with the City Solicitor and the City Manager.
- 5.1.5 The City Manager and General Manager will ensure that imminent risks to human health or safety are communicated appropriately and promptly with Council.
- 5.1.6 Risks will be communicated to Council in a manner appropriate to the situation. This may include but is not limited to emails, press releases, or information/communication updates.
- 5.1.7 Appropriate Leadership staff shall provide consultant reports and documentation to Council upon written request to the General Manager or the City Manager.

## **5.2 Monitoring and Control**

- 5.2.1 Employees are expected to communicate disclosures of imminent risks to human health and safety identified by consultants promptly. Failure to comply with this procedure may result in appropriate disciplinary measures up to and including dismissal.
- 5.2.2 Internal audits will monitor compliance to this procedure during planned audit functions of division responsibilities and business practices.

## **5.3 Communications and Reporting**

- 5.3.1 A registry of all Consultant Reports with identified imminent risks and the status of communication of risks shall be maintained and tracked by all Public Works divisions and shall be made available when requested.

<b>Title:</b>	<b><i>Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety</i></b>		
<b>Document #</b>	<i>PW-P-008-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>January 2022</i>

5.3.2 Records resulting from the processes in this procedure shall be stored and identified as per the Control of Records Procedure PW-P-016-001 and following the Corporate Record Retention By-Law.

#### 5.4 Training

The annual Corporate Code of Conduct training includes awareness training on sharing of consultant reports with identified imminent risks to human health or safety.

Staff who deal with consultants and their people leaders will receive training on this procedure following the release of this procedure. Awareness and training on this procedure should also be included as part of onboarding training for staff who deal with consultants.

### 6 ASSOCIATED DOCUMENTS

- Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety – Corporate Procedure
- Schedule G: Sharing of Consultant Reports with Imminent Risk to Human Health and Safety
- Control of Records Procedure PW-P-016-001
- Corporate Record Retention By-Law #11-040 as amended
- Consultant Reports - Registry
- Sharing of Consultant Reports Training Presentation

### 7 REVISION HISTORY

Rev. No	Rev. Date	Description of change(s)	Process Owner Name & Position
1	January 2022	N/A; First Revision	GM, Public Works

This is Exhibit "F" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*



<b>Corporate Policy</b>		<b>Policy Alignment:</b>
<b>Office of the City Manager</b>		<b><i>Municipal Act 2001, as amended</i></b>
Page 1 of 5		<b>Council Approved: Last Reviewed: April 2021</b>

## ***Council/Staff Relationship Policy***

### **POLICY STATEMENT**

The Corporation of the City of Hamilton is responsible to provide good government with respect to the matters within its jurisdiction. To do so requires a strong working relationship between the Mayor and Council and City Staff.

### **LEGISLATIVE REQUIREMENTS**

This Policy has been prepared in accordance with sub-clause 270 (1) 2.1 of the *Municipal Act, 2001*, as amended which requires Council to adopt and maintain a policy with respect to the relationship between Members of Council and the officers and employees of the Municipality.

### **SCOPE**

This Policy applies to all Members of Council and City Staff that work on behalf of the Corporation. This policy applies to all interactions, including those that are on-site and off-site of City facilities, before, during and after work hours.

### **RELATED DOCUMENTS**

- Council Code of Conduct
- Code of Conduct for Employees Policy
- Harassment and Discrimination Prevention Policy
- Personal Harassment Prevention Policy
- Protocol for Gender Identity and Gender Expression
- Violence in the Workplace Prevention Policy
- Whistleblower Bylaw

### **PRINCIPLES**

The Guiding Principles below outline the agreed to working relationship between Council and Staff. The commentary provides context only, for the Principle.

1. Council and City Staff recognize their shared responsibility to serve the community of the City of Hamilton and work together to build trust and confidence in City government.

<b>Corporate Policy</b>		<b>Policy Alignment:</b>
<b>Office of the City Manager</b>		<b><i>Municipal Act 2001, as amended</i></b>
Page 2 of 5		<b>Council Approved: Last Reviewed: April 2021</b>

Commentary: Staff recognize that City Council is the elected voice of the citizens of the City of Hamilton and respect the decisions of City Council. Council will give appropriate weight and consideration to the professional advice of staff and the community's wishes in order to make decisions for the City.

2. Council and City Staff are committed to accountability and transparency among Council and Staff.

Commentary: Staff will ensure all Council members are provided with the same information on matters of general concern and/or matters that will be discussed at a meeting of Council or a committee of Council. Council and staff will maintain transparency in decision making and ensure proper consideration of confidential matters.

3. Council and City Staff respect their roles and professional boundaries and follow appropriate processes. Staff will provide their professional opinion in good faith and Council will not attempt to influence their professional opinion.

Commentary: Staff are responsible to their direct supervisor and City Manager as established in the formal organization structure of the City. Members of Council are encouraged to contact staff to answer questions, identify concerns or request services that are normally available to any City of Hamilton resident. Staff are not able to offer levels of service that are inconsistent with what has been approved by Council overall. If members of Council have issues that are outside of regular City services or business, they should raise those with General Managers or the City Manager or the Council floor.

4. Council and City Staff uphold the City's vision, mission and culture, and work together to achieve the City's strategic priorities.

Commentary: Staff will keep Council apprised in a timely manner on key business decisions affecting strategic priorities, as appropriate. Council will provide funding and resources for City Staff to achieve desired outcomes.

5. Council and City Staff interact with mutual respect, honesty and professionalism.

Commentary: Staff carry out their duties based on political neutrality and objectivity, free from undue political influence. Council will respect the professional opinion of staff when receiving staff reports and recommendations that include advice that may be politically sensitive.

6. Council and City Staff communicate transparently, in timely manner and in good faith.

Commentary: Staff will notify Council of changes to legislation and any unintended or unexpected impacts of policy decisions through written reports and/or presentations in a timely fashion. In order to allow time for preparation, where possible, Council will provide staff with notice of concerns prior to attending meetings where concerns will be raised.

7. Council and City Staff do not make statements that reflect negatively on the City, or on an individual Council or Staff Member.

<b>Corporate Policy</b>		<b>Policy Alignment:</b>
<b>Office of the City Manager</b>		<b><i>Municipal Act 2001, as amended</i></b>
Page 3 of 5		<b>Council Approved: Last Reviewed: April 2021</b>

Commentary: Staff will implement and reflect Council's decisions and establish administrative practices and procedures to carry out those decisions, even if it is not in line with the advice of staff. Council will respect Staff's professional advice and not speak negatively about any professional advice provided.

8. Council and City Staff are respectful of each other's time and workloads, and that they are concise in their interactions and respectful of work volume and priorities.

Commentary: Council will work with Staff to create timelines that are achievable within approved funding and staff resources. Staff will respect report timelines to allow ample time and availability for Council to review and ask questions prior to meetings.

## ROLES AND RESPONSIBILITIES

The Roles and Responsibilities of Members of Council and City Staff can be found in the following sections of the *Municipal Act 2001*, as amended.

### 1.1. Role of Council

Represent the Corporation, provide direction and create policy. Specifically, Section 224 of the Municipal Act, 2001 states:

"224. It is the role of Council,

- a) to represent the public and to consider the well-being and interests of the municipality;
- b) to develop and evaluate the policies and programs of the municipality;
- c) to determine which services the municipality provides;
- d) to ensure that administrative policies, practices and procedures and controllership policies, practices and procedures are in place to implement the decisions of council;

d.1) to ensure the accountability and transparency of the operations of the municipality, including the activities of the senior management of the municipality;

- e) to maintain the financial integrity of the municipality; and
- f) to carry out the duties of council under this or any other Act."

### Role of the Mayor

Section 225 of the Municipal Act, 2001 defines the role of the Mayor as follows:

"225. It is the role of the head of council,

- a) to act as chief executive officer of the municipality;
- b) to preside over council meetings so that its business can be carried out efficiently and effectively;
- c) to provide leadership to the council;

(c.1) without limiting clause (c), to provide information and recommendations to the council with respect to the role of council described in clauses 224 (d) and (d.1);

- d) to represent the municipality at official functions; and
- e) to carry out the duties of the head of council under this or any other Act."

"Section 226.1 **Head of council as chief executive officer**

**226.1** As chief executive officer of a municipality, the head of council shall:

<p><b>Corporate Policy</b>  <b>Office of the City Manager</b>                  Page 4 of 5</p>		<p><b>Policy Alignment:</b>  <b><i>Municipal Act 2001, as amended</i></b>  <b>Council Approved:</b>  <b>Last Reviewed: April 2021</b></p>
--	---	---

- a) uphold and promote the purposes of the municipality;
- b) promote public involvement in the municipality’s activities;
- c) act as the representative of the municipality both within and outside the municipality, and promote the municipality locally, nationally and internationally; and
- d) participate in and foster activities that enhance the economic, social and environmental well-being of the municipality and its residents.”

**1.3. Role of the City Manager**

Direction Focus: The City Manager leads in three dimensions. Up to Council, down to staff and out to the community stakeholders. The City Manager is responsible for providing professional advice to Council and leading staff in the implementation of Council’s direction / policies. The City Manager specific responsibilities are outlined in By-Law 19-044 - To Appoint and to Prescribe the Duties and Responsibilities of the Chief Administrative Officer.

**1.4. Role of Senior Management:**

“227 It is the role of the officers and employees of the municipality,

- (a) to implement council’s decisions and establish administrative practices and procedures to carry out council’s decisions;
- (b) to undertake research and provide advice to council on the policies and programs of the municipality; and
- (c) to carry out other duties required under this or any Act and other duties assigned by the municipality.”

**1.5. Role of Staff and Other Officers:**

These positions have the authority and obligation to carry out their duties as defined by the Legislation. It is Council’s responsibility to ensure that these positions have clear job descriptions and the decision making of these positions are free from political interference.

1. Chief Building Official – Building Code Act (By-Law)
2. Corporate Administrative Officer or City Manager – *Municipal Act, 2001* (By-Law)
3. City Clerk - *Municipal Act, 2001* (By-Law)
4. Treasurer – *Municipal Act, 2001* (By-Law)
5. Chief Planning Official/Secretary Treasurer of the Planning Committee – Planning Act
6. Fire Chief - Fire Code Act (By-Law)
7. Police Chief - Police Act
8. Medical Officer of Health (Council Resolution; Health Protection and Promotion Act)
9. Auditor General – Municipal (By-Law)

**COMPLAINT PROCESS**

Upon receipt of notification that a complaint and/or concern , the supervisor or other departmental member of management shall follow the Council Staff Relationship Procedure to investigate accordingly.

<b>Corporate Policy</b>		<b>Policy Alignment:</b>
<b>Office of the City Manager</b>		<b><i>Municipal Act 2001, as amended</i></b>
Page 5 of 5		<b>Council Approved: Last Reviewed: April 2021</b>

1. In the case of City Staff, the supervisor and manager once removed will complete the investigation process and consult with Human Resources, Organizational Development staff as necessary.
2. In the case of a Member, the complaint or concern shall be referred to the Integrity Commissioner who shall investigate the matter in accordance with the provisions of the *Municipal Act*.

**Definitions**

“City” means the Corporation of the City of Hamilton

“City Manager” means the City Manager and Chief Administrative Officer of the City of Hamilton.

“Council” means the Mayor of the City of Hamilton and all Ward Councillors.

“Senior Management” means the members of the Senior Leadership Team.

“Staff” or “City Staff” means all City of Hamilton employees, including Senior Management.

This is Exhibit "G" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*



The Corporation of the City of Hamilton has set a vision to be the best place in Canada to raise a child and age successfully. As part of its role in supporting and achieving this vision as well as maintaining and enhancing the community's trust and confidence, the City's Public Works Department (PW) employs the use of quality management through the Public Works Quality Management System (PWQMS).

This system is owned by PW Top Management (PW Departmental Leadership Team) and supports Departmental leadership and staff to ensure that all aspects of operations, maintenance and capital renewal are undertaken in a manner that not only meets minimum regulatory and corporate standards but seeks to continually improve and enhance outcomes. Public Works is responsible for:

- (a) Ensuring people can move around the city safely and efficiently whether on their own or using transit, that water is safe to drink and play in, that waste is managed properly, our infrastructure is maintained and renewed in the most effective way possible all the while protecting and enhancing our natural environment. What we do is important but how we do it is equally important.
- (b) Ensuring our staff are well trained, follow effective procedures, manage our documents and records while acting with integrity and transparency are behaviours the community expects and deserves from Public Works.

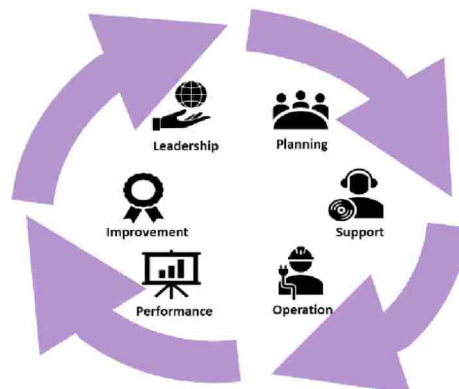
The PWQMS seeks to meet the minimum standards as prescribed by ISO 9001:2015 and will support PW in delivering on its critical mandate – providing the services that bring the city to life! It details the specific methods and means by which PWQMS achieves the Departmental mandate through the consistent and effective application of processes while continually improving operational performance.

## Objective & Scope

The PWQMS demonstrates our ability to consistently deliver services as well as design, operate and maintain assets that meet customer and applicable statutory and regulatory requirements and aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system. PWQMS is applicable to all processes that are departmental, including those that are cross-divisional and cross-departmental in principle.

## Quality Management System Elements

The PWQMS has identified core elements that are indispensable for the application of the system.





## 1. Leadership

Top management (PW Departmental Leadership Team) demonstrates leadership and commitment with respect to the Quality Management System by taking accountability for the effectiveness of the quality management system and ensuring that the quality policy is established. Communicating and providing direction will continue to be a priority. See PWQMS Principles in Appendix A (Figure 1).

Top Management is defined as PW Departmental Leadership Team

## 2. Planning

The Department considers activities to determine the risks and opportunities that need to be addressed to give assurance that the Quality Management System can achieve its intended results. The establishment of quality objectives is a fundamental step that needs alignment with the Corporate Plan. Any change to the quality system is part of the high-level decision process to ensure consistency across the Department.

## 3. Support



The Department determines and provides the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system while considering the capabilities of, and constraints on, existing internal resources and what needs to be obtained from external providers.

This includes: (a) People, (b) Infrastructure, (c) Environmental Factors, (e) Competence, (f) Awareness, (g) Communication, and (h) Document management and Record Management. A Departmental Quality Resource Centre (QRC) has been made available to staff to ensure access to Policies and Procedures as well as fundamental foundational elements of the system.

## 4. Operation

The Department develops an operational plan and implements processes to meet the requirements for the provision of assets and services. The different stages of an operational model interact with each other and can be used to establish further operational plans and documentation as part of the quality system.

## 5. Performance evaluation

The Department specifies the requirements for implementing foundational processes for the review, audit, monitoring, and measuring of operational and business results. Top management ensures its continuing suitability, adequacy and alignment with the strategic direction of the organization. The system includes: (a) Management Review Plan, (b) Internal Process Review (Departmental Audit) Program and a (c) Performance Measurement Program -[Measurement / Analytics Resources](#) .

## 6. Improvement

The Department determines and selects opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction. This includes foundational processes for: (a) Nonconformity and Corrective Action: that ensures proper handling of complaints or operational issues. This implies proper evaluation, effective implementation of actions and make changes to the system proactively and (b) Continual Improvement: that ensures suitability and effectiveness of the overall PWQMS.





FIGURE 1. PW QMS POLICY



**PUBLIC WORKS**

---

# QUALITY MANAGEMENT SYSTEM PRINCIPLES

In Public Works, we are dedicated to providing services that bring our city to life.

**SERVE** our community with a commitment to meet or exceed approved service levels and regulatory requirements.

**ENGAGE** with those we serve.

**RESPECT** and protect public health, private and municipal property and the environment.

**VALUE** and safeguard high levels of trust and confidence.

**IMPLEMENT** safe and accessible infrastructure to enable efficient travel and support active lifestyles.

**COMMUNICATE** with transparency and integrity.

**EVOLVE** the organization through Performance Measurement and Continuous Improvement.



This is Exhibit "H" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

## Table of Contents

1	PURPOSE.....	2
2	SCOPE/APPLICABILITY .....	2
3	DEFINITIONS .....	2
4	RESPONSIBILITY .....	4
4.1	Department Leadership Team (DLT) .....	4
4.2	Divisional Directors .....	4
4.3	Public Works Quality Management System Representatives.....	4
4.4	Health, Safety and Wellness Specialist.....	5
4.5	Managers or Designates .....	5
4.6	Document Coordinators .....	5
4.7	Document Owners/Authors/Subject Matter Experts/Process Owners.....	5
4.8	Public Works Staff.....	6
5	PROCEDURE.....	6
5.1	Common Provisions .....	6
5.2	Level II to V Document Procedure .....	6
5.3	Document Numbering Structure .....	7
5.4	Document Management .....	8
5.5	Document Revision History .....	8
5.6	Document Review & Approval.....	9
5.7	Deviations Due to Exceptional Circumstances .....	10
6	ASSOCIATED DOCUMENTS.....	11
7	Appendix A – Document Numbering.....	12
8	Appendix B - Document Review and Approval.....	16
9	Revision history .....	17

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**



<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	<i>PW-P-010-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>2.1</i>	<b>Issue date</b>	<i>September 2021</i>

### 1 PURPOSE

The purpose of this procedure is to control the issue, update and approval of documents, ensuring that only the latest and approved documents are used by Public Works staff. It is also to ensure that staff can locate and access internal and external controlled documents relevant to their work, in the format most suitable to their work.

Any deviations to this procedure must be agreed to, in writing, by the authorizing parties approving the use and implementation of this procedure.

### 2 SCOPE/APPLICABILITY

This procedure applies to all Divisions and Sections of Public Works-

Throughout this procedure and unless otherwise stated, the word 'document' refers to internal controlled documents. Documents that serve as evidence of actions or decisions taken, otherwise called records, are not included in the scope of this procedure.

Any documents affected by Departmental reorganizations, where documents are now referring to previous Divisions and Sections, will be updated during their regularly scheduled review unless there are other immediate changes that need to be incorporated before the next scheduled review.

Note: External documents such as those related to Customer, Government, Regulatory Standards and Specifications will be maintained and controlled in accordance with their respective numbering systems by the entities responsible.

### 3 DEFINITIONS

COH City of Hamilton

**Controlled Document** A document that is required to be managed within a controlled process to ensure that staff have access to the correct and latest version of the document. The release, revision, access and distribution are controlled by ensuring that the document:

- Is reviewed and approved for adequacy and regularly updated, by appropriate staff, prior to release for use
- Is not modified without required approval
- Is legible and readily identifiable
- Latest approved version is available, where and when it is needed

Examples of controlled documents include: procedures,

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in turquoise blue indicate changes made since the last released revision.*

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

	manuals, checklists, forms, templates, lists, visual aids, guidelines, brochures, policies.
DLT	Department Leadership Team consisting of the General Manager, Divisional Directors and support staff as required.
Document Coordinator	Designated person(s) within the Department/ Division/Section/Unit who manages and maintains controlled documents.
Document Management System	The system by which documents are stored and managed electronically. This can take the form of an Excel based management tool or a database system (e.g. Intalex).
Document Number (#)	Distinct Number uniquely identifying a document. May include the Department/Division/Section, document type, subject area and specific document number in that series.
Document Owner	The person who initiates and approves changes to a controlled document. This could be the Subject Matter Expert or the Process Owner.
Issue Number (#)	The revision number of the document.
Issue Date	The date which the document was released to staff for use.
Level I Document	Corporate document for the City of Hamilton
Level II Document	Public Works – Departmental document that applies to the entire Department or two or more Divisions as specified in the document.
Level III Document	A document that applies to the entire Division or is scoped, to two or more Sections as specified in the document.
Level IV Document	A document that relates to a Section only.
Level V and Higher Document	A document within a unit of a Section, broken down and organized based on criteria set by each Section.
Obsolete Document	A document that is no longer valid for use.
Process Owner	The single point of contact accountable for establishing the objectives and managing and monitoring the performance of a

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	<i>PW-P-010-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>2.1</i>	<b>Issue date</b>	<i>September 2021</i>

process. This person has the authority to make necessary changes to the process.

QMS	Quality Management System
Record	Document stating results achieved or evidence of action taken.

## 4 RESPONSIBILITY

### 4.1 Department Leadership Team (DLT)

- Review and approve all Level II procedure documents affecting their Divisions and provide feedback as applicable.
- Ensure affected processes are updated upon release of a new/revised procedure.
- Ensure communication, implementation and effectiveness of document control activities within their span of control.

### 4.2 Divisional Directors

- Review and approve applicable lower level documents (e.g. Levels III and below) within their areas of control where required.
- Ensure affected processes are updated upon release of a new/revised procedure.
- Ensure communication, implementation and effectiveness of document control activities within their span of control.
- Identify Document Coordinators for Level III and below documents in their Division.

### 4.3 Public Works Quality Management System Representatives

- Maintain control of all Level II documents, while ensuring accessibility to pertinent parties; provide guidelines for control of Level III documents and below.
- Update and maintain the Departmental Document Management System while arranging for access permissions.
- Ensure any obsolete documentation which is being retained due to contractual/legal requirements is suitably kept and properly identified.
- Provide instructions to practitioners, to ensure understanding and compliance to applicable Document Control provisions outlined herein.
- Ensure that only clear, legible, and easily interpretable documents are available via the Document Management System. Note: Documents not meeting the above criteria will be returned to the originator, to undergo the required

---

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	<i>PW-P-010-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>2.1</i>	<b>Issue date</b>	<i>September 2021</i>

review/modification accordingly.

- Ensure compliance to Document Control requirements prescribed by Government and Regulatory Standards.
- Through the oversight of the Document Control process, ensure that current versions of controlled documents are used.

#### **4.4 Health, Safety and Wellness Specialist**

- Ensure the adequacy of Health, Safety and Environment management (HSE) provisions for applicable documents to satisfy Legal and other requirements.

#### **4.5 Managers or Designates**

- Ensure employees understand document control guidelines, to ensure current practices are accurately reflected on the latest version of the appropriate template.
- Review and approve documentation that impacts their area of responsibility.
- Ensure controlled documents are reviewed by practitioners prior to release and subsequent implementation, for clarity, legibility, and feasibility of implementation.
- Ensure controlled documents are suitable and applicable to adequately support processes as intended.
- Ensure all Department/Division Instructions adhere to Document Control Guidelines outlined herein.
- Define permission levels to the Document Management System for individuals within their corresponding jurisdiction as pertinent to their functions.

#### **4.6 Document Coordinators**

- Maintain control of documents for their area.
- Provide document control support to staff.
- Receive requests for changes to documents and direct to the Document Owner or Subject Matter Expert, as required.
- Upload and release documents into the Document Management System.

#### **4.7 Document Owners/Authors/Subject Matter Experts/Process Owners**

- Technical lead for the creation of new documents, facilitating input from stakeholders.
- Coordinate document review and approval process including consideration of requests for changes.

---

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in turquoise blue indicate changes made since the last released revision.*

<i>Title:</i>	<b>Document Control</b>	<i>Document Level</i>	Level II
<i>Document #</i>	PW-P-010-001	<i>Issue date</i>	September 2021
<i>Issue #:</i>	2.1		

- Identify obsolete documents and remove them from use, in consultation with Document Coordinators and/or Management.

#### 4.8 Public Works Staff

- Review and participate in the development and review of documents, as required.
- Follow all procedures related to their role.
- Notify Supervisor, the Document Owner or the Document Coordinator if a document needs to be updated due to change in work processes or requirements. Submit request for changing the document, as required.

### 5 PROCEDURE

#### 5.1 Common Provisions

- 5.1.1 There are 5 main tiers of controlled documentation within the City based on scope, see definitions for Level I to V procedures.
- 5.1.2 Level I procedures are directly controlled by Corporate and are required to be implemented as defined.
- 5.1.3 Level II procedures are controlled at the Departmental level within PW in accordance with this procedure.
- 5.1.4 Level III to V documents may not deviate from the purpose, intent and direction of a Level I or II procedure.
- 5.1.5 Controlled documents (procedures, templates, forms, etc.) shall not be altered (recreated) by any user.

#### 5.2 Level II to V Document Procedure

- 5.2.1 All controlled documents shall be managed through a Document Management System, which shall serve to track revision history, with links to the active version of each valid document, preventing access to obsolete documentation.
- 5.2.2 All controlled documents are to be managed in such a way that staff can access only the latest approved version of the document.
- 5.2.3 Controlled documents that are part of the Departmental Document Management System must use the PW Document Designation described in Section 5.3.

---

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in turquoise blue indicate changes made since the last released revision.*





<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	<i>PW-P-010-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>2.1</i>	<b>Issue date</b>	<i>September 2021</i>

- 5.2.4 The revision/issue number and date of release of the current version of the document shall be indicated in the document.
- 5.2.5 Revisions to documents shall follow Section 5.6 Document Review & Approval.
- 5.2.6 All Level II procedures will undergo a review by the Directors affected by the document or by full DLT if it is a Department wide document, as a preamble to approval, in order to ensure suitability for implementation. The DLT may designate appropriate representatives within their areas of responsibility to conduct the review and provide feedback.
- 5.2.7 Level III to V procedures may be reviewed and approved by the Director, Manager or designates as identified by Divisional leadership.
- 5.2.8 Approval indicates review and acknowledgment of the document.
- 5.2.9 The release of Level II and supporting documents shall be communicated to the DLT. Released Level II procedures will be posted and available on the Public Works Quality Resource Center.
- 5.2.10 In approving a Level II revision, the DLT assumes full responsibility for ensuring that corresponding processes impacted by the changes are in turn updated in a timely manner. In doing so, the responsible entity will ensure communication (which may include job specific training, implementation and effectiveness).
- 5.2.11 Any revisions to the format of a document template are not to be made retroactive and shall only affect documents released following the introduction of a revised template (PW-F-010-001 Public Works Level II Procedure Template).

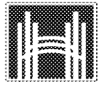
### 5.3 Document Numbering Structure

- 5.3.1 Document numbers may include: Department, Division, Section, Document Type, Subject Area/QMS Element number and a unique series number and shall be displayed throughout the document. For examples and details on numbering scheme for documents stored in the Departmental Document Management System (Intelex), refer Section 7 - Appendix A of this document.
- 5.3.2 Additional designations may be added to the standard numbering convention for lower level documents e.g. Levels III through V.

---

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**



<i>Title:</i>	<b>Document Control</b>	<i>Document Level</i>	<b>Level II</b>
<i>Document #</i>	<b>PW-P-010-001</b>	<i>Issue date</i>	<b>September 2021</b>
<i>Issue #:</i>	<b>2.1</b>		

## 5.4 Document Management

### 5.4.1 Controlled Electronic Copy

5.4.1.1 Electronic copies of documents are kept in the Departmental Document Management System.

5.4.1.2 Electronic copies of documents may be in any format (i.e. Word, Excel, pdf, other).

5.4.1.3 Obsolete documents may be retained within the Departmental Document Management System at a minimum, for the period required by the Corporate Record Retention bylaw and regulatory requirements. Only staff with full access to the Departmental Document Management System can view obsolete documents.

5.4.1.4 Some documents may be controlled using password protection if approved by a Manager, but must, at a minimum, be accessible to all that need the information in the document.

### 5.4.2 Controlled-Hardcopy

5.4.2.1 Controlled Hardcopy documents may be made available by the Document Owner or Designate. Documents printed for temporary use are considered uncontrolled unless identified as a Controlled-Hardcopy.

5.4.2.2 Controlled-Hardcopy documents must be stamped with an electronic or physical stamp. The stamp must be placed at the bottom of each page.

5.4.2.3 Obsolete Controlled-Hardcopy documents are to be removed from potential use by Document Owners or Designates.

## 5.5 Document Revision History

5.5.1 The revision history for documents shall be tracked within the document or in the electronic document management system.

5.5.2 Staff requiring access to the revision history in the electronic document management system may contact the Quality Management Representative or Divisional Document Coordinators.

---

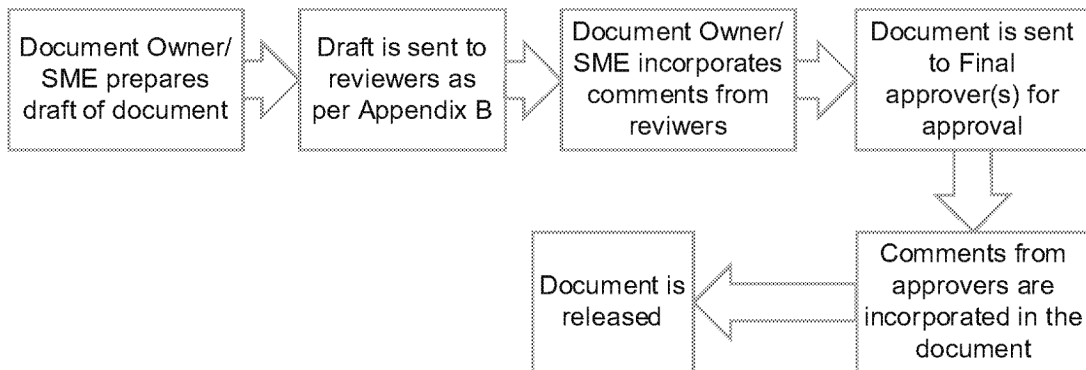
*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in turquoise blue indicate changes made since the last released revision.*

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

## 5.6 Document Review & Approval

- 5.6.1 All documents (e.g. procedures, templates, checklists, forms etc.) are to be reviewed at a minimum review frequency of three (3) years.
- 5.6.2 Review and Approval for Level II documents are to follow the requirements listed in Section 8.1 (Appendix B) of this document.
- 5.6.3 Level III and IV Procedures may follow divisional review and approval requirements, above and beyond the minimum requirements listed in Section 8.1.2 (Appendix B) of this document.
- 5.6.4 A document may be modified to address specific and/or minor deficiencies identified as part of an inspection, non-conformance, corrective action or other process.
- 5.6.5 Minor document revisions related to formatting and administrative changes (e.g. correction of grammar, spelling and section numbers) are exempt from the formal review & approval process. The new revision may be released without a review. For documents stored in the Departmental Document Management System, the revision number increases by '0.1' for such changes.
- 5.6.6 Requests for changes to a document can be made by contacting the PW QMS Team, Document Coordinator, Document Owner or by using the Change Request feature of the Departmental Document Management System. The Document Owner will determine if a change to the document is required and timeframe within which the change will occur (i.e. immediate if a more pressing need exists or as part of the normal review cycle).
- 5.6.7 The Document Owner or designate reviews the procedure to identify any required changes and/or related change requests. The recommended process flow for document review and approval is shown below:



**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<b>Title: Document Control</b>	
Document # PW-P-010-001	Document Level Level II
Issue #: 2.1	Issue date September 2021

5.6.8 When changes are made to a document stored in the Departmental Document Management System, the following may be performed:

- Highlight any changes (Templates are excluded from highlighting)
- Add 'Draft' watermark when the document is out for review and approval
- Increase the revision number by a whole number or by .1 for a simple change (Refer Section 5.6.5 for simple change)
- Provide a description of the changes
- Ensure that the document is ready for use prior to release (e.g. Release date is updated, draft watermark is removed, tracked changes and comments are removed)

5.6.9 All Level II procedures will be approved by the Directors affected by the document. The Director may designate appropriate representatives within their areas of responsibility to conduct the review and provide feedback.

5.6.10 Level III to V procedures may be reviewed and approved by the Director, Manager or designates as identified by Divisional leadership.

5.6.11 Documents reviewed outside of a scheduled review period may have their review frequency reset once approved following the approval process.

5.6.12 When performing periodic review of a document stored in the Departmental Document Management System, even if there are no changes to be made, it is to be indicated in the system that the review has been completed by required reviewers.

## 5.7 Deviations Due to Exceptional Circumstances

5.7.1 Deviation from controlled documents may be permitted under exceptional circumstances for a short-term period (less than 3 months). It will be up to the discretion of the Divisional Director to decide whether an event is to be considered an exceptional circumstance.

5.7.2 All deviations must receive prior written approval from the appropriate authority as follows:

Document	Authority
Level II Procedures	Responsible Divisional Director(s) and General Manager
Level III Procedures	Document owner and Divisional Director
Level IV/V Procedures	Document owner, Manager(s) or Designate

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<i>Title:</i>	<b>Document Control</b>		
<i>Document #</i>	<i>PW-P-010-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #: 2.1</i>		<i>Issue date</i>	<i>September 2021</i>

- 5.7.3 For changes lasting greater than 3 months, the designated authority shall review the circumstances and determine if an extension to the deviation should be granted or whether a change to the procedure is required.
- 5.7.4 When a document is altered to accommodate a deviation and when the deviation document is stored in the Departmental Electronic Document Management system, the deviation document must follow the PW Document Designation described in Section 5.3. and use D for the identification of the Document Type.

## 6 ASSOCIATED DOCUMENTS

Public Works Level II Procedure Template (PW-F-010-001)

Control of Records Procedure (PW-P-016-001)

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

## 7 APPENDIX A – DOCUMENT NUMBERING

Documents saved in the Departmental Document Management System (Intelex) are to follow the following document numbering format:

### 7.1.1 Document Numbering Examples:

Level	Example
II	<p style="text-align: center;"> <small>Department</small>  <small>QMS Element #</small>  <b>PW - P - 015 - 001</b>  <small>Document Type</small>      <small>Number in the Series</small> </p>
III	<p style="text-align: center;"> <small>Department</small>      <small>Document Type</small>      <small>Number in the Series</small>  <b>PW - WW - P - 015 - 001</b>  <small>Division</small>      <small>QMS Element #</small> </p>
IV	<p style="text-align: center;"> <small>Department</small>      <small>Section</small>      <small>QMS Element</small>  <b>PW - WW - PO - P - 013 - 001</b>  <small>Division</small>      <small>Document Type</small>      <small>Number in the Series</small> </p>
V	<p style="text-align: center;"> <small>Department</small>      <small>Section</small>      <small>Document Type</small>      <small>Number in the Series</small>  <b>PW - WW - DC - WD - P - 015 - 016</b>  <small>Division</small>      <small>Unit</small>      <small>QMS Element #</small> </p>

### 7.1.2 Department and Division Codes

Department and Division	Code
Public Works Department	PW
Engineering Services	EG
Environmental Services	EV
Energy, Fleet & Facilities	EF
Hamilton Water	WW

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**



<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

Transportation Operations & Maintenance	TOM
Transit	TR
Waste Management	WM

For reference to the identification of Sections and Units within PW, please refer divisional documents or the Section codes for Records (PW-L-016-001).

### 7.1.3 Document Type

Code	Document Description	Definition
A*	Approvals or Permits	A document giving someone authorization to do something
B	Brochure	A small book or magazine containing pictures and information about a product or service.
C	Checklist	A list of items required, things to be done or points to be considered.
D	Deviation	A document authorizing a deviation from a controlled document permitted under exceptional circumstances for a short-term period
F	Form, Templates	Template or table used to log data. Completed forms are considered records.
G	Guideline	A general set of rules, principles or pieces of advice to be followed. Generally written at a higher level than a detailed procedure.
K*	Agreement	A negotiated and typically legally binding arrangement between parties as to a course of action.
L	List (does not include checklists)	A number of connected items or names printed consecutively. A list is for information purposes only, as opposed to a checklist of items required, things to be done or points to be considered (see Checklist).
M	Manual	A document containing instructions for operating a machine or learning a subject e.g. a computer manual.
N	General	Category to capture document types if not listed elsewhere in this table

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

P	Procedure	A document that outlines how to perform a process to achieve a given goal or mandate. A procedure generally contains the purpose and scope of the procedure, responsibilities of staff, what needs to be accomplished and how, and definitions. A “procedure” can also mean “work instruction” or “standard operating procedure (SOP)”. Work Instructions usually contain detailed, step-by-step instructions describing how to perform tasks within a process.
R*	Record	Document stating results achieved or evidence of action taken.
V	Visual Aid	A guide that aids in understanding an issue or task. Examples include: Video, Maps, Presentations, Videos, Posters, Signs, etc.
Y	Policy	A course or principle of action adopted within the business. Detailed procedures are developed from policy statements.

\* Codes A, K and R in the above list are for records. They are included here for completeness of the list and for ease of reference.

7.1.4 QMS Element Number (Corresponds to folder number in Departmental Document Management System)

Folder	#	Folder	#
General Requirements	001	Tenders	021
Policy	002	Subcontracting	022
Aspects & Impacts	003	Procurement	023
Legal	004	Customer Service	024
Objectives, Targets and Management Programs	005	Review and provision of Infrastructure	025
Roles and Responsibilities	006	Infrastructure Maintenance, Rehabilitation and Renewal	026
Training	007	Quality	027
Communication	008	Commitment and Endorsement	028

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**





<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

Folder	#	Folder	#
Documentation	009	Quality Management System Representative	029
Document Control	010	Drinking Water System	030
Operational Control	011	Risk Assessment	031
Emergency Preparation	012	Risk Assessment Outcome	032
Monitoring and Measurement	013	Competencies	033
Evaluation of Compliance	014	Personnel Coverage	034
Non-Conformance, Corrective and Preventive Actions	015	Essential Supplies & Services	035
Control of Records	016	Measurement and Equipment Calibration & Maintenance	036
Internal Audit	017	Continual Improvement	037
Management Review	018	Security	038
Health & Safety	019	Performance Measurement	039
Administration	020		

7.1.4.1 Sequential numbering is used to identify series number within a folder. Document numbers are to be unique.

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

<b>Title:</b>	<b>Document Control</b>			
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II	
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021	

## 8 APPENDIX B - DOCUMENT REVIEW AND APPROVAL

8.1.1 **Level II** Document Review and Approval, (except for revisions that involve minor administrative updates) are to adhere to the following requirements (R – Required, O – Optional, and NR – Not Required):

Document	Review	Reviewers			Approvers
	Min. Frequency	Document Owner	PW QMS Team	Divisional Reps	DLT
Policies	Three Year	R	R	R	R
Procedures	Three Year	R	R	R <sup>2</sup>	R
Checklist	Three Year	R	R	R <sup>2</sup>	NR
Lists	Three Year	R	R	R <sup>2</sup>	NR
Form	Three Year	R	R	R <sup>2</sup>	NR
Visual Aid	Three Year	R	R	R <sup>2</sup>	NR
Guideline	Three Year	R	R	R <sup>2</sup>	NR
Brochures	Three Year	R	R	R <sup>2</sup>	NR

<sup>2</sup> Required only if document applies to the division.  
 \*Refer Section 5.6.5 for review and approval requirements for administrative changes to documents.

8.1.2 Level III and IV Procedures may follow divisional review and approval requirements, above and beyond the minimum requirements listed below:

Level	Review	Reviewers		Approvers	
	Minimum Frequency	Document owner	Section's Manager	Section Manager or Designate	Divisional Director or Designate
Level III Procedures	Three Year	R	R	NR	R
Level IV/V Procedures	Three Year	R	O	R	O

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**



<b>Title:</b>	<b>Document Control</b>		
<b>Document #</b>	PW-P-010-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	2.1	<b>Issue date</b>	September 2021

### 9 REVISION HISTORY

Rev. No	Rev. Date	Reason for Change	Description of change(s)	Process Owner Name & Position
1	Feb 2019	N/A	Initial Release	Pat Leishman, Manager, Strategy, Continuous Improvement & Quality
2	Oct 2020	Change requests	<p>Updated document to add clarification and to reflect current processes.</p> <p>Removed references to records as they will be managed as per the Records control procedure.</p> <p>Added clarification about minor administrative changes to documents.</p> <p>Added Review and Approval requirements for different types of controlled documents.</p> <p>Moved document numbering details to Appendix.</p>	Pat Leishman, Manager, Strategy, Continuous Improvement & Quality
2.1	Nov 2021	Change request	Minor administrative changes to add the new Waste Management Division and code in Section 7.1.2 and to correct the section number referenced in 5.6.3. All changes since Revision 1 are highlighted in blue.	Manager, Strategy, Continuous Improvement & Quality

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Note: Text highlighted in turquoise blue indicate changes made since the last released revision.**

This is Exhibit "I" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	<i>PW-P-016-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>October 2020</i>

## 1 PURPOSE

The purpose of this procedure is to ensure that records are properly collected, identified, filed, stored, made available, maintained, reviewed and disposed of.

## 2 SCOPE

This procedure applies to all Divisions within the City of Hamilton Public Works Department. Divisions or Sections within Public Works may follow their own Level III/IV Control of Records procedure in addition to the minimum requirements listed in this departmental procedure.

## 3 DEFINITIONS

COH	City of Hamilton
EDRMS	Electronic Document & Records Management System
Non-COH Records	Records originating from outside of City of Hamilton
Qualified Person	A person who is fully trained in the task in question and/or possesses a licence or certificate required to perform tasks independently.
Record	Information, recorded in any form (e.g. document, photograph, email, agreement, electronic approval), stating results achieved or evidence of action taken. Retained to provide and preserve information about an action or event.  Records have future business, financial, legal, research or archival value.
Record Coordinator	Designated person(s) within the Department/ Division/Section/Unit who manages and maintains records.
Record Destruction Certificate	Destruction Certificate provided by the Clerks division indicating the destruction of records when they have reached the end of retention period. Destruction Certificates are to be kept permanently.
Record Profile	Description or profile of a record which includes the title, description, storage location, owner, retrieval instructions (if any), retention time and destruction details of the record.

<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	<i>PW-P-016-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>October 2020</i>

Record Index	An index of Record Profiles
Record Transfer Sheet	A form listing the box number, contact info (department, name), destruction date, and list of records of paper records transferred for off-site storage to the Clerks department.
Transitory Record	Transitory records are records that have only temporary value and that are not required to provide evidence of legal, financial or other decisions. Examples include duplicate copies of reports retained only for convenience, preliminary drafts that do not represent significant steps in the preparation of final document, one of several multiple copies of a record such as minutes.

#### 4 RESPONSIBILITY

##### 4.1 General Manager and Directors of Public Works

- Review this procedure and ensure all subordinate staff are trained on and follow this procedure.
- Ensure adequate resources are provided for proper record control.

##### 4.2 Record Coordinator

- File/store records as per the requirements of this procedure and of the Corporate Record Retention By-Law.
- Ensure that all Record Indexes, Record Transfer sheets and Record Destruction Certificates you are responsible for, are stored in a safe and retrievable location.
- Create and review record profiles, as required.
- Ensure obsolete records are removed or made inaccessible to general staff.

##### 4.3 Supervisors and Management Staff

- Ensure that all subordinate staff are aware of the records they are responsible for, and the record management tools used within their group.

##### 4.4 All Staff

- Collect, store and maintain records you are responsible for, as per the requirements in this procedure.
- Ensure that all records are legible.
- If handwritten changes need to be made to records, they are to be done in such a



<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	<i>PW-P-016-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>October 2020</i>

way that the original record is not obscured, and the alterations are authorized by a qualified person.

- Report any new record types and any changes or inconsistencies associated with Record Control or this procedure to the appropriate Record Coordinator or Supervisor.

## 5 PROCEDURE

### 5.1 Record Collection

- Records provide and preserve information about an action, decision or event.
- Records include, but are not limited to, letters, documents, maps, drawings, photographs, receipts, emails, papers and any other form information is recorded. Records can be stored in any form - electronic, hard copy or otherwise.
- Records must be legible and complete before being stored in a suitable environment that prevents damage, deterioration and loss.
- If handwritten changes need to be made to records, they are to be done in such a way that (i) the original record is not obscured, (ii) the correct value is entered alongside the original, and (iii) the alterations are authorized and initialed by a qualified person and the initialing does not obscure the original result.
- Changes to electronic records must be authorized by a qualified person and contain the details of all changes. The change authorization must be maintained until the record is destroyed.

### 5.2 Record Storage

- Records are stored to demonstrate conformance to specified requirements and demonstrate effective operation.
- Records may be stored in various locations or software in use by the individual Divisions. However, an index of records must be maintained that lists the storage locations and retrieval instructions so that records remain easily accessible across staff or organizational changes. Record indexes may be maintained in the Departmental or Divisional EDRMS or in the dedicated network folder \\corona\world\Public Works\Cross Departmental Shared Folder\Records-IndexesTransferDestructionSheets.
- Records are not to be stored in individual computers (e.g. C drive) or on unprotected shared network drives, to avoid the possibility of data loss and to preserve data integrity.
- All records are to be stored in adherence to the Corporate Record Retention By-Law #11-040 as amended.



Title:	<b>Control of Records Procedure</b>		
Document #	PW-P-016-001	Document Level	Level II
Issue #:	1	Issue date	October 2020

### 5.3 Paper Records

- For records like certifications or inspector logs that are produced or received as a paper records, and when the original record is not required at the work site, the paper record can be scanned, and the digital scan managed in the Departmental or Divisional EDRMS. The original paper record can then be sent to Clerks for off-site storage.
- For some records (e.g. engineering drawings), the final record is a signed or stamped paper document. Like the certification records, these records can be scanned and managed in the Departmental or Divisional EDRMS and the paper record sent to Clerks for off-site storage.
- Each Division or Section must maintain a complete list of all records transferred to Clerks including copies of the Record transfer sheets. It is recommended that the Transfer sheets be stored in the Departmental EDRMS whenever operationally feasible. When this is not possible, Record Transfer sheets are to be maintained in the dedicated folder on the shared network drive ([\\corona\world\Public Works\Cross Departmental Shared Folder\Records-IndexesTransferDestructionSheets](#)).
- Records that are stored off-site with the Clerks department can be requested any time by emailing the Clerks department with details. Refer the [Records and Information Management page on eNet](#) for detailed information on transferring and requesting records from Clerks.

### 5.4 Email Records

- Email messages can contain records, and in some cases, may be the only record created documenting a transaction, action taken, delivery of service or the rationale behind a policy or decision.
- Email messages, that are records, must be retained and disposed as per the requirements of this procedure.
- Email messages that are stored as records must be preserved with all appropriate metadata such as receipt and transmission data, sender and recipients and attachments. This applies to storage of print copies of email records as well.
- If the email message contains an attachment that is a record, the message should be treated as a compound document, and the relationships between all components of the message must be maintained to ensure a complete and accurate record.
- An email thread is an email conversation of at least one response on a similar subject. Email threads may be stored at the end of the communication thread or at significant points where key decisions/issues are addressed. The email thread is to be filed according to content, not necessarily by subject line.





<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	<i>PW-P-016-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>October 2020</i>

- Emails that are considered records should be stored in a standard format (e.g. pdf) and in a location that can be accessed by anyone who has necessary access privileges.
- Email records are not to be altered after they are sent/received.
- Not all email messages are considered records. General correspondence regarding routine business activities, informal notes, preliminary drafts of letters etc. are considered transitory records and need not be retained.

### 5.5 Record Identification and Access

- Records are to be maintained in such a way that they can be easily accessed when required.
- Records may be made available to customer and/or stakeholders where applicable or contractually agreed upon, as needed.
- The naming convention in Appendix A may be followed when saving electronic records, to enable easy search and retrieval.

### 5.6 Record Profiles/Index

- An Index of Record profiles is to be maintained for electronic and paper records. These indexes facilitate easy search and retrieval of records and helps prepare for deletion or transfer of records.
- Record profiles/Indexes are to include information about the record title, record type, description, record owner, storage location, retrieval instructions and retention period.
- These indexes are to be stored and maintained in a location that can be easily accessed by staff with necessary access privileges. Departmental or Divisional EDRMS or the dedicated folder \\corona\world\Public Works\Cross Departmental Shared Folder\Records-IndexesTransferDestructionSheets on the shared network drive may be used for maintaining the record indexes.

### 5.7 Record Retention & Disposal

- All records are to be retained in adherence to the Corporate Record Retention By-Law #11-040 as amended.
- When a record has reached the end of its retention period and does not warrant further retention, it may be destroyed in a manner that preserves the confidentiality of the information contained in the record.
- For records that are stored off-site storage with the Clerks department, both the Record owner and the Manager of Records and Freedom of Information will both be notified in writing prior to the record destruction date. If neither the signing authority nor the Manager of Records and Freedom of Information believe the records should be kept, then they are authorized for destruction. Record

<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	PW-P-016-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1	<b>Issue date</b>	October 2020

Destruction Certificates are provided by the Clerks department as evidence of the disposition process and must be retained permanently. Record destruction certificates are to be stored preferably in the Departmental EDRMS or in the dedicated folder on secured network drive.

- Any record that could potentially be used for or pertains to pending or actual litigation or investigation or a request under the privacy legislation shall not be destroyed until such record is no longer required for such purpose.
- Transitory records need not be retained and may be destroyed at any time.

## 6 ASSOCIATED DOCUMENTS

- [Corporate Record Retention By-Law #11-040 as amended](#)
- [Recommended Section codes for PW Divisions](#)
- [Records Management Best Practices](#)
- [eNet – Records and Information Management -Transferring Records to Clerks](#)

## 7 APPENDIX A – NAMING CONVENTION FOR RECORDS

The following guidelines are best practices to help make it easier to retrieve electronic records and decrease the amount of time spent searching for records. Division and Section codes in the [Recommended Section codes for PW Divisions](#) may also be used to identify the division/section the record belongs to.

	<b>Recommended Format</b>	<b>To be Avoided</b>
<b>File Names</b> – Short, but meaningful	✓ Examples: Minutes-JHSCMeeting-201901 Minutes-EV-FH-JHSCMeeting-201901	✗ Example: JanMeetingMinutesCommittee Meeting201901Draft
<b>Element Order</b> – Order elements in the most appropriate way to retrieve the record. Avoid using common words at the start of file names	✓ Example: <i>ContractNumber_202001_PPC</i>	✗ Example: Progress Payment Jan 2020 <i>Contract Number</i>
<b>Characters</b> – Avoid using special characters (e.g. &, %, brackets) other than dashes and	✓ Example: FACosts PO9775No_26	✗ Examples: F&A costs P.O. 9775 #26

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

**Title: Control of Records Procedure**

Document # PW-P-016-001

Document Level Level II

Issue #: 1

Issue date October 2020

underscores		
<b>Capital Letters</b> – Use capital letters to delimit words, not spaces or underscores	✓ Example: WaterQualityReport	× Example: Water Quality Report
<b>Numbers</b> – Use at least two-digit numbers i.e. 01-99	✓ Example: PavementAssessmentPart01	× Example: PavementAssessmentPart1
<b>Dates</b> – Format with four-digit year first followed by two digit months and two digit days	✓ Example: Proposal_ConsultantFirmName_FinalDraft_20190718	× Example: ConsultantFirmName Draft 18 Jul 19 Draft
<b>Personal Names</b> – Format with the family name first, followed by the initial.	✓ Example: PerformanceReview2018PetersJ	× Example: PerformanceReview2018John
<b>Recurring Events</b> – Files of records relating to recurring event should include the date and a description of the event, with consistent formatting	✓ Example: AnnualSummaryReport_EnvServices_20190330	× Example: 2019 Report EnvServices
<b>Correspondence</b> – (e.g. Email) include the name of the correspondent, the date and an indication of the subject.	✓ Example: 20191004_MinistryofEnv_PetersJ_MaintenanceUpdate	× Example: Email to John

<b>Title:</b>	<b>Control of Records Procedure</b>		
<b>Document #</b>	PW-P-016-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1	<b>Issue date</b>	October 2020

Use standardized abbreviations for common terms when character limitations are a concern for file names. The following list of abbreviations can be used:

<b>Abbreviation</b>	<b>Document Type</b>	<b>Abbreviation</b>	<b>Document Type</b>
<b>ACT</b>	Action Request	<b>MIN</b>	Minutes
<b>AGD</b>	Agenda	<b>MNL</b>	Manual
<b>AGR</b>	Agreement	<b>MTG</b>	Meeting
<b>ANN</b>	Announcement	<b>NSL</b>	Newsletter
<b>APP</b>	Appendix	<b>PLN</b>	Plan
<b>ART</b>	Article	<b>PMT</b>	Permit
<b>BIO</b>	Biography	<b>POL</b>	Policy
<b>BRC</b>	Brochure	<b>PPR</b>	Paper
<b>BRN</b>	Briefing Note	<b>PRC</b>	Procedure
<b>CHT</b>	Chart	<b>PRF</b>	Profile
<b>COM</b>	Committee	<b>PRC</b>	Procurement
<b>CON</b>	Contract	<b>PRO</b>	Proposal
<b>COV</b>	Cover Page	<b>PRS</b>	Presentation
<b>DFT</b>	Discussion Draft	<b>PRS</b>	Press Release
<b>DRT</b>	Directory	<b>PST</b>	Poster
<b>DWG</b>	Drawing	<b>RPT</b>	Report
<b>EXA</b>	Example	<b>ROS</b>	Roster
<b>FCT</b>	Fact Sheet	<b>RVW</b>	Review
<b>FRM</b>	Form	<b>SCH</b>	Schedule
<b>GRA</b>	Grant	<b>SPE</b>	Speech
<b>GUI</b>	Guidelines	<b>SRY</b>	Survey
<b>INT</b>	Interview	<b>SUM</b>	Summary
<b>INV</b>	Invoice	<b>SUP</b>	Supplement
<b>INX</b>	Index	<b>TML</b>	Timeline
<b>LCT</b>	Lecture	<b>TOR</b>	Terms of Reference
<b>LGL</b>	Legal Document	<b>WOR</b>	Work Order
<b>LTR</b>	Letter	<b>YRB</b>	Year Book
<b>MEM</b>	Memo (internal)		



Hamilton

<i>Title:</i>	<b>Control of Records Procedure</b>		
<i>Document #</i>	<i>PW-P-016-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1</i>	<i>Issue date</i>	<i>October 2020</i>

**8 REVISION HISTORY**

N/A – First revision of document.

This is Exhibit "J" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

# CITY OF HAMILTON

## Public Works

# Project Management Manual

**December 2022**

**Version 1.2**

TABLE OF CONTENTS – Press Ctrl & Click on Section to hyperlink to relative page

## Contents

What is Project Management? .....	3
Project Management Process .....	3
Project Management Manual .....	4
Project Integration Management – Develop Project Charter .....	5
Introduction.....	5
Project Name: .....	9
Project Charter Number:.....	9
Asset Identification:.....	9
Project Purpose: .....	9
Strategic Alignment: .....	10
Project Drivers: .....	10
Project Scope: .....	11
Project Schedule: .....	11
Project Cost:.....	12
Project Requirements:.....	13
Project Risks: .....	13
Project Team Members:.....	14
Project Stakeholders: .....	15
Project Approval:.....	15
Project Revision & Approval: .....	16
Appendix A - Project Roles & Responsibilities .....	17
Project Integration Management – Close Project or Phase.....	19
Introduction: .....	19
Project Transition Checklist .....	20
Project Closing Report.....	21



## What is Project Management?

The purpose of Project Management is to deliver a project on time, within budget and with the expected results and quality. To achieve this objective a Project Manager must understand the project's priorities and what is constrained and what is flexible in the areas of scope, schedule, costs and quality.

Project Managers provide a service which is to protect the stakeholder's interests who are investing in the project. This requires the identification of primary stakeholders and managing their expectations throughout the life cycle of the project by keeping them informed about what the project is doing and not doing.

Project Management means documented, agreed to, signed off and archived. This provides a history of analysis, communication, decisions and approvals to avoid finger pointing and blame shifting. A standard Public Works Project Management methodology, tools and templates provides a streamlined approach for record keeping.

Project Management is more about leadership and less about technical knowledge. A Project Manager may have technical knowledge, but their primary role is to use project management to accomplish the deliverables. Technical knowledge often leads to the details and micromanagement. Project Managers must avoid this trap to be able to lead larger and more complex projects.

Project Managers must manage people. They need to know how to communicate, delegate, negotiate, and motivate. In short, they must know how to lead a project team to success. They need interpersonal skills as well as project management skills.

Project Managers must know how to plan, execute and identify areas for improvement. Planning is the skill of creating a sequence of tasks that balances project constraints while meeting the needs of primary stakeholders. Execution accomplishes the deliverables according to the plan. Continuous improvement through the life cycle of the project provides a better outcome for the stakeholders.

## Project Management Process

Project Management is accomplished using five process groups:

1. Initiating – developing the project charter, identifying stakeholders & conducting the kick-off meeting
2. Planning – developing the Project Management Plan including the detailed plans for scope, schedule, cost, quality, resourcing, communication, risk, procurement and stakeholder management

3. Executing – directing and managing the project work and the project knowledge including quality, resourcing (including staff, consultants, contractors), communication, risk, procurement and stakeholder management
4. Monitoring & Controlling – monitoring and controlling the project work, performing integrated change control including scope, schedule, costs, quality, resourcing, communication, risks, procurement and stakeholder management
5. Closing – closing the project or phase including procurement contracts, financial summary and council reports

## **Project Management Manual**

The purpose of this Project Management Manual is to document the standard process and tools to be used by Public Works Project Managers to plan, deliver and close projects. The scope of the March 2020 implementation addresses the areas that are the greatest risks to a successful project. This includes a Project Charter template as part of the “Initiating” phase and a Project Transition Checklist and Project Closing Report template as part of the “Closing” phase.

The Project Management Manual is based on two primary inputs:

- best practices defined in the Project Management Body of Knowledge (PMBok), which is generally considered to be best practices for project management in North America
- consolidation of existing Public Works project management processes, tools and templates into one version that applies across all Public Works Divisions and Sections

Adopting a consistent approach to project management has several benefits:

- enables improved and consistent project delivery across divisions
- supports efficient knowledge transfer and continuous improvement
- boosts PM productivity by eliminating waste and increasing value added work
- easier on-boarding, training and reporting

In the future, there are additional project management knowledge areas that will be standardized and implemented under the direction of the Public Works General Manager. The proposed roadmap is detailed in the tables below.

Project Management Roadmap – implemented March 2020

PMBok Knowledge Area	Project Documents/Templates
----------------------	-----------------------------

	Project Management Manual
Project Integration Management	
Develop Project Charter	Project Charter
Close Project	Project Close Report
	Deliverable Transition Checklist

Project Management Roadmap – in scope for future phase

<b>PMBoK Knowledge Area</b>	<b>Project Document/Template</b>
Project Integration Management	
Direct & Manage Project Work	Issues/Assumptions/Decisions Log
	Structured Meeting Template
	Project Health Report
Perform Integrated Change Control	Change Log
	Lessons Learned Register
	Project Archive
Project Scope Management	Scope Management Plan
	Scope Baseline
Project Schedule Management	Schedule Management Plan
	Schedule Baseline
	Project Schedule
Project Cost Management	Cost Management Plan
	Cost Baseline
Project Resource Management	Resource Management Plan
	Project Team Assignments
	Team Charter
Project Communication Management	Communication Management Plan
	Project Communications
Project Risk Management	Risk Management Plan
	Risks Register
Project Stakeholder Management	Stakeholder Engagement Plan
	Stakeholder Register

## **Project Integration Management – Develop Project Charter**

### **Introduction**

**What is a Project?** The Public Works Department is responsible for day to day Operations and Projects. Operations are typically repetitive, long-term and defined by the Operating budget. Projects are typically one-time, shorter-term and defined by the Capital budget. However, there is overlap between Operations and Projects and the criteria below provides guidance on what work qualifies for Project Management. The criteria listed below is a starting point for discussions with your stakeholders and does not necessarily reflect all scenarios which constitute a project.

If two or more of the following criteria are met, then Project Management is required:

- Creation of a unique product, service or result
- Knowledge is broadly shared and progressively elaborated
  - multiple departments or PW divisions/sections involved
  - multiple primary stakeholders, phases or milestones
- Time criteria
  - has a defined start and end date
  - can be long term, short term or time sensitive
- Resource criteria
  - requires choices between alternative projects with limited resources
  - all projects funded from capital budget
  - projects funded from operating budget, criteria to be approved by Division Director/General Manager
- Outcomes are uncertain
  - has political sensitivity and/or council requested
  - is public facing and/or quality sensitive

**What is a Project Charter?** The Project Charter is a document that formally authorizes the existence of a project and is the license for the project team to do business. It is a document that provides clear guidance and communication about what is expected to happen, how the project links to the strategic objectives of the City of Hamilton, how success will be defined and who is accountable. It is a living document that provides the Project Manager with the authority to apply organizational resources to produce the desired product or service and should be reviewed and updated as the project progresses and is clarified.

**Why have a Project Charter?** Projects are human events. They suffer from the variation that comes when people have different perspectives, assumptions, priorities and timelines. An early and important activity is to create a convergence of motives, goals, mandate and energy so that primary stakeholders have input, and the chances of major changes and rework are diminished.

**When is the Project Charter developed?** Developing the Project Charter is the first stage in the project management life cycle. It is contained within the Initiating phase of the project and is an important input into the Planning phase.

**How is the Project Charter developed?** The creator of the Project Charter will access the required inputs, apply the appropriate tools and techniques, to produce the Project charter. The creator of the Project Charter is often, but not limited to, the Project Manager or Project Champion.

Inputs to develop the Project Charter can include, but are not limited to, business cases, agreements, enterprise environmental factors and organizational process assets:

- Enterprise environmental factors are the things that affect the project team's approach to and execution of the project, but which are not under the team's direct control. Examples are standards, regulations, organizational culture or structure and marketplace conditions.
- Organizational process assets are the existing artifacts within the City of Hamilton that are specifically applicable to the project and are used by the City of Hamilton to guide, direct and facilitate the project. Examples are standard processes, policies, procedures, templates, historical information or lessons learned from previous projects.

Tools & techniques used in the project charter development can include, but are not limited to, expert judgement, brainstorming, focused groups, interviews, conflict management, facilitation and meeting management. The project manager should have the appropriate skills to develop the Project charter or have a Project Mentor assigned to provide coaching.

**Tailoring Considerations:** Project's vary in size and complexity therefore it is reasonable to tailor the content of the project charter to only what is needed for successful planning, execution, monitoring, control and closing. Considerations for tailoring include, but are not limited to:

- Project life cycle – how many major phases or milestones will be included in the project life cycle? The more phases the more Project Charter content that is required.
- Product development life cycle – what development life cycle and approach are appropriate for the product, service or process? Will the approach be predictive with minimal changes during the project life cycle or adaptive with multiple changes? The predictive approach normally requires more content in the Initiating phase.
- Project magnitude – is the project scope contained to the section or part of a divisional program or department portfolio? Who oversees the program and portfolio work and how are the various Project Charters aligned, coordinated and documented? Large projects generally require more content to align the programs or portfolios.
- Project stakeholders – how many stakeholders are involved and how much content is required for alignment, accountability and change control?

- Project knowledge – how will knowledge and content be managed to foster a collaborative working environment?
- Political sensitivity – what elements of the Project Charter directly impact the political climate, for example a promise by council, and how much content is required to manage the risk of missed expectations
- Pilot project – is the project a pilot project to test an idea, process or proposal. Depending on the #of stakeholders and risk there may be more or less content in the Project Charter
- Project management maturity – is the Project Manager planning to use PMBoK project management processes? If yes, the Project Charter content can be at a summary level because the details will be contained within the Project Management Plan. If no, it would be beneficial to include a greater level of content in the Project Charter

**Project Name:**

Name the project using a description that is short, unique and easy for people to identify and understand.

Why: The project name can create a sense of excitement and creativity by focusing on the outcome, value or rationale. It can also help in managing multiple projects.

Example: *Public Works Project Management Standardization & Governance*

**Project Charter Number:**

Number the project charter using the following nomenclature – Department-Division-Section-Sub Section(*if applicable*)-Year-sequential numbering of Sectional/Sub Sectional project. If multiple Sections are involved select the Section that is leading the project.

Below is a link to the Recommended Section Codes:

<http://bcos/IntelexLogin/Intelex/DocLink?id=bOqo6MklvYFu4o-TzQiVrnyb1G2EIEpfl4p14syerhvc5EJeqFWkNdXLIVPJ-ziJ0>

Why: The project charter number will be used to track project delivery and reporting.

Example: *Public Works, Environmental Services, Landscape Architectural Services, 2019, project 1 – “PW.ENV.LAS.19.001”.*

**Asset Identification:**

If applicable, insert the Asset Id(s), building code, name, address, site map, municipal address or other asset identifiers. The Asset Id(s) are not to be confused with the Project Id or Dept Id that are generated in PeopleSoft and included in the Project Cost section.

Why: The asset identification will be used for asset tracking, reporting and managing enterprise asset management systems.

Example: *First Ontario Concert Hall, 1 Summers Lane, Hamilton, ON*

**Project Purpose:**

Insert a brief and concise high-level description of what the project is about, why it is needed and how success will be measured. If applicable, insert a problem statement which is an observable gap between where you are and where you want to be.

Why: When project stakeholders understand what a project is about and why it is needed, then they can be aligned and focused on getting the desired results.

*Example: Public Works does not have a standardized project management framework for delivering projects or reporting project health. The lack of standardized project management framework does not allow for consistent, standardized project delivery and knowledge transfer. The lack of standardized project management framework does not support continuous improvement or learning development.*

**Strategic Alignment:**

Insert the primary component of the strategic plan that this project will impact.

Why: All projects should link directly to one, or more, strategic objectives. The link confirms resources are being applied to the right priorities.

Strategy (or Priority)	Primary Impact (select primary component)
Community Engagement & Participation	
Economic Prosperity & Growth	
Healthy & Safe Communities	
Clean & Green	
Build Environment & Infrastructure	
Culture & Diversity	
Our People & Performance	

**Project Drivers:**

Insert the 1-3 primary drivers that initiated the project charter. This can include a significant benefit that is expected, for example, increased efficiency or lower energy costs.

Why: When a project is initiated there are key drivers that are documented for easy reference, project tracking and compliance.

*Examples include, but are not limited to, 1) needs assessment, 2) feasibility study, 3) business case, 4) council reports, 5) internal client 6) master plan, 7) program - collection of projects, 8) portfolio - collection of programs, 9) benefit analysis (ROI, payback), 10) internal audit, 11) regulatory compliance*

Driver	Explanation



**Project Scope:**

Insert a summary of only the work that is necessary to complete the project successfully. This includes what the project will deliver as part of the mandate. A deliverable is a list of tangible or intangible goods or services produced as a result of this project that is intended to be delivered to the project **Champion**, customer, owner, client or stakeholders and marks the successful completion of the project.

Then insert the project boundaries, what will be included and excluded, that will help to clarify what work is required to produce the deliverables.

Why: In the initiating phase the deliverables and scope are the opinion of the Champion, project creators or major stakeholders so it helps to be crystal clear on what is expected, and the project boundaries, as the project transitions to the planning phase.

*Example – Deliverables*

- *Project Management (PM) manual*
- *Training program to implement PM manual*
- *On-line PM document repository*
- *Control plan and recommended PM governance model*

*Example - In Scope/Out of Scope: Several possible categories include 1) what, 2) who, 3) when or 4) where 5) how. Examples include, but are not limited to:*

- *Strategy, business case*
- *Elements, activities, functions*
- *products, processes, procedures*
- *people, stakeholders, roles, skills, resources, training*
- *devices, assets*
- *targets, metrics, measurements*
- *systems, equipment*
- *linkages to other projects*

The scope summary should not replace the more detailed scope baseline that is developed as part of the project plan and change control process.

Project Deliverables	
•	
In Scope	Out of Scope

**Project Schedule:**

Insert a forecasted schedule of high-level project milestones. Milestones flag the completion of a deliverable, a phase or group of tasks, a stage gate or a major turning point in a project.

Why: In the initiating phase the major milestones are the opinion of the Champion, project creators or major stakeholders so it helps to be crystal clear on what is expected and when, and the constraints, as the project moves through the planning, execution, controlling and closing phases. This drives the project forward and is an indicator of the project’s progress.

Start with the initiation date which is the date the Project Charter is started. Then include the project start date which is the date the project is launched with a kick-off meeting. Then include the major milestones with estimated completion dates.

*Examples include, but are not limited to:*

1. *Planning, Design, Construction, Warranty*
2. *Feasibility, Consultant Procurement, Design, Contractor Procurement, Construction, Substantial Performance (typically known as the project close date in construction projects)*
3. *Define, Measure, Analyze, Improve, Control*

Next include the estimated project close date which is the date when the project is signed and authorized to close, and transitioned to the owner or client, or cancelled.

The summary schedule should not replace the more detailed schedule baseline that is developed as part of the project plan and change control process.

Milestone	Date (month, day, year)
Project Charter Initiation Date	
Project Kick-off Meeting or Communication <i>(this is the project start date)</i>	
<i>Insert Milestone #1</i>	
<i>Insert Milestone #2</i>	
<i>Insert Milestone #3</i>	
<i>Insert Milestone #4</i>	
<i>Insert Milestone #5</i>	
<i>Insert Milestone #6</i>	
Estimated Project Close Date (final project output, transition to long-term owner)	

### **Project Cost:**

Insert the primary budget components, the project or dept id, and the year approved or year in which anticipated approval is expected. The project or dept id is an important detail because there may be multiple projects assigned to a single id and a reconciliation of anticipated spend versus available account \$'s is required.

Some project managers may choose to attach the “available funds report (AFR)” or the “capital budget detail sheet” to the charter as an appendix. The AFR contains a breakdown of the summary budget. If applicable, add the estimated “return on investment” or “payback period” in the description.

**Why:** In the initiating phase the funding of the project is a critical detail which cannot be underestimated. All stakeholders need to be clear on what money is available to spend, and what year it can be spent, as the project transition to the detailed planning phase.

The summary budget should not replace the cost baseline that is developed as part of the project plan and change control process.

Description	Project Id/ Dept Id	Cost (\$)	Forecasted Budget Year	Procurement Type	PO Amount
Total					

**Project Requirements:**

Insert the 1-3 primary items or support that are known to be required as the project is created and will increase the chances of a successful project.

**Why:** When the Project Champion and stakeholders understand the requirements, then they can be aligned and focused on managing the requirements to increase the chance of project success.

*Examples include, but are not limited to 1) approvals, 2) permits, 3) funding with timelines, 4) physical resources, 5) cross functional support.*

Requirement	Explanation

**Project Risks:**

Insert the 1-3 primary things (high likelihood and high severity) that can go wrong with a project that will impact the project health, throw the project team off balance and cause a major crisis.

The primary indicators of project health include scope, schedule, budget and quality. Risks can include, but are not limited to, technical, operations, political, legal or geographical issues. Insert a summary of the actions that will mitigate the likelihood of the risk occurring and derailing the project.

When working with consultants or contractors consider the impact of delays to project milestones and the use of liquidated damages, in the RFP and agreement, as a mitigation plan. Insert the estimated daily amount which will be validated in the procurement planning process.

**Why:** Identifying the most important risks and developing a mitigation plan is an effective and efficient way to reduce the likelihood of the risk occurring and derailing the project.

*Examples include, but are not limited to: cause a delay, increase the costs, provincial or federal funding criteria, negative media, impact to staff, prevent realization of deliverables or benefits. Mitigation plans include weekly status reports, Senior Leadership engagement, HR or Communications engagement, Liquidated Damages*

This summary should not replace an assumption log which is comprehensive and updated through the life cycle of the project. This summary should also not replace a more detailed risk analysis within the risk management plan.

Constraint/Assumption	Risk	Mitigation Plan

### **Project Team Members:**

Insert the known roles and names. This is just enough people to do the job and have the right skills to accomplish the work. Remember this is not the final list, you can add and subtract team members through the lifecycle of the project. Use your project support staff to extend the expertise and influence power of your team. Refer to Appendix A for list of Project Roles & Responsibilities.

**Why:** Understanding the major roles as the project is being initiated will enable a productive and comprehensive planning phase. It will also create a known hierarchy for decision making early in the project.

The initial list of roles and names is not to replace the more detailed “Project Team Assignments” within the resource management plan.

Role	Name

Project Champion	
Project Manager	
Alternate Project Manager (if available)	
Project Manager Mentor (if required)	
Asset or Process Owner(s)	
Team Members	
Project Support Staff	

### Project Stakeholders:

Identify a list of people, groups or organizations who are very important to the success of the project or who could impact or will be impacted by the project and require an engagement plan. This is in addition to the stakeholders already identified as team members.

Why: Understanding the major stakeholders, and the plan to engage and communicate, will enable the project team to manage change and increase the chance of project success.

*Examples include, but are not limited to, City of Hamilton residents, Council, other CofH departments, provincial or federal government or committees, unions or businesses. Summarize the key elements of the engagement plan. Engagement plan examples are council reports, community meeting, bi-weekly communication or focus group.*

The stakeholders identified here should not replace a comprehensive “Stakeholder Register” that will list all stakeholders, expectations, classifications and engagement plans.

Name or Group	Impact (High, Medium)	Engagement Plan

### Project Approval:

Identify who approves and authorizes the project’s existence, the content of the Project Charter, and the approval of the Project Manager to use organizational resources. There are two ways to identify project approvals: 1) by project role and 2) by leadership profile. In some cases, there will be cross over in which case only one signature is required. For Example, the Project Champion is also the Director responsible for the Divisional program. Insert Name, Date & Signature. All projects must be signed by the Project Champion, Project Manager and Asset Process Owner(s).

Why: The project charter is an agreement and must be revisited to manage expectations and avoid disappointments, surprises and rework.

Project Role	Name	Date	Signature
Project Champion			
Project Manager			
Asset or Process Owner(s)			

Leadership Profile	Name	Date	Signature
Manager (sectional projects)			
Directors (divisional programs)			
General Managers (departmental portfolios)			

### Project Revision & Approval:

Insert the project version and approval date. A updated version is required when changing the content of the Project charter. All changes will be documented in this amendment document and signed by the Project Champion and those who are significantly impacted by the change.

Multiple changes, that are required in the same timeframe, can be bundled and submitted for approval to decrease workload. The versioning sequence is *1.1, 1.2, 1.3, etc* for changes and approval to one section and whole number progression for changes and approval for multiple sections *1,2,3,4, etc*.

Revision	Summary of Changes	Name (Project Champion)	Date	Signature

## Appendix A - Project Roles & Responsibilities

### Project Champion –

- accountable for project success
- identifies, prioritizes and selects projects ensuring alignment to business strategies & priorities
- obtains the funds and other necessary resources for the project
- defends the capital detail sheet at committee/council
- approves the Project Charter
- approves primary deliverables
- approves changes to Project Charter or Project Management Plan
- removes obstacles that cannot be resolved by the Project Manager or team
- controls progress related to Project deliverables
- typically a General Manager, Director or Manager

### Project Manager

- responsible for project success
- uses the organizations time, money & resources to produce the product, service or process approved in the Project Charter
- directs and co-ordinates all project efforts to meet project requirements
- manages the day to day project team, priorities and performance management
- communicates to primary stakeholders
- submits high-level project change requests to Project Champion
- adheres to applicable policies and procedures including Health & Safety and Procurement
- escalates unresolvable issues to Project Mentor or Project Champion

### Alternate Project Manager

- supports the project success
- assists project manager as required to meet project requirements
- filling in in the absence of Project Manager

### Project Manager Mentor

- supports the project success
- provides Project Management expertise to the Project Manager
- provides assistance in problem solving before issues are escalated to Project Champion

### Asset or Process Owner

- supports the project success including implementing and maintaining the deliverables

- provides expert opinion about the product, service or process
- provides expert opinion about change management challenges and solutions
- communicates to direct stakeholders
- performs the project work as assigned by project manager

#### Team Members

- supports the project success
- collaborates to create the Project Charter and Project Management Plan
- performs the project work as assigned by project manager
- collaborates about changes to scope, schedule, budget or quality

#### Project Support Staff (internal)

- provide expertise, support and resources as required by Project Manager
- typically are not full-time team members
- typically operations, procurement, roster captain, finance, legal, human resources, information technology, project management office, real estate, quality assurance, council, continuous improvement

#### Project Support Staff (external)

- provide expertise, support and resources as required by Project Manager
- typically are not full-time team members
- typically funding agencies, unions, stakeholders, community

#### Vendors

- contracted to perform work that is required to deliver the produce, service or process
- provide expertise, support and resources as required by Project Manager and contained within a formal agreement
- may be member of project team
- typically include, but are not limited to, consultants and contractors



## Project Integration Management – Close Project or Phase

### Introduction:

**What is a Project Close?** Close Project or Phase is the last stage in the project management life cycle. This is the process of finalizing all activities for the project, phase, or procurement contract including warranty period. With work complete, it is time to ensure that all commitments and contracts come to an end and that the organization retains as much value as possible from the work that has been done and from the experience gained in doing that work.

The process includes:

- Transition project’s product (physical asset), service or process to customer, client or stakeholder:
  - a smooth, formal, and complete transition is the most efficient and effective way to ensure that a successfully executed project is perceived as such by the client who receive the project’s product or service
  - after transition the client is completely responsible for the product, service or process including the Operating and Maintenance budget
- Prepare & Communicate Closing report
- Build Project Archive

**Why have a Project Close?** The key benefits of this process are the Project or Phase information is archived, the planned work is completed, and organizational team resources are released to pursue new endeavors.

**When is the Project Close completed?** This process is performed once at the end of the Project, or at predefined points in the Project.

**How is the Project Close completed?** The Project Manager will access the required inputs, apply the appropriate tools and techniques, to then close the project.

Inputs to close the Project can include, but are not limited to, Project Charter, business case, agreements, project documents, accepted deliverables, procurement documentation and organizational process assets.

- Organizational process assets are the existing artifacts within the City of Hamilton that are specifically applicable to the project and are used by the City of Hamilton to guide, direct and facilitate the project.
- *Examples are standard processes, policies, procedures, templates, historical information or lessons learned from previous projects.*

Tools & techniques used in the process of closing a project can include, but are not limited to, expert judgement, data analysis and meetings.

### Project Transition Checklist

A project transition checklist is to be used when transitioning projects or processes. When transitioning an asset between project phases, the [Asset transition checklist](#) is to be used. The [Asset Transfer checklist](#) is to be used when transferring ownership from asset producer to asset owner at the end of a project or during warranty periods. Details on asset transfer process requirements can be found in the [Management of Asset Transfer procedure](#).

Project Deliverables – enter project deliverables which may be a physical asset, service or process

Support Required – enters the support required for the customer, client or stakeholder to take full control of the project’s product, service or process

Name – insert the name of the customer, client or stakeholders

Date – insert the date of approval

Signature – customer, client or stakeholder’s sign to approve transition

Deliverable	Support Required / Timing	Owner Name	Date	Signature
Physical Asset	Identify & update applicable systems / Early			
Physical Asset	Product meets specifications, QA/QC sign-off. Site or factory acceptance test / Early			
Physical Asset	Security complete – keys, access, passcode, etc Contractor turnover of resources / Early			
Physical Asset	Reestablish operating contracts and activities / Early			
Physical Asset	Provide preferred supplier & contact information / Early			
Physical Asset	Provide warranty information / Early			
Physical Asset	Training complete & sufficient / Early			
Physical Asset	Deficiency list complete / Mid			
Physical Asset	Identify & upload maintenance schedules/sustainability			

This is Exhibit "K" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.

A handwritten signature in blue ink, appearing to be "D. Contractor".

---

*Commissioner for Taking Affidavits (or as may be)*



<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<b>PW-P-017-001</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1.1</b>	<b>Issue date</b>	<b>March 2022</b>

## Contents

1	PURPOSE .....	2
2	SCOPE .....	2
3	DEFINITIONS .....	2
4	RESPONSIBILITY.....	7
4.1	Department Leadership Team (DLT) .....	7
4.2	Process Owner/Designate .....	7
4.3	Lead Auditor.....	7
4.4	Audit Team Leader.....	8
4.5	Internal Auditors .....	8
4.6	Technical Experts.....	8
4.7	All Public Works Staff relevant to the Internal Audit .....	8
5	PROCEDURE .....	9
5.1	Auditing Principles.....	9
5.2	Audit Planning .....	9
5.3	Determining Audit Level .....	10
5.4	Selection of Audit Teams .....	10
5.5	Audit Plan.....	11
5.6	Conducting the Audit.....	12
5.7	Completing the Audit.....	13
5.8	Conduct Audit and Corrective Action Follow-up .....	14
6	ASSOCIATED DOCUMENTS .....	14
7	REVISION HISTORY .....	15
8	Appendix 1: Auditing Principles Details.....	16

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

## 1 PURPOSE

To outline the process by which internal audits are planned, conducted, and monitored.

## 2 SCOPE

The processes described in this procedure can be used for planning and conducting Internal audits against a range of audit criteria, including but not limited to:

- Requirements defined in one or more management system standards
- Statutory and regulatory requirements
- Procedures and requirements specified in the Public Works Quality Management System
- One or more management system processes defined by Public Works or its divisions. Audits against these criteria can be done separately or as combined audits.

This procedure applies to all Divisions and Sections of Public Works and applicable staff partaking in the Internal Audit Process and will apply to Departmental (Level II) audits as well as Divisional (Level III - V) audits.

The scope of this procedure excludes the Drinking Water Quality Management System (DWQMS), Wastewater Quality Management System (WWQMS), and the Environmental Laboratory's Quality Management System. Internal Control Checks are also excluded from the scope of this procedure.

## 3 DEFINITIONS

<b>Term</b>	<b>Definition</b>
<b>Audit</b>	Systematic, independent, and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
<b>Audit Conclusion</b>	The outcome of an audit, after consideration of the audit objectives and all audit findings.
<b>Audit Criteria</b>	A set of requirements used as a reference against which objective evidence is compared.
<b>Auditee</b>	Organization as a whole or parts thereof being audited.

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

<b>Term</b>	<b>Definition</b>
<b>Audit Evidence</b>	Records, statements of fact, or other information, which are relevant to the audit criteria and verifiable.
<b>Audit Findings</b>	Results of the evaluation of the collected audit evidence against audit criteria.  Audit findings indicate <i>conformity</i> or <i>nonconformity</i> .  Audit findings can lead to the identification of risks, opportunities for improvement, or recording good practices.
<b>Audit Plan</b>	Description of the activities and arrangements for an audit.
<b>Audit Programme</b>	Arrangements for a set of one or more audits planned for a specific timeframe and directed towards a specific purpose.
<b>Audit Report</b>	A complete, accurate, and concise record of the audit and includes the audit objectives, scope, identification of the Audit Team and auditees, dates, and places where the on-site audit activities were conducted, audit criteria, audit findings, and audit conclusions.
<b>Audit Scope</b>	Extent and boundaries of an audit. The audit scope generally includes a description of the physical and virtual locations, functions, organizational units, activities, and processes, as well as the time period covered.
<b>Audit Team</b>	One or more persons conducting an audit, supported if needed by technical experts. One auditor of the audit team is appointed as the audit team leader and the audit team can include auditors-in-training.
<b>Audit Team Leader</b>	Member of the audit team who leads an individual audit.
<b>Best Practice (BP)</b>	A method or technique that is not widely used but was observed during an audit to be working well for a particular group. Best practices are highlighted in audit

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

<b>Term</b>	<b>Definition</b>
	reports for other groups/divisions to consider incorporating into their processes for adding more efficiency and/or quality.
<b>Conformance</b>	Fulfillment of a requirement.
<b>Competence</b>	Ability to apply knowledge and skills to achieve intended results.
<b>DLT</b>	Department Leadership Team consisting of the General Manager, Divisional Directors, and support staff as required.
<b>Departmental/ Level II Audit</b>	Audits conducted at the Departmental level to ensure that processes comply with requirements in Departmental (Level II procedures) and any of the divisional documents referenced in those procedures.
<b>Divisional/ Level III Audit</b>	Audits conducted at the Divisional levels to ensure that processes comply with divisional (Level III) procedures/management system. These audits shall also ensure that divisional processes are complying with the requirements in the related Departmental (Level II) procedure if any.
<b>Effectiveness</b>	Extent to which planned activities are realized and planned results achieved.
<b>Internal Auditor/Interviewer/Assessor</b>	An individual qualified to conduct an audit in accordance with commonly accepted auditing practices.  For the purposes of this audit, will be referred to as auditor.
<b>Internal Control Check</b>	A routine of checking a procedure/process, which involves cross-checking every aspect of the work performed, at the time when it is performed, and recording the same.
<b>Lead Auditor</b>	Person who oversees and manages the Audit

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

<b>Term</b>	<b>Definition</b>
	Programme. (Also called Audit Program Manager).
<b>Leadership Team</b>	In the context of this procedure, leadership team refers to the Departmental Leadership Team or the Divisional Leadership Team depending on the frame of reference.
<b>Non-conformance</b>	Non-fulfillment of a requirement. A requirement is a need or expectation that is stated, generally implied, or obligatory.
<b>Management System</b>	Set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives.
<b>Major Non-conformance</b>	<p>The absence of, or total breakdown in an element of the Quality Management System, or documented procedure. Major Non-conformances can result in a significant impact to the management system and/or to environment/health and safety.</p> <p>Multiple minors against the same requirement can result in a major non-conformance.</p>
<b>Minor Non-conformance</b>	An observed lapse in a procedure or a requirement. Usually, a single incident that doesn't pose a serious threat to management system operations or the environment/health and safety.
<b>Objective Evidence</b>	Data supporting the existence or verity of something.
<b>Opportunity for Improvement (OFI)</b>	Observation or audit finding that is not a non-fulfillment of the requirements of the organization's system but is recommended for improving the system. An Opportunity for Improvement will not lead to a future non-conformance if not addressed
<b>Possible or Potential Non-conformance (PNC)</b>	An observation or audit finding that does not indicate a non-fulfillment of the requirements but has the potential for a future non-conformance if preventative action(s)



<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

<b>Term</b>	<b>Definition</b>
	are not taken.
<b>Process Owner</b>	The single point of contact accountable for establishing the objectives and managing and monitoring the performance of a process. This person has the authority to make necessary changes to the process.
<b>QRC</b>	Quality Resource Centre.
<b>Requirement</b>	<p>Need or expectation that is stated, generally implied, or obligatory. “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.</p> <p>A specified requirement is one that is stated, for example, in documented information.</p>
<b>Risk</b>	<p>Effect of uncertainty</p> <p>An effect is a deviation from the expected – positive or negative.</p> <p>Uncertainty is the state, even partial, of deficiency of information related to, understanding, or knowledge of, an event, its consequence, and likelihood.</p> <p>Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.</p>
<b>Support Auditor</b>	Member of the audit team who supports the Audit Team Leader. Generally, auditors with less than one (1) year of auditing experience participate as Support Auditors before taking on the role of Audit Team Leader.
<b>Technical Expert</b>	In the context of Internal audits, a person who provides specific knowledge or expertise as it relates to the organization, the activity, process, product, service, discipline to be audited, or language or culture or

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

<b>Term</b>	<b>Definition</b>
	expertise to the audit team. A technical expert to the audit team does not act as an auditor.

## **4 RESPONSIBILITY**

### **4.1 Department Leadership Team (DLT)**

- Ensure that staff within their groups are aware of and follow the processes listed in this procedure
- Provide input into audit requirements and scope
- Review and approve the Internal Audit plan
- Participate in audit opening and closing meetings
- Provide support for the Internal Audit Programme by providing resources as required
- Ensure that Departmental Quality Management System audits are conducted at minimum once every two (2) calendar years.

### **4.2 Process Owner or Designate**

- Make sure required resources and information are available during an audit
- Acknowledge non-conformances issued to processes under their responsibility as per the Non-Conformance, Corrective, and Preventative Actions Procedure PW-P-015-001
- Investigate and propose process improvements
- Communicate with staff to identify issues and advise of changes to the process

### **4.3 Lead Auditor**

- Responsible for the full implementation, control, and effectiveness of the Internal Audit Programme to ensure conformance to applicable requirements.
- Determine the audit scope and objectives in consultation with the Leadership Team
- Create audit plan based on requirements set forth by the Leadership Team
- Ensure that there is an adequate number of trained and competent internal auditors to participate in internal audits
- Provide internal auditors with guidance on what needs to be audited, which may include sample checklists for each Quality Management System element being audited
- Hold opening meeting and closing meeting
- Select members of the auditing team that normally do not work in the area being

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

audited to ensuring objectivity and impartiality of the audit process

- Assist and support auditors through the internal audit process.
- Ensure that audits are conducted utilizing applicable guidelines
- Determine and manage risks that may affect the audit
- Prepare and present the Audit Report to the Leadership Team within 30 days following the completion of the audit
- Communicate the audit programme
- Ensure appropriate records of the Audit are properly maintained and retained
- Assign each non-conformance with “minor” or “major” classification or a similar classification to indicate the impact to the system

**Note:** Lead Auditors can be at the Departmental or Divisional Level, depending upon the audit being conducted. Responsibilities of the Lead Auditor do not change based on the level of the audit

#### 4.4 Audit Team Leader

- Shall coordinate the interview team and communication related to audit interview
- Shall communicate with the auditees in advance to determine the health & safety requirements to be followed at the audit location and ensure that the audit team complies with all safety protocols while on-site
- Schedule audit interviews

#### 4.5 Internal Auditors/Interviewer/Assessor

- Participate in required training to ensure competency
- Remain ethical and impartial during all internal audits
- Stay within the scope of the audit
- Ensure relevant and adequate audit evidence is collected
- Conduct internal audits per the audit plan
- Refer to audit checklists to guarantee auditing against the requirements of the Quality Management System or documented procedure/processes

#### 4.6 Technical Experts

- Provide specific knowledge or expertise to the audit team and act as a resource for the audit team.

#### 4.7 All Public Works Staff relevant to the Internal Audit

- Provide access to relevant documented information requested by the auditors
- Support the Internal Audit programme by actively participating in audit activities as

Title:	<b>Public Works Internal Audit</b>		
Document #	PW-P-017-001	Document Level	Level II
Issue #:	1.1	Issue date	March 2022

applicable.

## 5 PROCEDURE

### 5.1 Auditing Principles

The seven auditing principles below are to be followed when conducting an audit. Please refer to [Appendix 1](#) for full definitions:

- a) Integrity: the foundation of professionalism.
- b) Fair presentation: the obligation to report truthfully and accurately.
- c) Due professional care: the application of diligence and judgement in auditing.
- d) Confidentiality: security of information.
- e) Independence: the basis for the impartiality of the audit and objectivity of the audit conclusions.
- f) Evidence-based approach: the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process.
- g) Risk-based approach: an audit approach that considers risks and opportunities.

The risk-based approach should substantively influence the planning, conducting, and reporting of audits to ensure that audits are focused on matters that are and for achieving the audit programme objectives.

### 5.2 Audit Programme

- 5.2.1 An audit programme should be established which can include audits addressing one or more management systems, standards, or other requirements, conducted either separately or in combination (combined audit). The auditing programme should commence as directed by the Leadership Team based on audit size, scope and available auditors.

### 5.3 Audit Planning

- 5.3.1 Audits may be conducted as per the auditing schedule (see Section 5.4.2 below), or as deemed necessary by the Leadership Team. Audits outside of the regular audit schedule may be requested due to:

- Significant change in cost, risk, level of service or asset performance,
- System deficiencies and/or negative trends that could affect the level of service, asset reliability, or performance, or that could result in personal injury or environmental impact
- Verification of implementation/effectiveness of corrective action/preventive actions

<i>Title:</i>	<b><i>Public Works Internal Audit</i></b>		
<i>Document #</i>	<i>PW-P-017-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1.1</i>	<i>Issue date</i>	<i>March 2022</i>

5.3.2 The Lead Auditor shall review the audit programme on an annual basis and suggest potential continual improvement initiatives with guidance from the Leadership Team. The Public Works Departmental Leadership Team will provide resources, employee time, records, and procedures to support internal audits.

#### **5.4 Determining Audit Level**

5.4.1 Departmentally, audits will be conducted to ensure that processes comply with requirements in Departmental Level II procedures and will include the auditing of all associated documents and processes.

5.4.2 Divisionally, audits will be conducted to ensure that processes comply with requirements in Divisional Level III procedures. This will include the auditing of all associated documents and processes referenced in those procedures as well as the confirmation that these processes are complying with the requirements in the related Departmental Level II procedures.

5.4.3 All auditors will follow a risk-based approach when reviewing all areas of responsibility related to Departmental management, control, and accountability.

#### **5.5 Selection of Audit Teams**

5.5.1 Lead Auditors shall choose internal auditors who exhibit the following minimum competency requirements:

- Understand both the requirements and the intent of the applicable standards, processes, or procedures within the Management System
- Receive appropriate internal auditor training or comparable training
- Are familiar with the Public Works Internal Audit procedure and internal audit protocols; they may have knowledge of the processes but will have no direct responsibility for the area assigned to them to audit.
- Have a general understanding of or be willing to be trained in quality, health and safety, and environmental legislative requirements,
- Must be full-time employees of the City of Hamilton for a minimum of six months. Exceptions can be made for new staff with previous experience related to auditing
- Must uphold and follow the auditing principles listed in Section 5.1
- The Lead Auditor, in consultation with the Leadership Team, shall ensure that a sufficient pool of auditors is maintained for conducting audits
- The Lead Auditor consults with the Quality Management Team(s) on the assignment of audit teams

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

### 5.5.2 Audit Schedule

- Audits are scheduled by the Lead Auditor and Quality Management Team, with guidance from the Leadership Team, and are based on:
  - Size and nature of the process or group being audited
  - Functionality, complexity, type of risks and opportunities, and the level of maturity of the management system(s) to be audited
  - Relevance and importance of the system(s) or process to be audited
  - Previous internal and external audit results
- Systems or processes with higher risk factors (i.e. legislative requirements), in which issues have been identified in past audits or systemic findings and methods that are new, changed, or had demonstrated earlier problems or non-conformances are scheduled at a higher frequency based on evaluation of risk.
- Internal Control Checks can be completed as required by each Division/Section but do not need to follow all the requirements listed in this procedure. No formal report will be required, and corrective and preventative actions will be at the discretion of and monitored by the Division/Section performing the check.
- A draft internal audit schedule shall be prepared that includes proposed dates, team lead, and team members. The draft schedule shall be based on the audit criteria, scope (target areas), and objectives.
- An internal auditor that normally works in the area that is to be audited shall not be scheduled to conduct that particular audit, to prevent a possible conflict of interest.
- The internal audit schedule draft shall be submitted to the Leadership Team for review and approval. Note: The objective of the review is to ensure the availability of resources needed to conduct the audit successfully and to confirm the endorsement from the auditees/auditors of the proposed schedule.
- Any requested amendments should be reviewed and incorporated into the Internal Audit Schedule accordingly.
- Only after the internal audit schedule has been approved and audit members assigned to each audit will the final plan be distributed to the Internal Audit Team and Auditees.

### 5.6 Audit Plan

- The Lead Auditor will create an Audit Plan, in consultation with the Leadership Team, which clearly identifies the objective, scope, and criteria for each individual audit and will include the following:
  - Audit schedule (locations, dates, audit team members)
  - Opening and closing meeting information, audit methodologies, and other pertinent information

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<b>PW-P-017-001</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1.1</b>	<b>Issue date</b>	<b>March 2022</b>

- Responsibilities assigned to each audit team member for auditing specific processes, functions, sites, areas, or activities
- The Audit Plan is to be presented and approved by the auditee(s) and audit team members before the commencement of the audit, to ensure the feasibility of the audit.
- Changes to the audit plan that may be needed as the audit progresses, should be communicated to the auditees, and accepted before continuing with the audit
- Departmental Quality Management System audits should be conducted at minimum once every two (2) calendar years; with the final audit report to be submitted by the Lead Auditor within one month of completion of the audit. The Department Leadership Team will ensure that this requirement is met.

## 5.7 Conducting the Audit

### 5.7.1 Initiate the Audit

- An opening meeting is to be conducted to apprise the audit team and the auditees/process owners or designate of the upcoming audit, the nature of the audit, and the audit plan.
- The opening meeting will be chaired by the Lead Auditor or the Audit Team leader, depending on the scope of the audit.
- The opening meeting provides the opportunity to confirm that the correct auditees have been selected for the audit.
- Content of the opening meeting should include the introduction of the Audit Team, purpose and scope, protocols and timeline, terms & definitions, and the plan for the closing meeting.

### 5.7.2 Prepare for Audit Activities

- The Audit Team reviews the information relevant to their audit assignments as necessary for recording audit proceedings using the provided audit checklists as a reference. The information used in preparing for the audits can include, but are not limited to:
  - Standards
  - System-specific auditing procedures and other operational procedures relating to the area to be audited.
  - Previous findings and status of findings, if available
  - Work documents, which may include: checklists, audit sampling plans, and forms for recording audit evidence and findings.
- The Audit Team Leader gathers information regarding on-site activities and identifies health and safety requirements (i.e. personal protective equipment and

<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

training), provides information to the audit team, and ensures personal protective equipment is available if required.

### 5.7.3 Audit Activities

- The Audit Team may use any of the following methods for collecting evidence during the audit: observations, interviews, and review of documented information.
- The Audit Team will use the provided checklists to ensure they are auditing against the standard; additional questions related to the processes, procedures, or provided documented information can be added as needed.
- All collected evidence should be promptly and clearly recorded in audit work documents.
- The audit team will evaluate the collected audit evidence against the audit criteria to generate audit findings.
- The conformance of each element is to be clearly indicated by identifying:
  - Conformance
  - Non-conformance (major or minor)
  - Possible Non-conformance
  - Opportunities for Improvement
  - Best Practices Identified
- At the end of the audit interview, the findings and observations shall be communicated to the auditee, following up with the process owner if not present at the audit.

## 5.8 Completing the Audit

### 5.8.1 Mini Closing Meeting

- The Audit Team shall schedule a closing meeting with the Auditees and Process Owners to communicate audit results, present findings, observations, and recommendations, present non-conformances, and obtain their acknowledgment, and agree on next steps.

### 5.8.2 Presentation of Audit Findings/Final Closing Meeting

- Once scheduled internal audits are completed, the Lead Auditor will review audit findings and compile the information for presentation to the Leadership Team
- The process for the corrective/preventive action investigation process and resolution, including a root cause analysis and verification, is documented in the Non-Conformance, Corrective, and Preventative Actions Procedure PW-P-015-001.



<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

### 5.8.3 Prepare, Approve, and Distribute the Audit Report

- The Lead Auditor or delegate prepares the audit report with assistance from the Audit Team. The audit report provides a complete, accurate, and concise record of the audit and includes the audit objectives, scope, identification of the Audit Team and auditees, dates, and places where the on-site audit activities were conducted, audit criteria, audit findings, and audit conclusions. Audit findings are to be added and tracked using the departmental software for managing findings (Intelex).
- The draft audit report is reviewed by the Department Leadership Team, the Audit Team, and Divisional Leadership Teams
- Records of the audits (i.e. audit schedule, auditor checklists, and notes, etc.) are retained in accordance with the Departmental Record control requirements as listed in the Control of Records procedure PW-P-016-001
- The audit is completed when all activities described in the audit plan and/or schedule, have been carried out and the approved audit report has been distributed

### 5.9 Conduct Audit Corrective Action Follow-up

- The conclusions of the audit may indicate the need for corrective, preventive, or improvement actions. Audit findings will be managed as per the Non-Conformance, Corrective, and Preventative Actions Procedure PW-P-015-001. Findings are to be tracked using the Departmental software (Intelex) for managing findings.
- Effectiveness of the Internal Audit Programme will be addressed during regular Management Reviews.

## 6 ASSOCIATED DOCUMENTS

- ISO 19011 International Auditing as amended
- ISO 9001 Quality Management Standard as amended
- ISO 45001 Occupational Health and Safety Management (including corrections and amendments)
- ISO 14001 Environmental Management Standard (including corrections and amendments)
- Non-Conformance, Corrective and Preventative Actions Procedure PW-P-015-001
- [Public Works Internal Audit Procedure Training Presentation](#)
- Public Works Internal Auditor Pool List - \*Will be developed and distributed\*
- Templates - Internal Audit Checklists – \*Will be developed and distributed\*



<b>Title:</b>	<b>Public Works Internal Audit</b>		
<b>Document #</b>	<i>PW-P-017-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.1</i>	<b>Issue date</b>	<i>March 2022</i>

**7 REVISION HISTORY**

<b>Rev. No</b>	<b>Rev. Date</b>	<b>Description of change(s)</b>	<b>Process Owner</b>
<b>1</b>	March 2022	NA – First Revision	GM Public Works

Title:	<b>Public Works Internal Audit</b>		
Document #	PW-P-017-001	Document Level	Level II
Issue #:	1.1	Issue date	March 2022

## 8 APPENDIX 1: AUDITING PRINCIPLES DETAILS

- a) Integrity: the foundation of professionalism. Auditors and the individual(s) managing an audit programme should perform their work ethically, with honesty and responsibility; only undertake audit activities if competent to do so and perform their work in an impartial manner.
- b) Fair presentation: the obligation to report truthfully and accurately. Audit findings, audit conclusions and audit reports should reflect truthfully and accurately the audit activities. Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee should be reported. The communication should be truthful, accurate, objective, timely, clear, and complete.
- c) Due professional care: the application of diligence and judgement in auditing. Auditors should exercise due care in accordance with the importance of the task they perform, and the confidence placed in them by the audit client and other interested parties.
- d) Confidentiality: security of information. Auditors should exercise discretion in the use and protection of information acquired in the course of their duties. Sensitive or confidential information should be appropriately and properly handled.
- e) Independence: the basis for the impartiality of the audit and objectivity of the audit conclusions. Auditors should be independent from the function being audited if practicable. Auditors should maintain objectivity throughout the audit process to ensure that the audit findings and conclusions are based only on the audit evidence.
- f) Evidence-based approach: the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process. Audit evidence should be verifiable. It should in general be based on samples of the information available since an audit is conducted during a finite period and with finite resources.
- g) Risk-based approach: an audit approach that considers risks and opportunities. The risk-based approach should substantively influence the planning, conducting, and reporting of audits to ensure that audits are focused on matters that are significant for the audit client, and for achieving the audit programme objectives.

This is Exhibit "L" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.

A handwritten signature in blue ink, appearing to read "ID Contractor". The signature is written in a cursive style with a large, stylized "I" and "D".

---

*Commissioner for Taking Affidavits (or as may be)*



<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<b>PW-P-015-001</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1.0</b>	<b>Issue date</b>	<b>August 2022</b>

Table of Contents

1	PURPOSE .....	2
2	SCOPE .....	2
3	DEFINITIONS .....	2
4	RESPONSIBILITY.....	4
4.1	Top Management .....	4
4.2	Manager or Designate .....	4
4.3	Quality Management System (QMS) Representative(s) or Delegates .....	5
4.4	People Leader.....	5
4.5	All Public Works staff .....	5
5	PROCEDURE .....	5
5.1	Identification of Non-conformances and Non-compliances .....	5
5.2	Reporting and Documentation of Non-conformances and Non-compliances.....	6
5.3	Non-conformance process – Steps involved .....	6
5.4	Immediate Correction.....	8
5.5	Investigation of the Non-conformance .....	8
5.6	Completion of Corrective and Preventative Actions .....	8
5.7	Verification of Effectiveness (Monitoring phase) .....	9
5.8	Closing the Non-conformance .....	9
5.9	Opportunities for Improvement (OFIs) .....	10
5.10	Monitoring and Control.....	10
5.11	Control of Documented Information .....	10
5.12	Training.....	11
6	ASSOCIATED DOCUMENTS .....	11
7	REVISION HISTORY .....	11



<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<i>PW-P-015-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.0</i>	<b>Issue date</b>	<i>August 2022</i>

**1 PURPOSE**

To outline the process for managing non-conformances and non-compliances and to ensure that necessary corrective and preventative actions are implemented and verified.

**2 SCOPE**

This procedure describes processes for identifying and managing non-conformances, non-compliances and opportunities for improvement. This procedure applies to all Divisions in Public Works.

**3 DEFINITIONS**

<b>Term</b>	<b>Definition</b>
<b>Audit</b>	Systematic, independent, and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
<b>Audit Findings</b>	Results of the evaluation of the collected audit evidence against audit criteria.  Audit findings indicate conformity or nonconformity.  Audit findings can lead to the identification of risks, opportunities for improvement or recording good practices
<b>CAPA</b>	Corrective and Preventative Action
<b>Corrective Action (CA)</b>	Action to eliminate the cause of nonconformity and to prevent recurrence
<b>DLT</b>	Department Leadership Team consisting of the General Manager, Divisional Directors, and support staff as required
<b>Investigation</b>	Process of finding the root cause of a non-conformance so that proper corrective/preventative actions can be assigned
<b>Monitoring</b>	Determining the status of a system, a process, a product, a service or an activity
<b>NC</b>	In this procedure, when the acronym NC is used, it is collectively referring to Non-conformances and Non-compliances

<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<i>PW-P-015-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.0</i>	<b>Issue date</b>	<i>August 2022</i>

<b>Term</b>	<b>Definition</b>
<b>Non-compliance</b>	Non-fulfillment of a relevant legal requirement or federal or provincial laws
<b>Non-conformance/ Nonconformity</b>	Non-fulfilment of a requirement. A requirement is a need or expectation that is stated, generally implied or obligatory (as per ISO 9000)
<b>Opportunity for Improvement (OFI)</b>	Observation or audit finding that is not a non-fulfillment of the requirements of the organization's system but is recommended for improving the system. An Opportunity for Improvement will not lead to a future non-conformance if not addressed.
<b>People Leader</b>	Organizational leaders with direct reports who are accountable for the management and performance of a Section, Sub-Section or Team. This is typically Managers, Superintendents or Supervisors.
<b>Potential Non-conformance (PNC)</b>	An observation or audit finding that does not indicate a non-fulfillment of the requirements but has the potential for a future non-conformance if preventative action(s) are not taken.
<b>Preventative Action (PA)</b>	Action to eliminate the cause of a potential non-conformance or other potential undesirable situation
<b>QMS</b>	Quality Management System
<b>Record</b>	Information, recorded in any form (e.g. document, photograph, email, agreement, electronic approval), stating results achieved or evidence of action taken. Retained to provide and preserve information about an action or event. Records have future business, financial, legal, research or archival value.
<b>Requirement</b>	A need or expectation that is stated, generally implied or obligatory
<b>Root Cause Analysis</b>	The process of discovering the root causes of a non-conformance in order to identify appropriate solutions. This analysis looks beyond superficial cause and effect and traces the end failure back to the root cause.

<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<i>PW-P-015-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.0</i>	<b>Issue date</b>	<i>August 2022</i>

<b>Term</b>	<b>Definition</b>
<b>Top Management</b>	Person or group of people who directs and controls an organization at the highest level. Top Management has the power to delegate authority and provide resources within the organization. In the context of this procedure, Top Management refers to the Departmental Leadership Team or the Divisional Leadership Team depending on the frame of reference.

#### 4 RESPONSIBILITY

##### 4.1 Top Management

- Ensure that staff within their groups are aware of and follow the processes listed in this procedure
- Ensure that necessary actions are taken to address non-conformances and non-compliances identified in their groups in a timely manner
- Support and provide required resources for the management of NCs
- Provide direction when process changes are required to address NCs and ensure resolution is reached
- Grant a due date extension for the completion of the non-conformance process and associated corrective/preventative actions (CAPAs), prior to the expiry date, following an evaluation of the business case

##### 4.2 Manager or Designate

- Acknowledge non-conformances and non-compliances issued to processes under their responsibility
- Ensure immediate correction for NCs is being performed when applicable
- Conduct root cause analysis or assign staff to perform the analysis for non-conformances issued to their area of responsibility
- Approve root cause determination and corrective action plan for non-conformances assigned to their area of responsibility
- Ensure corrective and preventative actions are completed within the assigned timeframe
- Ensure that the progress of the non-conformance process and corrective action(s) is communicated to Top Management as needed
- Ensure NCs are closed in a timely manner
- Assign verification of effectiveness for non-conformances, when needed



<i>Title:</i>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<i>Document #</i>	<i>PW-P-015-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1.0</i>	<i>Issue date</i>	<i>August 2022</i>

- Perform final evaluation and approval of non-conformances in consultation with Top Management

#### 4.3 Quality Management System (QMS) Representative(s) or Delegates

- Ensure the validity of identified non-conformances and assign the non-conformance process to the appropriate group and/or person
- Ensure that appropriate deadlines are assigned for Corrective and Preventative Actions (CAPAs) completion
- Verify and approve CAPAs once they are completed
- Track status of NCs to ensure they are closed in a timely manner
- Verify completed non-conformances

#### 4.4 People Leader

- Ensure all reported NCs are communicated to the Manager or Designate

#### 4.5 All Public Works staff

- Participate in the non-conformance, corrective action and preventative action process, as assigned
- Complete assigned Corrective and Preventative Actions within assigned due date
- Communicate existing or potential non-conformances to their People Leaders or Quality Management System Representatives or delegates

### 5 PROCEDURE

#### 5.1 Identification of Non-conformances and Non-compliances

- A non-conformance is a non-fulfilment of a requirement. Non-conformances can be categorized as Major and Minor. A Major Non-conformance is the absence of or total breakdown in an element of the Quality Management System, or documented procedure. Major non-conformances can result in a significant impact to the management system and/or to environment/health and safety.
- A Minor Non-conformance is an observed lapse in a procedure or a requirement. Usually it is a single incident that does not pose a serious threat to management system operations or the environment/health and safety. Multiple minor NCs against the same requirement however can result in a major NC.
- There may also be observations or audit findings that do not indicate a non-fulfillment of the requirements but have the potential for a future non-conformance if preventative action(s) are not taken. These may be identified as potential or possible non-conformances.

<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<i>PW-P-015-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.0</i>	<b>Issue date</b>	<i>August 2022</i>

- In addition to non-conformances, audits may also identify Opportunities for Improvement (OFI) that are recommendations for improving the system. Please refer to [section 5.9](#) for information on managing OFIs.
- A Non-compliance refers to a situation where a relevant regulatory requirement is not met.
- Non-conformances and non-compliances may be identified by any of the following means:
  - Quality Management System audits (internal and external)
  - Regulatory compliance audits, inspections or reviews
  - Monitoring and measurement of Quality Management Systems, including tracking of targets, management programs, etc.
  - QMS management reviews
  - Health & Safety incidents or near misses
  - Workplace Health & Safety inspections
- Staff members may report observed NCs to their People Leader or Quality Management System Representatives.

## 5.2 Reporting and Documentation of Non-conformances and Non-compliances

- When NCs are identified as part of an internal audit, they are to be presented to the appropriate Top Management as noted in the [Public Works Internal Audit procedure](#). NCs identified by other means listed in Section 5.1 are to be communicated to the appropriate Manager and/or Quality Management System Representative who are to communicate this to their Top Management based on the nature and impact of the NC.
- Identified NCs shall be documented with the following details:
  - Date(s) of non-conformance or non-compliance
  - The requirement that was not met
  - Nature and description of the NC, with observed evidence
  - Details of when the NC was reported
  - Immediate correction performed if applicable

## 5.3 Non-conformance process – Steps involved

The reported non-conformance is to be managed using the following major steps:

- Immediate correction to contain the problem, when applicable
- Investigation of the non-conformance to identify the root cause(s)
- Identification of CAPAs to correct the situation, and to prevent reoccurrence of the

<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<b>PW-P-015-001</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1.0</b>	<b>Issue date</b>	<b>August 2022</b>

situation, as applicable

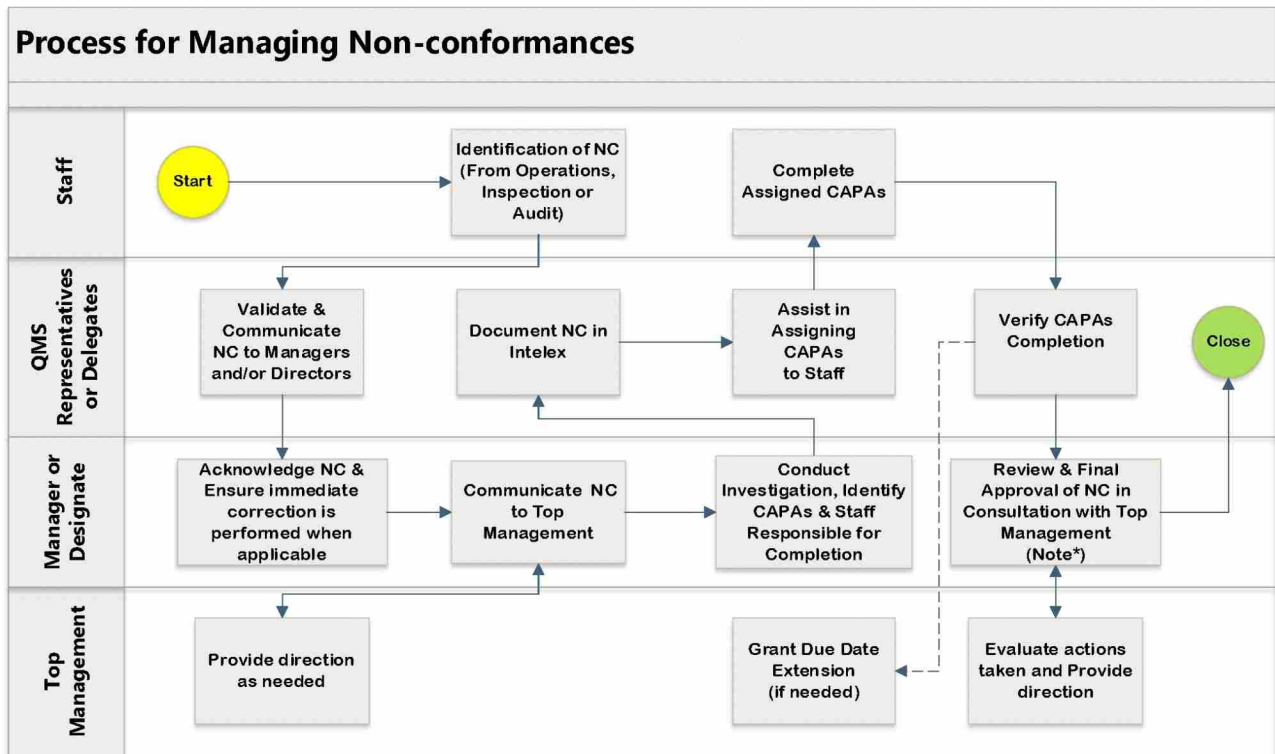
- Implementation of the CAPAs and verification of the completion
- Verification of the effectiveness of the CAPAs before closing the non-conformance

For major non-conformances and legal non-compliances, the process to contain and correct the issue shall be initiated immediately after the formal communication of the identified non-conformance/non-compliance to the Manager/Director or designate.

Any of the following methods may be considered formal communication :

- Audit closing meeting of an Internal audit
- Final Audit report of an External audit
- Final report from a Regulatory audit/Inspection
- Formal correspondence to Manager, Director or the Quality Management Representative(s), communicating the non-conformance
- Other communication equivalent to the above

Figure 1 Process for managing Non-conformances



\*Note: Effectiveness verification is to be conducted when necessary to review the effectiveness of corrective action(s) taken, prior to closing the NC.

<i>Title:</i>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<i>Document #</i>	<i>PW-P-015-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1.0</i>	<i>Issue date</i>	<i>August 2022</i>

Legal non-compliances are to be managed similar to non-conformances, by following the same steps as above or as directed by the Legal Authority.

## 5.4 Immediate Correction

As soon as an NC is reported, steps are to be taken to apply an immediate correction, when warranted, to contain the situation. e.g. Health & Safety non-conformances may need an immediate correction.

## 5.5 Investigation of the Non-conformance

### 5.5.1. Root Cause Analysis

- The Manager or designate will work with subject matter experts (SMEs) and relevant staff to determine the root cause(s) for the non-conformance. An objective analysis of the non-conformance is to be performed so that it does not re-occur or occur elsewhere, by:
  - reviewing and analysing the non-conformance
  - determining the causes of the non-conformance
  - determining if similar non-conformances exist, or could potentially occur
- The deadline for non-conformance investigation will be determined by the QMS Representative(s), depending on the type and severity of the non-conformance.

### 5.5.2. Identification of Corrective and Preventative Actions (CAPAs)

- Based on the root cause analysis for the non-conformance, the Manager or designate will work with the Subject Matter Experts and other relevant staff to identify appropriate CAPAs to control and correct the non-conformance.
- There can be more than one cause for the non-conformance. Identified CAPAs should address all the root causes identified and should address making changes to the Quality Management System when necessary.
- Corrective actions should be appropriate to the effects of the non-conformance encountered.
- Risks associated with the non-conformance should be assessed and appropriate preventative actions should be assigned, based on the severity of the risk. When a potential problem is identified, preventative actions need to be identified that will help eliminate the cause of the potential undesirable situation.

## 5.6 Completion of Corrective and Preventative Actions

<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<b>PW-P-015-001</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1.0</b>	<b>Issue date</b>	<b>August 2022</b>

- Corrective and Preventative Actions (CAPAs) that have been identified are to be reviewed by the QMS Representatives and assigned for completion to appropriate staff in consultation with the Manager/Director or designate.
- Assigned staff are to carry out the tasks indicated in the CAPAs and communicate status of CAPA completion to their QMS Representative(s) regularly.
- CAPAs should be completed within the assigned time frame. When CAPAs need additional time for completion, the reason for the delay should be communicated to the Manager or designate who will communicate this to Top Management for their approval. The approval for extension needs to be documented and retained.
- Completed CAPAs are to be verified for completion by the QMS Representative(s)

### 5.7 Verification of Effectiveness (Monitoring phase)

- Verification of effectiveness is to be conducted when necessary to review the effectiveness of corrective action(s) taken. The effectiveness shall be confirmed prior to closing the non-conformance.
- The timeline for verification of effectiveness will be decided by the QMS Representatives in consultation with the Manager.
- This verification of effectiveness can be conducted through audits, inspections, document reviews, interviews and other methods.

### 5.8 Closing the Non-conformance

- Once the corrective and preventative actions are verified as completed, the Manager or designate shall review the actions taken and discuss with Top Management if any further action is required.

Note: When necessary, the Manager or designate will decide if verification of effectiveness of the CAPAs is to be performed ([see Section 5.7](#)) before closing the non-conformance.

- When all the required steps in the non-conformance process are completed, the Manager or designate will approve and close the non-conformance in consultation with Top Management.
- The non-conformance shall be closed within the assigned timeframe or twelve (12) months from the date of issuance whichever is earlier. The date of issuance refers to the date on which the non-conformance was formally communicated/issued as indicated in [Section 5.3](#).
- Request for due date extension to an open non-conformance shall be presented before the expiry date, to Top Management, who has exclusive authority to grant such a request.

Note: Some non-conformances might need twelve (12) months or more for



<i>Title:</i>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<i>Document #</i>	<i>PW-P-015-001</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1.0</i>	<i>Issue date</i>	<i>August 2022</i>

verification of effectiveness. In such cases, the due date for the closure of the NC can be extended, with approval from Top Management, as long as the identified corrective and/or preventative actions are completed and verified as completed within the above timeframe.

### 5.9 Opportunities for Improvement (OFIs)

- OFIs differ from non-conformances in that they are not a non-fulfillment of a requirement of a management system. OFIs are findings where conformance to a requirement of a management system is met, however, it has been determined that there are ways to improve the process.
- OFIs can be identified through internal/external audit as well as brought forward by staff.
- Root cause analysis is not required for OFIs. Actions needed for improving the process can be identified and assigned for completion as part of continuous improvement.

### 5.10 Monitoring and Control

- Completion of investigation of non-conformances and CAPAs are to be monitored and tracked as Key Performance Indicators (KPIs) and reports presented to DLT when requested.
- Divisional Directors shall communicate Divisional NCs to the Departmental Leadership Team depending on the nature of the NC and possible impact to other Divisions.

### 5.11 Control of Documented Information

Records resulting from the above processes shall be stored and identified as per the requirements outlined in Control of Records Procedure (PW-P-016-001) and following the Corporate Record Retention By-Law.

Records to be maintained related to NCs include, but are not limited to:

- Detailed information about the NC reported, including description of the nature of the NC, evidence collected, date of occurrence, reporting etc.
- Documentation of CAPAs identified, due date for completion and staff assigned for completing the actions
- Evidence demonstrating the completion of the CAPAs and the results
- Documentation of due date extensions
- Records of verification of effectiveness, when applicable

Staff are to use the Departmental Findings Management software (Intelex) for documenting and tracking NCs, to ensure consistency.



<b>Title:</b>	<b>Public Works Non-Conformance, Corrective and Preventative Actions Procedure</b>		
<b>Document #</b>	<i>PW-P-015-001</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1.0</i>	<b>Issue date</b>	<i>August 2022</i>

### 5.12 Training

All staff who have responsibilities related to analyzing NCs and performing corrective/preventative actions should be aware of and be trained on the processes described in this procedure, including root cause analysis methodologies.

## 6 ASSOCIATED DOCUMENTS

- ISO 9001 Internal Standard, Quality Management Systems – Requirements, as amended
- ISO 9000 Internal Standard, Quality Management Systems – Fundamentals and Vocabulary, as amended
- ISO 19011 Internal Standard, Guideline for auditing Management Systems, as amended
- [Public Works Internal Audit \(PW-P-017-001\)](#)
- [Control of Records Procedure \(PW-P-016-001\)](#)
- [Document Control \(PW-P-010-001\)](#)
- [Public Works Non-Conformance, Corrective and Preventative Actions Procedure-Training Presentation](#)

## 7 REVISION HISTORY

<b>Rev. No</b>	<b>Rev. Date</b>	<b>Description of change(s)</b>	<b>Process Owner</b>
1	August 2022	NA - First revision	General Manager, Public Works

This is Exhibit "M" referred to in the Affidavit of  
JANETTE SMITH sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*



<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	1	<i>Issue Date:</i>	<i>March 2021</i>

## INTRODUCTION & EXECUTIVE SUMMARY

The Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan (the “Plan”) has been developed to assist staff with the delivery of the maintenance activities performed within the Lincoln Alexander and Red Hill Valley Parkway (“the Parkway”) corridor. This operational plan is part of the overall Transportation Operations and Maintenance division Operational Plan, a component of the Transportation Quality Management System (TQMS).

The TQMS is a framework that documents processes, procedures, and responsibilities to safely, effectively and efficiently maintain and operate the transportation system while meeting applicable legislative and regulatory requirements.

This Plan focuses on maintenance activities identified to ensure that the Red Hill Valley and Lincoln Alexander Parkways (Parkways) continue to provide a safe and accessible transportation network. The maintenance activities defined are categorised by the following classifications:

- Routine – regular scheduled activities including crack sealing, patching, pothole filling, cleaning, grass cutting and landscape maintenance, cleaning bridge drainage
- Regulatory – MMS inspections to identify safety and maintenance repairs
- Winter Maintenance – winter patrols, salting/brining, snow clearing
- Storm Water Management – pond maintenance/inspection, watercourse maintenance/inspection

All activities and associated costs will be tracked in the Enterprise Asset Management System via work orders, and the budgets will be reviewed annually. The Parkways will be identified as discrete assets within the EAM to ensure that the performance of the work and those associated costs can be accurately tracked, monitored and budgets adjusted accordingly.

Each year, in mid-May the City will implement an annual maintenance shutdown period which will allow for the coordination of several major maintenance activities at once. This approach will increase efficiency and cost reduction through economies of scale, lessen traffic disruption and inconvenience to the travelling public as well as minimize safety concerns by removing conflicts between work crews and motorists.

This plan includes:

1. Scope of the Plan
2. Legislation
3. Definitions
4. Document and Records Management
5. Assets and Asset Components
6. Road Type and Classification
7. Roles and Responsibilities
8. Maintenance Infrastructure Elements, Activities and Level of Service



Hamilton

<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	1	<i>Issue Date:</i>	<i>March 2021</i>

- 9. Compliance Requirements
- 10. Competency and Training Requirements
- 11. Communication
- 12. Internal Audit
- 13. Management Review
- 14. Continuous Improvement



<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	Level II
<i>Issue #:</i>	1	<i>Issue Date:</i>	March 2021

## 1 SCOPE

This Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan (the “Plan”) applies to infrastructure and assets along the Parkway right-of-way and in the Red Hill Valley and affects the following Divisions (Sections) of Public Works: Environmental Services (Parks & Cemeteries, Forestry & Horticulture), Hamilton Water (Water & Wastewater Operations), Transportation Operations & Maintenance (Roadway Maintenance, Transportation Operations). More particularly, the Plan reflects the following asset groups:

- Roadway – ramps, medians, shoulders
- Drainage – catch basins, storm sewers
- Storm Water Management – retention ponds, watercourse
- Bridges and Structural Culverts
- Traffic – signs, signals, pavement markings and street lighting
- Trails and RHV Natural Assets.

The Plan does not include any capital works or capital inspections.

See map of the Parkway corridors in Appendix A.

## 2 LEGISLATIVE REQUIREMENTS

The *Municipal Act, 2001 S.O. 2001, Chapter 25*, gives municipalities jurisdiction over highways and guidelines for the municipality to keep the highway or bridge in a state of repair that is reasonable in the circumstances, including the character and location of the highway or bridge, 2001, c. 25, s. 44(1). The Minister of Transportation has created a regulation to establish minimum standards of repair for highways and bridges, namely, the Minimum Maintenance Standards for Municipal Highways (MMS). The MMS outlines standards to be used as maintenance guidelines for municipal highways in Ontario. On May 3, 2018, a revised Minimum Maintenance Standards for Municipal Highways (Ontario Regulation 239/02) made under the *Municipal Act, 2001*, came into effect.

The Plan is also reflective of the following policies, regulations, and standards:

- O. Reg. 239/02 as amended by O. Reg. 366/18: Minimum Maintenance Standards for Municipal Highways [ <https://www.ontario.ca/laws/regulation/020239> ]
- *Public Transportation and Highway Improvement Act*, R.S.O. 1990, C. P.50 [ <https://www.ontario.ca/laws/statute/90p50> ]
- O. Reg. 104/97 Standards for Bridges [ <https://www.ontario.ca/laws/regulation/970104> ]
- *Highway Traffic Act*, R.S.O. 1990, c. H.8 [ <https://www.ontario.ca/laws/statute/90h08> ]
- O. Reg. 588/17: Asset Management Planning for Municipal Infrastructure [ <https://www.ontario.ca/laws/regulation/170588> ]
- *Weed Control Act*, R.S.O. 1990, c. W.5 [ <https://www.ontario.ca/laws/statute/90w05> ]

<b>Title:</b>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<b>Document #</b>	PW-Y-026-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1	<b>Issue Date:</b>	March 2021

- City of Hamilton Policies, Practices and by-laws
  - Sewer Use By-law No. 14-090 [ <https://www.hamilton.ca/operating-business/commercial-water-sewer/sewer-use-by-law> ]
  - Noise Control By-law No. 11-285 [ <https://www.hamilton.ca/government-information/by-laws-and-enforcement/city-hamilton-by-laws> ]
  - Snow Removal By-Law No. 03-296 [ <https://www.hamilton.ca/sites/default/files/media/browser/2017-09-26/03296.pdf> ]
  - Streets By-Law No. 86-77 [ <https://www.hamilton.ca/sites/default/files/media/browser/2020-04-21/86-077asamendedstreets.pdf> ]
  - Traffic By-Law No. 01-215 [ <https://www.hamilton.ca/sites/default/files/media/browser/2016-08-31/01-215-traffic-by-law-office-consolidation.pdf> ]
  - Trees – Public Property By-Law No. 15-125 [ [https://www.hamilton.ca/sites/default/files/media/browser/2016-05-03/trees\\_-\\_public\\_15-125.pdf](https://www.hamilton.ca/sites/default/files/media/browser/2016-05-03/trees_-_public_15-125.pdf) ]
- Ontario Traffic Manual [ <https://www.library.mto.gov.on.ca> ]
- Ontario Structure Inspection Manual [ <https://www.library.mto.gov.on.ca> ]
- Stormwater Management Planning and Design Manual [ <https://www.ontario.ca/document/stormwater-management-planning-and-design-manual-0> ]

### 3 DEFINITIONS

Term	Definition
<b>Parkway</b>	A high-speed, multi-lane road where traffic going in each direction is separated and ramps let vehicles enter and exit
<b>RHV</b>	Red Hill Valley
<b>RHVP</b>	Red Hill Valley Parkway
<b>LINC</b>	Lincoln M. Alexander Parkway
<b>COH</b>	City of Hamilton
<b>TOMRM</b>	Transportation Operations & Maintenance Division, Roadway Maintenance Section
<b>TOMTO</b>	Transportation Operations & Maintenance Division, Transportation Operations Section



<b>Title:</b>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<b>Document #</b>	PW-Y-026-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1	<b>Issue Date:</b>	March 2021

<b>Term</b>	<b>Definition</b>
<b>EVPC</b>	Environmental Services Division, Parks & Cemeteries Section
<b>EVFH</b>	Environmental Services Division, Forestry & Horticulture Section
<b>WWOPR</b>	Hamilton Water Division, Water and Wastewater Operations Section
<b>TOMQMS</b>	Transportation Operations & Maintenance Division, Business Initiatives Section, QMS unit
<b>Basis for Maintenance</b>	Regulatory – activity is identified in current regulations such as Minimum Maintenance Standards Safety – activity is required to maintain the safety of the roadway Maintenance – the activity is required for asset operation Asset Preservation – activity will contribute to the extension of the asset life by increasing the time between major interventions
<b>Types of Maintenance</b>	Planned – activity is part of an ongoing maintenance program and is budgeted and funded Reactive – activity will be completed as required when identified through complaints, inspections and/or road patrols
<b>Frequency</b>	Weekly – activity is completed each week Monthly – activity is completed once per month Annually – activity is completed once each year Yearly <sup>+</sup> – activity is completed once per a multi-year cycle As required – activity is completed when issue / deficiency identified / reported

<b>Title:</b>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<b>Document #</b>	PW-Y-026-001	<b>Document Level</b>	Level II
<b>Issue #:</b>	1	<b>Issue Date:</b>	March 2021

<b>Term</b>	<b>Definition</b>
<b>Asset</b>	<p>Item, thing or entity that has potential or actual value to an organization.</p> <p>Value can be tangible or intangible, financial or non-financial, and includes consideration of risks and liabilities. It can be positive or negative at different stages of the asset life.</p> <p>Physical assets usually refer to equipment, inventory and properties owned by the organization.</p>
<b>Asset System</b>	A grouping of assets is referred to as an asset system. They are a set of assets that interact or are interrelated.
<b>Asset Portfolio</b>	<p>Assets that are within the scope of the asset management system.</p> <p>A portfolio is typically established and assigned for managerial control purposes. Portfolios for physical hardware might be defined by category (e.g. plant, equipment, tools, land).</p>

#### 4 DOCUMENT AND RECORDS MANAGEMENT

All documented records will be maintained as per Public Works Document Control PW-P-029-01. This procedure controls the issue, change and approval of documents that are used by Public Works staff. It is used to ensure staff can access both internally and external controlled documents including but not limited to policies, procedures, guidelines, agreements and forms.

All maintenance activities will be tracked in a maintenance management system (e.g. Hansen, Cityworks, EAM). The RHVP-LINC are identified as discrete assets within the maintenance management system to enable clear performance and compliance monitoring.

Final approval of Level III procedures, which apply to all sections of the Division, is completed by the Divisional Director. The need for Level IV and V Sectional documents is determined by each Section Manager and/or other Senior Sectional staff. The corresponding Section Manager approves Level IV and V procedures.

All approved Level III, IV and V, related to this document are to be forwarded to TOM Quality Management Team, to incorporate into the document as reference material for staffs use.



<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	1	<i>Issue Date:</i>	<i>March 2021</i>

## 5 PHYSICAL ASSETS

The Parkway corridor is comprised of a variety of different physical assets all of which are contained within the Transportation System portfolio, which is maintained and operated by the Transportation Operations & Maintenance Division as the asset owner. The Plan identifies the assets and how they managed and operated. Appendix C provides a summary of parkway assets.

## 6 ROAD TYPE AND CLASSIFICATION

The Minimum Maintenance Standards O. Reg. 239/02 (MMS) classifies highways with levels one (1) through six (6) based on average daily traffic and posted speed limit. The classification levels determine the level of service recommended as indicated in the MMS. Based on the foregoing, the Red Hill Valley and Lincoln Alexander Parkway are Class 1 roads.

## 7 ROLES AND RESPONSIBILITIES

The Public Works Department Leadership Team created a Level II Standard Operating Procedure titled *PW Asset Responsibilities Within the Right-of-Way PW-P-026-002*. This procedure defines the responsibility by Division/Section, asset element and asset activity for the Right-of-Way corridor. In addition, the companion *Storm Water Asset Responsibility in Public Works PW-P-026-001* SOP defines the responsibility for stormwater infrastructure in the City. They are used to identify asset activities that each Division/Section are responsible to resource and deliver.

In addition, all Trail and RHV Natural assets are outside of the Right-of-Way and are the responsibility of the Environmental Services Division to operate and maintain.

The Quality Management System Unit in the Business Initiatives Section of the Transportation Operations & Maintenance Division is the Process Owner for the overall Operation and Maintenance Plan.

The Director of TOM or designate is responsible for implementation of the Annual Maintenance Shutdown.

<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	Level II
<i>Issue #:</i>	1	<i>Issue Date:</i>	March 2021

## 8 MAINTENANCE INFRASTRUCTURE ELEMENTS, ACTIVITIES AND LEVEL OF SERVICE

### 8.1 Description of Maintenance Activities

Details of the recommended maintenance activities and the associated schedules are set out below. In addition to the activity description the following classifications/drivers for each of the activities have been included:

- Frequency – how often will the activity be completed
- Regulatory – activity is identified in current regulations such as Minimum Maintenance Standards O. Reg. 239/02 and O. Reg. 366/18 amending document
- Safety – activity is required to maintain the safety of the roadway
- Maintenance – the activity is required for asset operation
- Asset Preservation – activity will contribute to the extension of the asset life by increasing the time between major interventions
- Planned – activity is part of an ongoing maintenance program and is budgeted and funded
- Reactive – activity will be completed as required when identified through complaints, inspections and/or road patrols.

A full description of the maintenance activities is attached in Appendix B.

### 8.2 Schedule of Activities

The types of maintenance can be categorized as Planned and Reactive; and the maintenance frequencies can be subdivided into Weekly, Monthly, Annually, and Yearly<sup>+</sup>. Appendix D itemizes the schedule of maintenance activities.

To assist staff with scheduling the more comprehensive maintenance activities, TOM will coordinate the Annual Shutdown of the Parkway corridors in May of each year, to complete various activities scheduled. The scheduled shutdown will be communicated in accordance with the *Escarpment Closure SOP*.

## 9 COMPLIANCE REQUIREMENTS

For the first two years, the Operation and Maintenance Plan will be implemented according to the existing schedule of activities. Beyond the initiation period, the Plan will be reviewed and evaluated to determine if any revisions are necessary.





<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	Level II
<i>Issue #:</i>	1	<i>Issue Date:</i>	March 2021

### **9.1 Control of Non-Conforming Outputs**

When an asset or service is non-conforming or in a state of non-compliance that means one or more requirements have not been met. Instances of non-conformance/non-compliance may be identified through audits, internal or external communication, monitoring and measurement of Plan performance, employee observations/suggestions, and Plan Management Reviews.

A process to formalize how non-conformances are managed will be developed in 2021. The process will include appropriate actions to detect a non-conforming asset or service; investigation and development of preventive or corrective actions; implementation of solution(s); and verification of effectiveness.

### **9.2 Control of Changes**

A Control of Changes SOP will also be created in 2021. The goal is to ensure the review and control of changes that occur for the provision of assets and services in the Plan continue to meet the applicable requirements.

The reason for changes can vary. For example, a need for change can be initiated by an external provider (e.g. because of delivery delays or quality issues), an internal issue (e.g. critical equipment failure, problems with infrastructure, recurrent non-conforming outputs) or an external issue (e.g. new or modified customer/citizen requirements, statutory and regulatory requirements).

The Control of Changes SOP will identify the type of documented information to be retained and the format in which it should be retained, for example a) minutes of the review activities; b) verification and validation results; c) description of the change; d) details of the person(s) authorizing the change (in some cases the customer/citizen could also be involved in review and authorization).

## **10 COMPETENCY AND TRAINING REQUIREMENTS**

All Directors and Managers/Designates responsible for infrastructure along the Parkway Right-of-Way and in the Red Hill Valley will be trained on this overall plan and the requisite activity procedures (i.e. Standard Operating Procedures, Work Instructions, etc.), will be trained on this procedure.

Managers/Designates will be responsible for training staff who are required to perform work under this procedure.

Training and awareness programs must ensure that all personnel have knowledge of the procedure and the methods used to achieve them.



<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	1	<i>Issue Date:</i>	<i>March 2021</i>

## 11 COMMUNICATION

Implementation of the Plan will include development of an annual communication plan. Documenting robust communication processes especially around the Annual Maintenance Shutdown will be important to the success of the broader Plan. Internal stakeholder communication requirements will be established to ensure effective coordination of service delivery. The needs of external stakeholders, such as the general public, will be considered and reflected in the annual communication plan to provide adequate information about how the Parkways are cared for and so that appropriate notice can be provided regarding the Annual Maintenance Shutdown period.

## 12 INTERNAL AUDIT

Reinforcement will occur via internal audits and Divisional/Sectional reviews, including monthly reporting through the Public Works’ Scorecard. Sections are responsible for establishing their own targets, measures and processes.

Objective and systematic performance measurement will assess the Parkway Operation and Maintenance Plan processes against the Standards and relevant system procedures.

## 13 MANAGEMENT REVIEW

A debrief of the Annual Maintenance Shutdown will be conducted within six weeks of the closure. TOMQMS will review the overall performance of the Parkway Operation and Maintenance Plan at least once every calendar year. Data will be collected, analyzed and presented to the Department Leadership Team and any recommendations for improvement of the Plan along with action items to address identified deficiencies will be documented for circulation to the stakeholder groups by July 31<sup>st</sup> of each year.

## 14 CONTINUOUS IMPROVEMENT

Potential and actual non-conformances are identified through audits, internal and external communications, monitoring and measurement of performance, employee observations and TOMQMS reviews. A process will be established to document the effective resolution of non-conformances to the Plan and projects will be undertaken to address them including; root cause analysis, identification of corrective/preventive actions, and verification of completeness and effectiveness as required.

## 15 ASSOCIATED DOCUMENTS

Appendix A - [Parkway Corridors](#)

Appendix B - [Red Hill/Lincoln Alexander Parkway Operation and Maintenance Plan](#)

<i>Title:</i>	<b>Public Works – Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan</b>		
<i>Document #</i>	PW-Y-026-001	<i>Document Level</i>	Level II
<i>Issue #:</i>	1	<i>Issue Date:</i>	March 2021

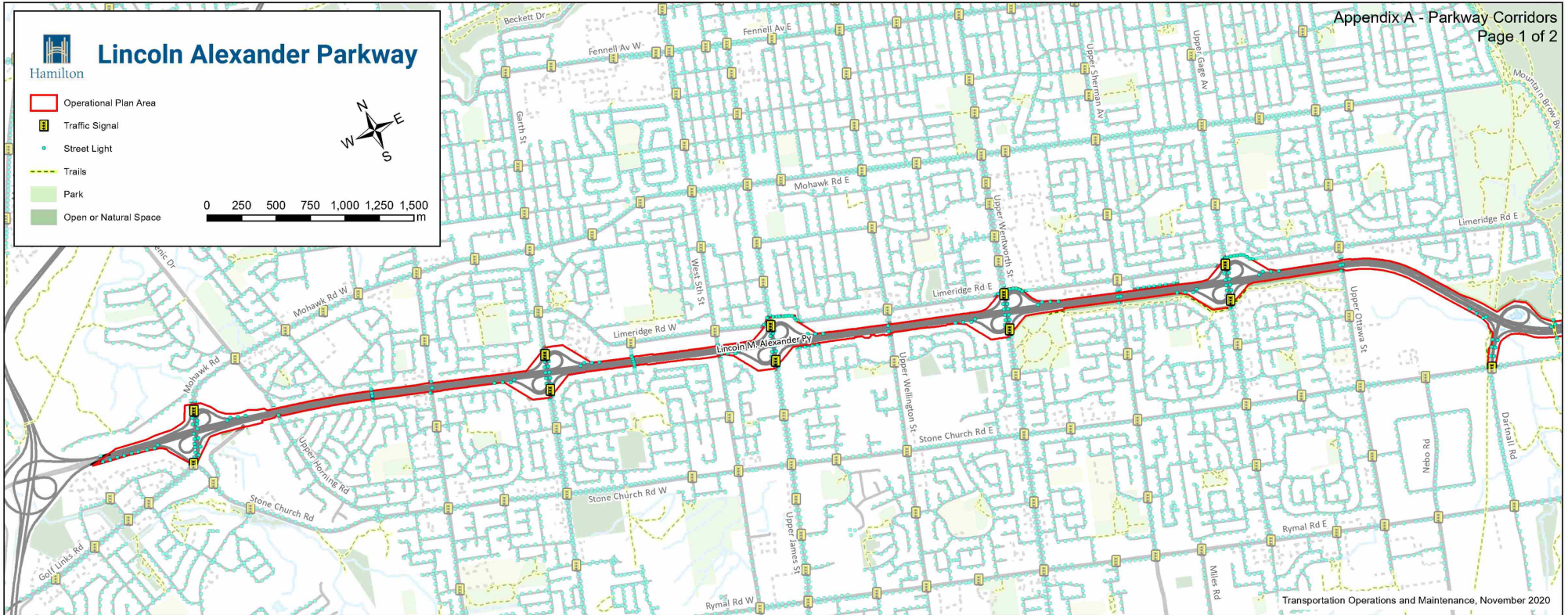
Appendix C - Parkway Corridors - [Quantities of Asset Components](#)

Appendix D - [Parkway Corridors - Maintenance Schedules](#)

## 16 REVISION HISTORY

Rev. No	Rev. Date	Description of change(s)	Process Owner Name & Position	Reviewers/Contributors*
1	February 2021	Initial release	Greg Witt, Senior Process Improvement & Quality Program Manager	<p><b>Engineering Services Division:</b> Erika Waite, Rick Andoga, Rafael Sandoval (Asset Management)</p> <p><b>Environmental Services Division:</b> Kara Bunn, Adriana Byrne, Steve Hasselman (Parks &amp; Cemeteries) Sam Scarlett, Lorne McArthur (Forestry and Horticulture)</p> <p><b>Hamilton Water Division:</b> Don Young, Ryan Moore, Dave Alberton (Water Distribution &amp; Wastewater Collection)</p> <p><b>Transportation Operation and Maintenance Division:</b> Bob Paul, John Searles, Bob Marques, Tammy Blackburn, Peter Sniulis, Robert Albertin, Matthew Pastuszok, Mark Priest, George Berenyi (Roadway Maintenance) Mike Field, Peter Locs, Chris King, Kurt, John Della Pietra, Chris Olszewski, Ed Switenky, Bob Buttrym (Transportation Operations) Kim Wyskiel, Jennifer DiDomenico, Charlene Hands-Lourie (Business Initiatives)</p>

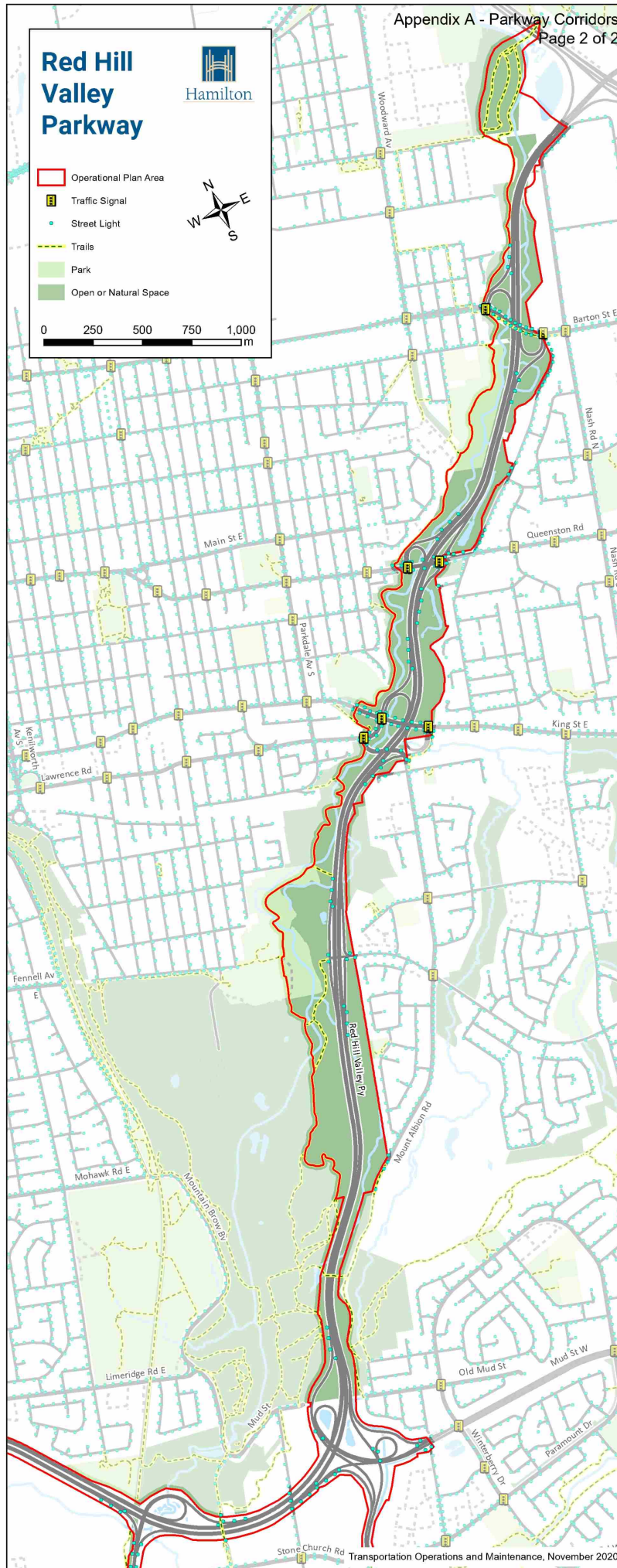
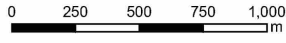
\* These staff contributed content/provided feedback to the Plan and/or reviewed the draft Plan.



# Red Hill Valley Parkway



- Operational Plan Area
- Traffic Signal
- Street Light
- Trails
- Park
- Open or Natural Space



### **Description of Maintenance Activities**

Details of the recommended maintenance activities and the associated schedules are set out below. The table is organized by asset. The following classifications/ drivers for each of the activities have been included:

- Frequency – how often will the activity be completed
- Regulatory – activity is identified in current regulations such as Minimum Maintenance Standards O. Reg. 239/02 and O. Reg. 366/18 amending document
- Safety – activity is required to maintain the safety of the roadway
- Maintenance – the activity is required for asset operation
- Asset Preservation – activity will contribute to the extension of the asset life by increasing the time between major interventions
- Planned – activity is part of an ongoing maintenance program and is budgeted and funded
- Reactive – activity will be completed as required when identified through complaints, inspections and/or road patrols.

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Roadway	Roadway	Pothole Repair	Two types of procedures available: semi-permanent (Hot Mix Patching) [an effective method that results in long term durability of the repaired pothole & that of the surrounding distressed area which may often extend beyond actual pothole] and temporary (cold mix in winter, hot mix in warmer months) [patch of pothole &/or distressed area conducted for restoring rideability and safety as quickly as possible; intended to prevent/restrict moisture from penetrating into road base].	Repair within 4 days of identification [roadway] within 7 days of identification [shoulder]	TOMRM	Yes	Pothole Patching Procedure (PW-OPS-RD-OP-01)  Loading Procedure at Coco Plant (PW-OPS-RD-OP-07) Loading Procedure at King Paving (PW-OPS-RD-OP-08)  Safe Use of Solvent and Release Agent (PW-TOM-RM-P-001-013)  Asphalt Hot Box Maintenance & Cleaning (under development)	MMS Regulation	Yes	Yes	No	No	Yes	Spring/ Winter	Yes
	Roadway	Crack Sealing /Filling	Involves placement of various specialized materials/sealant products into working cracks using unique configurations. Working cracks are defined as those that experience significant horizontal movements, generally greater than 2.5 mm (0.1 in). The process consists of mechanically cutting a sealant reservoir of a desired shape at the working crack, cleaning and drying with hot compressed air, and filling with the specified materials.	Repair within 30 days	TOMRM	Yes	(Contract)	MMS Regulation	Yes	Yes	Yes	No	Yes	Spring	Yes
	Crash Attenuators	Safety Barrier Repair	Remove/install/repair anchors, guide posts, guide wire, guide rails, compact fill material and all other pertinent devices.	As Required, repair within 48 hours	TOMRM	No	(Contract)	-	Yes	No	No	No	Yes	Spring/ Summer /Fall	Yes
	Curbs	Repair/ Maintenance	Task includes on-site concrete preparation for repairs and repairing defects in concrete surfaces, using mortar or grout and trowel, and smoothing rough spots using chisel and abrasive stone.	As Required	TOMRM	No	Curb Repair Procedure - To be developed by December 31, 2021	-	No	Yes	Yes	No	Yes	Spring/ Summer /Fall	Yes
	Fencing & Gates	Repair/ Maintenance/ Replacement	Replacement, repair and maintenance of fencing.	As Required	TOMRM	No	(Contract)	Roadside Fence Policy PW11050	Yes	Yes	Yes	No	Yes	Spring/ Summer /Fall	Yes

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Drainage	Catch Basins	Catch Basin Cleaning	Removal and disposal of debris and sediment from catch basin chambers to maintain surface water flow into the storm sewers and the cleaning of catch basin leads.	Annually	TOMRM	No	Culvert Replacement/Maintenance (under development)	SWM Planning & Design Manual	Yes	Yes	No	Yes	Yes	Spring	Yes
	Catch Basins	Catch Basin Repairs	Replace damaged/fractured catch basin lids and repair of concrete deficiencies, to maintain the flow of surface water into the storm system.	Annually as identified during cleaning; otherwise As Required	TOMRM	No	Culvert Replacement/Maintenance (under development)	-	Yes	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	Yes
	Catch Basins	Catch Basin Sorbents	Apply materials to absorb contaminants such as oil and grease in catch basins resulting from a spill.	As Required	TOMRM	No	Culvert Replacement /Maintenance (under development)	-	No	No	Yes	No	Yes	Year round	N/A
	Culverts	Culvert Cleaning	Remove sediment, leaves, and debris from culverts to maintain the flow of surface water into the storm system.	5 years	TOMRM	No	Culvert Replacement/Maintenance (under development)	-	No	Yes	Yes	Yes	Yes	Spring	Yes
	Culverts	Culvert Repair/ Replacement	Repair defects or replace culverts when defects are identified with the cleaning program. Includes culverts with a shorter span of less than 3 metres.	15 years	TOMRM	No	Culvert Replacement/Maintenance (under development)	-	No	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	Yes
	Inlets/ Outlets	Inlet/ Outlet Cleaning	Remove sediment, leaves, and debris from inlets/outlets to maintain the flow of surface water into the storm system.	5 years	TOMRM	No	Culvert Replacement/Maintenance (under development)	-	Yes	Yes	No	Yes	Yes	Spring	Yes
	Pipes	Storm Sewer CCTV & Cleaning	Flushing to remove sediment, leaves, and debris from storm sewer system to maintain the flow of surface water into the storm system. This will be carried out in conjunction with CCTV inspection using PACP (Pipeline Assessment Certification Program) defect coding to identify future repair needs.	5 years	WWOPR	No	(Contract)	-	No	Yes	Yes	Yes	Yes	Spring	Yes



Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Storm Water Management	Ponds	Access Road Repair /Maintenance	Repair and re-grade gravel access roads.	As Required	WWOPR	No	(Contract)	-	Yes	Yes	No	No	Yes	Spring/ Summer /Fall	No
	Ponds	Forebay/ Sediment Cleaning	To ensure long-term effectiveness, sediment that accumulates in stormwater management (SWM) facilities should periodically be removed.	Every 7-9 Years	WWOPR	No	(Contract)	-	No	No	Yes	Yes	No	Spring/ Summer /Fall	No
	Ponds	Inspections	Visual inspections undertaken as part of other general monitoring activities to identify whether sediment plumes are visible within the facility.	3 times seasonally + after 25mm of rainfall across a 24-hour window	WWOPR	No	SWM Pond Inspection Procedure - To be developed by December 31, 2021	-	No	No	No	Yes	Yes	Spring/ Summer /Fall	No
	Ponds	Vegetation Maintenance - Grass Cutting Only	Maintain vegetation in SWM ponds to ensure performance to design specifications.	5 Cuts Per Year	WWOPR	No	(Contract)	-	No	Yes	No	Yes	Yes	Spring/ Summer /Fall	No
	Ponds	Vegetation Maintenance - Invasive /Noxious Weed Control	Control of noxious weeds, for example giant hogweed, phragmites, ragweed.	Annually	WWOPR	Yes	(Contract)	Weed Control Act	Yes	No	No	Yes	Yes	Spring/ Summer /Fall	No
	Ponds	Sediment Depth Monitoring	To ensure long-term effectiveness sediment depths in SWM facilities should be inspected periodically to determine if removal is required.	2 years	WWOPR	No	(Contract)	-	No	No	Yes	Yes	No	Spring/ Summer /Fall	No
	Watercourse	Debris removal	Remove large debris such as fallen trees from watercourse.	As Required	WWOPR	No	Watercourse Debris Removal - To be developed by December 31, 2021	-	Yes	Yes	No	No	Yes	Spring/ Summer /Fall	No
	Watercourse	Inspection	Visual inspections undertaken as part of other general monitoring activities to identify whether slope stability repairs are required.	1 in every 5 Yr + during/after significant rainfall	WWOPR	No	To be developed by December 31, 2021	-	Yes	No	No	Yes	Yes	Spring/ Summer /Fall	No
	Watercourse	Rock Vein Repair/ Maintenance	Repair and maintain rock veins along watercourse.	As Required	WWOPR	No	(Contract)	-	Yes	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	No
	Watercourse	Vegetation Maintenance - Noxious Weed Control	Control of noxious weeds, for example giant hogweed, phragmites, ragweed.	Annually	WWOPR	Yes	(Contract)	Weed Control Act	Yes	No	No	Yes	Yes	Spring/ Summer /Fall	No
	Flood Gate	Inspection & Testing	SCADA Inspection. Emergency generator testing. <i>Note that the structure is not commissioned at this time.</i>	Monthly	WWOPR	Yes	(Contract)	-	Yes	Yes	No	Yes	No	Year round	No

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Bridges & Structural Culverts	Bridges	Washing, Flushing, Cleaning	Washing, power washing, flushing, inspections and cleaning including abutments, bearings, deck, drainage, joints, parapets, piers, wing walls.	Annually	TOMRM	No	Sweeping Operations (PW-TOM-RM-P-001-017)	Standards for Bridges	No	Yes	Yes	Yes	Yes	Spring	Yes
	Bridges	Minor repair/maintenance	Minor concrete repair/ patching of bridge deck spalls, scaling, railing repairs.	Repair spalls within 4 days of identification	TOMRM	Yes	Bridge Minor Maintenance Procedure - To be developed by December 31, 2021	MMS Regulation	Yes	Yes	Yes	No	Yes	Year round	Yes
	Structural Culverts	Minor Repair/Maintenance	Remove blockage, repair defects or replace culverts (3 m span or greater) when defects are identified during the OSIM inspection program.	As Required	TOMRM	Yes	Culvert Replacement/ Maintenance (under development)	OSIM	Yes	Potential maintenance, review	Potential	Yes	Yes	Spring/ Summer /Fall	Yes
	Pedestrian Bridges	Repair/ Maintenance	Grass cutting, snow clearing* (salting, sanding), weed trimming (Spring cleanup), sidewalk inspection, graffiti, lamp posts and lighting (repair and replacement), fence repairs, and brush clearing. *bridge at Fiona Cres. over LINC only.	*Sidewalk inspection once every 18 months; Other activities As Required	TOMRM	Yes	Sidewalk Inspection/Repair Proced (PW-OPS-RD-OP-09)	OSIM	Yes	Yes	Yes	Yes	Yes	Year round	Yes
Signs & Supports	Signs & Supports	Sign Placement New	Installation of new signs approved by council bylaws. All signs are placed as per the Ontario Traffic Manual.	As Required	TOMTO	Yes	Rdwy Signing for Tourism, Essential Emerg & Spec Events (PW-TOM-TO-Y-002-011)	OTM	Yes	No	No	Yes	No	Year round	Yes
	Signs & Supports	Sign Repair/ Replacement	The repair or replacement of supports and signs due to wear and tear, wind damage, auto accidents.	Once identified - REGULATORY /WARNING signs: repair within 7 days; OTHER signs: repair as soon as practicable	TOMTO	Yes	Traffic Regulatory & Warning Sign Inspect & Repair Proced (PW-RT-P-039-01)	MMS Regulation	Yes	Yes	No	No	Yes	Year round	Yes
	Signals	Signal Operating Costs		N/A	TOMTO	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Signals	Routine Signal Inspection & Maintenance	Repair, adjustment & changes to all existing above & underground signal plant (i.e. hand wells, signal/pedestrian heads, mast arms, brackets etc.). Also includes rewiring the intersection to provide or modify existing phasing, signal display etc. and any cleaning, painting or adjustments to existing signal plant.	Repair as soon as practicable once identified; exception per Sect13.(3): repair by end of next business day	TOMTO	Yes	Traffic Ctrl Signal Sys Repairs Proced (PW-RT-P-039-01)  Traffic Control Signal System Sub-Systems Inspection and Testing Proced (PW-RT-P-039-04)  Traffic Monitor Inspection and Testing Proced (PW-RT-P-039-03)	MMS Regulation	Yes	Yes	Yes	Yes	Yes	Year round	Yes
	Overhead Sign Support Structures	Repair/ Replacement	The repair or replacement of supports due to wear and tear, wind damage, auto accidents.	Once identified - REGULATORY /WARNING signs: repair within 7 days; OTHER signs: repair as soon as practicable	TOMTO	Yes	Traffic Regulatory & Warning Sign Inspect & Repair Proced (PW-RT-P-039-01)	MMS Regulation	Yes	Yes	No	Yes	Yes	Year round	Yes
	Delineators	Repair/ Maintenance/ Replacement	Replace delineators and supports (if applicable) due to wear and tear, wind damage, and auto accidents.	As Required	TOMTO	No	Delineator Replacement - To be developed by December 31, 2021	-	Yes	Replacement Only	No	No	Yes	Year round	Yes

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Traffic	Lighting	Street Lighting Lamp Replacement	Replacement of burnt out lamps.	Repair within 7 days	TOMTO	Yes	(Contract)	MMS Regulation Council Approved-Streetlighting Maint Service Levels	Yes	Yes	No	Yes	Yes	Year round	Yes
	Monitoring cameras and speed detection systems	Routine Maintenance	Point & tilt zoom cameras, video detection cameras, Bluetooth sensors. Reposition/adjust and clean cameras & Bluetooth sensors.	Currently as required but the camera cleaning should be considered as part of an annual program	TOMTO	No	Camera Maintenance - To be developed by December 31, 2021	-	Yes	Yes	No	No	Yes	Spring/ Summer /Fall	Yes
	Pavement Markings	Centre and Edge Line Painting	Refers to applying a material formulated for application onto asphalt or concrete pavement to delineate vehicle operating limits.	5 years for extruded durable 2 times per year for latex	TOMTO	No	Line Painting Procedure - To be developed by December 31, 2021	-	Yes	Yes	No	Yes	No	Spring/ Summer /Fall	Yes
	Pavement Markings	Zone Painting	Refers to applying a material formulated for application onto asphalt or concrete pavement to delineate vehicle operating limits (e.g. stop bars, turn arrows, and miscellaneous text).	5 years	TOMTO	No	Zone Painting Procedure - To be developed by December 31, 2021	-	Yes	Yes	No	Yes	No	Spring/ Summer /Fall	Yes
	Portable Message Signs	Repair/ Maintenance	Trailer mounted portable variable message signs. Contractor maintains and operates.	As Required	TOMTO	No	(Contract) Portable Variable Message Sign Operating Procecd (PW-TOM-TO-P-001-001)	-	Yes	No	No	No	Yes	Spring/ Summer /Fall	No
	Queue End Warning Sign	Repair/ Maintenance	Portable variable message sign with 3 communication /sensor traffic barrels to advise motorists of upcoming stopped traffic. One system on LINC and one system on RHVP. Contractor maintains and operates.	As required	TOMTO	No	(Contract)	-	Yes	No	No	No	Yes	Spring/ Summer /Fall	No

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Winter Control	Roadway	Anti-Icing - Activation	Treating a roadway means applying material to the roadway, including but not limited to, brine, or a comparable liquid alternative.	Per Sect 5.1 Ice formation prevention within 6 hours 5.1 (3) treatment of ice formation within 3 hours	TOMRM	Yes	(Contract)	MMS Regulation <i>?Council Approved-Winter Control LoS Standards</i>	Yes	No	No	Yes	Yes	Winter	N/A
	Roadway	Anti-Icing - Standby		N/A	TOMRM		THIS IS WHAT IS PROVIDED IN CONTRACT TO CONTRACTOR NOT AN ACTIVITY								
	Roadway	Brine Material for Anti-Icing		N/A	TOMRM		THIS IS THE MATERIAL USED NOT AN ACTIVITY								
	Roadway	Patrolling /Weather Monitoring	Patrol to monitor weather & road conditions with the intent to inspect, monitor, and record all weather & road conditions in relation to activating and performing winter maintenance activities.  To monitor the current weather and forecast for next 24 hours.	**Patrol 2x per day  **Weather Monitoring is done 4x per day (forecast & actual)	TOMRM	Yes	(Contract) Snow Emergency and Advisory Procedure (PW-TOM-RM-P-001-016)	MMS Regulation  **City standard is more frequent	Yes	No	No	Yes	Yes (when weather conditions warrant)	Winter	N/A
	Roadway	Plowing - Activation	Plowing and applying salt, sand or any combination of salt & sand on the roadway to address snow accumulation (i.e. the natural accumulation of any of the following that, alone or together, covers more than half a lane width of a roadway: 1. Newly-fallen snow 2. Wind-blown snow 3. Slush).	*Snow accumulation: respond at 2.5 cm for Bare surface condition; 4 hours to clear after end of storm	TOMRM	Yes	(Contract)	MMS Regulation  *Council Approved Winter Control LoS (PW-TOM-TM-P-001-018)	Yes	No	No	Yes	Yes	Winter	N/A
	Roadway	Plowing - Standby		N/A	TOMRM		THIS IS WHAT IS PROVIDED IN CONTRACT TO CONTRACTOR NOT AN ACTIVITY								
	Roadway	Road Salt Material - Bulk Coarse Treated		N/A	TOMRM		SAME AS PLOWING								

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
Vegetation /Cleaning & Debris Management	Roadway	Grass & Weed Control Management and Debris Pickup	Grass cutting activities and weed control. Pick up and removal of debris.	10x per year main; centre median 4x per year Debris & litter pickup 2x per year	TOMRM	Yes	(Contract)	MMS Regulation	Yes	Yes	No	Yes	Yes	Spring/ Summer /Fall	Yes
	Roadway	Sweeping	Removes gravel or stone at road intersections. In response to accidents or spills, clear affected area of debris or liquid. Remove mud or debris tracked onto roadways from construction sites. Maintenance & cleaning of bridge decks and structural components by sweeping decks when required.	Monthly	TOMRM	No	Sweeping Operations (PW-TOM-RM-P-001-017)		No	Yes	No	Yes	Yes	Spring/ Summer /Fall	Yes
	Roadway	Tree Maintenance - General	The maintenance associated with trimming, removal of fallen trees, branches and limbs that result in reduced visibility/sightlines or pose a hazard to the public.	As Required	EVFH	No	Roadside Tree Maintenance Procedure - To be developed by December 31, 2021	-	Yes	Yes	No	Yes	Yes	Spring/ Summer /Fall	Yes
	Roadway	Graffiti Control/ Removal	Removal of graffiti from City property including but not limited to concrete bridges, overpasses abutment walls, retaining walls, roadways, fencing, facilities and roadways.	As Required	TOMRM	No	Graffiti Removal Procedure - To be developed by December 31, 2021	Graffiti Strategy	No	Yes	No	No	Yes	Spring/ Summer /Fall	Yes
	Traffic	Graffiti Control/ Removal	Removal of graffiti from City property including but not limited to signs, signal controller boxes, traffic signal poles and street light poles.	As Required	TOMTO	No	(Contract)	Graffiti Strategy	No	Yes	No	No	Yes	Spring/ Summer /Fall	Yes
Road & Traffic Patrol & Inspection	Roadway	Road Patrol & Inspection	Routine patrol for deficiencies such as potholes, cracks, bridge deck spalls, defective luminaries, debris, graffiti and general unsafe roadway conditions. Road patrol identify and report non-functioning signals, defective regulatory & warning signs including retro reflectivity (i.e graffiti or worn / faded), improper orientation, obscured or missing.	3 times every 7 days	TOMRM	Yes	Roadside Inspection (under development)	MMS Regulation	Yes	Yes	Yes	Yes	No	Year round	No
	Traffic	Traffic Sign Patrol & Inspection	Patrol and asset review to identify deficiencies on regulatory and warning signs including retro-reflectivity, improper orientation, obscured or missing; also review pavement markings.	1 time per year (within 16 months of previous)	TOMTO	Yes	Traffic Regulatory & Warning Sign Inspect & Repair Proced (PW-RT-P-039-01)	MMS Regulation	No	Yes	No	Yes	No	N/A	Yes *conduct preceding closure

Asset Type	Asset Component	Maintenance Activity	Description	Frequency	Responsibility	Regulatory	Applicable Standard Operating Procedure(s)	Governing Legislation / Applicable Guidelines	Safety	Maintenance	Asset Preservation	Planned	Reactive	Seasonal Preference	Annual Closure Activity
RHV Trails	Trail	Debris /Litter	Pick up debris and litter along trails, excluding November 1 - April 1.	3 times per week	EVPC	No	Debris Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	No
	Trail	Erosion control	Trail grading as needed, when reported, excluding November 1 - April 1.	As Required	EVPC	No	Erosion Control Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	No	Yes	Spring/ Summer /Fall	No
	Trail	Repair/ Maintenance	MOWING: on average 3 feet either side of trail. WEED TRIMMING: where required. FALLEN TREE LIMBS /TREE TRIMMING: on, directly beside, or within the fall area of the trail, removal where reported. SIGNAGE: trim around, remove graffiti where reported. PEDESTRIAN BRIDGES: inspection & maintenance of 4 bridges (on City lands that are not within road allowance). No maintenance activity from November 1 - April 1.	MOWING, WEED TRIMMING, SIGNAGE: every 7 working days. PEDESTRIAN BRIDGES: 2 inspections per year. FALLEN TREE LIMBS/TREE TRIMMING: as required	EVPC	No	Trail Maintenance Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	No
	Trail	Security Fencing	Repair and maintenance of City fencing, bollards, and gates that follows the trail. No maintenance activity from November 1 - April 1.	As Required	EVPC	No	Trail Fencing Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	No	Yes	Spring/ Summer /Fall	No
	Waste Receptacles	Empty/ Clean	Empty and clean receptacles along trail, excluding November 1 – April 1 (as cans are removed). Monitor for illegal dumping.	3 times per week	EVPC	No	Waste Receptacle Maintenance Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	Yes	Yes	Spring/ Summer /Fall	No
	Waste Receptacles	Graffiti Control/ Removal	Monitoring and paint over/removal of graffiti from City receptacles, excluding November 1 - April 1 (as cans are removed).	As Required	EVPC	No	Graffiti Removal Procedure - To be developed by December 31, 2021	Graffiti Strategy	No	Yes	No	No	Yes	Spring/ Summer /Fall	No
	Waste Receptacles	Repair/ Maintenance/ Replacement	Wash out receptacles; replace when rotten, damaged or stolen. Excluding November 1-April 1 (as cans are removed).	As Required	EVPC	No	Waste Receptacle Maintenance Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	No	Yes	Spring/ Summer /Fall	No
	Benches	Graffiti Control/ Removal	Monitoring and paint over/ removal of graffiti from City benches.	As Required	EVPC	No	Graffiti Control Procedure - To be developed by December 31, 2021	Graffiti Strategy	No	Yes	Yes	No	Yes	Spring/ Summer /Fall	No
Benches	Repair/ Maintenance/ Replacement	Monitoring and repair of City benches; replace when rotten, damaged or stolen.	As Required	EVPC	No	Bench Maintenance Procedure - To be developed by December 31, 2021	-	Yes	Yes	Yes	No	Yes	Spring/ Summer /Fall	No	

The following table summarizes assets in the Parkway Corridors

<b>Assets/Asset Systems</b>	<b>Quantity</b>	<b>Unit</b>
Roadway - Ramps	187,200	m <sup>2</sup>
Roadway - Shoulders	273,600	m <sup>2</sup>
Roadway - Curbs	112,000	m
Roadway - Median	19,000	m
Roadway - Noise Barriers	22,000	m
Roadway - Fencing	9,000	m
Roadway - Guide/Guard Rails	14,500	m
Roadway - Reflective Markers	2,051	ea.
Roadway - Crash Attenuators	374	ea.
Drainage - Catch Basins	380	ea.
Drainage - Ditches	19,000	m
Drainage - Inlets/Outlets	40	ea.
Drainage - Pipes/Culverts	2,000	m
Stormwater - Outlet Control	6	ea.
Stormwater - Ponds	6,000	m <sup>2</sup>
Stormwater - Access Roads	3,000	m
Stormwater - Fencing (Ponds)	2,400	m
Bridges & Structural Culverts - Bridges	17	ea.
Bridges & Structural Culverts - Structural Culverts	8	ea.
Bridges & Structural Culverts - Pedestrian bridges	3	ea.
Traffic - Signs & Supports	337	ea.
Traffic - Overhead Signs & Supports	38	ea.
Traffic - Signals	18	ea.
Traffic - Striping	150,000	m
Traffic - Marking	755	ea.
Traffic - Delineators	1,367	ea.
Traffic - Lighting	192	ea.
Vegetation/Cleaning & Debris Management - Trees/Shrubs	1,000	ea.
Trails - Trails	10,500	m.
Trails - Trees/Shrubs	1,000	ea.
Trails - Signs	200	ea.
Trails - Waste Receptacles	26	ea.
Trails - Benches	2	ea.
Trails - Lighting/Electrical	130	ea.
Watercourse - Banks	7,000	m
Watercourse - Hydrological deflection	20	ea.

The following tables categorize Parkway Corridor maintenance activities as “Planned” and “Reactive.” They are further subdivided into maintenance frequencies; “Weekly”, “Monthly”, “Annually”, and “Yearly+” and specify the activities during the Annual Maintenance Shutdown Period.

### PLANNED MAINTENANCE ACTIVITIES

<b>WEEKLY MAINTENANCE ACTIVITIES</b>					
Responsibility	Asset Type/ Major Activity	Asset Component	Maintenance Activity	Frequency	Seasonal Preference
<b>TOMRM</b>	Road & Traffic Patrol & Inspection	Roadway	Road Patrol and Inspection	3x every 7 days	Year round
	Winter Control	Roadway	Patrolling /Weather Monitoring	Patrol 2x per day Weather Monitoring 4x per day	Winter
<b>EVPC</b>	RHV Trails	Trail	Debris/ Litter	3x per week	Spring/ Summer /Fall
			Repair/ Maintenance	Mowing, Weed Trimming, Signage 1x every 7 working days	Spring/ Summer /Fall
		Waste Receptacles	Empty/ Clean	3x per week	Spring/ Summer /Fall

<b>MONTHLY MAINTENANCE ACTIVITIES</b>					
Responsibility	Asset Type/ Major Activity	Asset Component	Maintenance Activity	Frequency	Seasonal Preference



<b>MONTHLY MAINTENANCE ACTIVITIES</b>					
<b>Responsibility</b>	<b>Asset Type/ Major Activity</b>	<b>Asset Component</b>	<b>Maintenance Activity</b>	<b>Frequency</b>	<b>Seasonal Preference</b>
<b>TOMRM</b>	Vegetation /Cleaning & Debris Management	Roadway	Grass and Weed Control Management	10x per year main; median 4x per year	Spring through Fall
			Sweeping	Monthly	Spring through Fall
<b>WWOPR</b>	Storm Water Management	Flood Gate	Inspection & Testing	Monthly	Year round
		Ponds	Inspections	3x seasonally + after 25mm rainfall across a 24hr window	Spring/ Summer /Fall
			Vegetation Maintenance – Grass Cutting	5 Cuts per year	Spring/ Summer /Fall
<b>EVPC</b>	RHV Trails	Trail	Repair/ Maintenance Pedestrian Bridges	2 inspections per year	Spring/ Summer /Fall

<b>ANNUAL MAINTENANCE ACTIVITIES</b>					
<b>Responsibility</b>	<b>Asset Type/ Major Activity</b>	<b>Asset Component</b>	<b>Maintenance Activity</b>	<b>Frequency</b>	<b>Seasonal Preference</b>

<b>ANNUAL MAINTENANCE ACTIVITIES</b>						
<b>Responsibility</b>	<b>Asset Type/ Major Activity</b>	<b>Asset Component</b>	<b>Maintenance Activity</b>	<b>Seasonal Preference</b>		
<b>TOMRM</b>	Drainage	Catch Basins	Catch Basin Cleaning	Spring		
			Catch Basin Repairs	Spring/ Summer /Fall		
	Bridges & Structural Culverts	Bridges	Washing, Flushing, Cleaning	Spring		
		Pedestrian Bridges	Repair/ Maintenance	Year round		
Vegetation /Cleaning & Debris Management	Roadway	Debris and Litter Removal	Spring and Fall			
<b>TOMTO</b>	Road & Traffic Patrol & Inspection	Traffic	Traffic Sign Patrol and Inspection	n/a		
<b>WWOPR</b>	Storm Water Management	Ponds	Vegetation Maintenance – Invasive /Noxious Weed Control	Spring/ Summer Fall		
		Watercourse	Vegetation Maintenance - Noxious Weed Control	Spring/ Summer /Fall		
<b>EVPC</b>	RHV Trails	Trail	Pedestrian Bridges	Spring/ Summer /Fall		

**ANNUAL MAINTENANCE SHUTDOWN ACTIVITIES**

The following maintenance activities would be included in an annual road closure maintenance program to be scheduled for a weekend in mid-May:

Responsibility	Asset Type/ Major Activity	Asset Component	Maintenance Activity	Annual Closure Activity	
TOMRM	Roadway	Roadway	Pothole Repair	Yes	
			Crack Sealing/ Filling	Yes	
		Crash Attenuators	Safety Barrier Repair	Yes	
		Curbs	Repair/ Maintenance	Yes	
		Fencing Gates &	Repair/ Maintenance /Replacement	Yes	
	Drainage	Catch Basins	Catch Basin Cleaning	Yes	
		Catch Basins	Catch Basin Repairs	Yes	
		Culverts	Culvert Cleaning	Yes	
		Culverts	Culvert Repair	Yes	
		Inlets/ Outlets	Inlet/ Outlet Cleaning	Yes	
		Pipes	Storm Sewer CCTV & Cleaning	Yes	
	Bridges & Structural Culverts	Bridges	Washing, Flushing, Cleaning	Yes	
		Pedestrian Bridges	Repair/ Maintenance	Yes	
		Structural Culverts	Repair/ Maintenance	Yes	
	Vegetation/ Cleaning & Debris Management	Roadway	Debris and Litter Pickup	Yes	
			Sweeping	Yes	
			Graffiti Control/ Removal	Yes	
		Traffic	Signs Supports &	Sign Placement New	Yes

<b>TOMTO</b>			Sign Repair or Replacement	Yes
		Signals	Routine Signal Inspection & Maintenance	Yes
		Overhead Signs & Supports	Sign Repair or Replacement	Yes
		Delineators	Repair/ Maintenance/ Replacement	Yes
		Lighting	Street Lighting Lamp Replacement	Yes
		Monitoring cameras & Speed Detection Systems	Routine Maintenance	Yes
		Pavement Markings	Centre and Edge Line	Yes
			Zone Painting	Yes
		Traffic	Traffic Sign Patrol & Inspection	Yes
Graffiti Control/ Removal	Yes			
<b>EVFH</b>	Vegetation/ Cleaning & Debris Management	Roadway	Tree Maintenance – General	Yes

<b>YEARLY+ MAINTENANCE ACTIVITIES</b>					
<b>Responsibility</b>	<b>Asset Type/ Major Activity</b>	<b>Asset Component</b>	<b>Maintenance Activity</b>	<b>Frequency</b>	<b>Seasonal Preference</b>
<b>TOMRM</b>	Drainage	Culverts	Culvert Cleaning	5 years	Spring/ Summer /Fall
		Culverts	Culvert Repair/ Replacement	15 years	Spring
		Inlets/Outlets	Inlet/Outlet Cleaning	5 years	Spring
	Bridges & Structural Culverts	Pedestrian Bridges	Sidewalk Inspection	18 months	Spring/ Summer /Fall
<b>TOMTO</b>	Traffic	Pavement Markings	Centre and Edge Line	5 years (durable) 2 years (latex)	Spring/ Summer /Fall
		Pavement Markings	Zone Painting (i.e. turn lanes, stop bars etc.)	5 years	Spring/ Summer /Fall
<b>WWOPR</b>	Drainage	Pipes	Storm Sewer CCTV & Cleaning	5 years	Spring
	Storm Water Management	Ponds	Forebay/ Sediment Cleaning	Every 7-9 years	Spring/ Summer /Fall
		Ponds	Access Road Repair/ Maintenance	2 years	Spring/ Summer /Fall
		Ponds	Sediment Depth Monitoring	2 years	Spring/ Summer /Fall
		Watercourse	Inspection	1 in every 5 years and during/after significant rainfall	Spring/ Summer /Fall

**AS REQUIRED/REACTIVE ACTIVITIES\***

\*these activities may be identified as required through the Road & Traffic Patrols and Inspection and/or received via complaints, or as a result of accidents.


Responsibility	Asset Type /Major Activity	Asset Component	Maintenance Activity	Seasonal Preference
TOMRM	Roadway	Roadway	Pothole Repair	Winter/ Spring
			Crack Sealing /Filling	Spring
		Crash Attenuators	Safety Barrier Repair	Spring/ Summer /Fall
		Curbs	Repair/ Maintenance	Spring/ Summer /Fall
		Fencing & Gates	Repair/ Maintenance/ Replacement	Spring/ Summer /Fall
	Drainage	Catch Basins	Catch Basin Repairs	Spring/ Summer /Fall
			Catch Basin Sorbents	As required
	Bridges & Structural Culverts	Structural Culverts	Repair/ Maintenance	Spring/ Summer /Fall
		Pedestrian Bridges	Repair/ Maintenance	Year round
	Winter Control	Roadway	Anti-icing Activation -	Winter
			Patrolling /Weather Monitoring	Winter
			Plowing Activation -	Winter
	Vegetation/ Cleaning & Debris Management	Roadway	Debris and litter removal	Spring/ Summer /Fall
	Road & Traffic Patrol & Inspection	Roadway	Graffiti Control/ Removal	Spring/ Summer /Fall
TOMTO	Traffic	Signs & Supports	Sign Placement New	As required
			Sign Repair or Replacement	Year round
		Signals	Routine Signal Inspection & Maintenance	Year round
		Overhead Signs & Supports	Sign Repair or Replacement	Year round

		Delineators	Repair/ Maintenance/ Replacement	Spring/ Summer /Fall
		Lighting	Street Lighting Lamp Replacement	Year round
		Portable Message Signs	Repair/ Maintenance	Spring/ Summer /Fall
		Queue End Warning Sign	Repair/ Maintenance	Spring/ Summer /Fall
		Monitoring cameras and speed detection systems	Aim and clean cameras and Bluetooth sensors as required	Spring/ Summer /Fall
<b>WWOPR</b>	Storm Water Management	Ponds	Inspections	Spring/ Summer /Fall
			Vegetation Maintenance - Grass Cutting Only	Spring/ Summer /Fall
		Watercourse	Debris removal	Spring/ Summer /Fall
			Rock Vein Repair/ Maintenance	Spring /Summer /Fall
<b>EVFH</b>	Vegetation/ Cleaning & Debris Management	Roadway	Tree Maintenance - General	Spring/ Summer /Fall

<b>EVPC</b>	RHV Trails	Trail	Debris/Litter	Spring/ /Fall	Summer
			Erosion control	Spring/ /Fall	Summer
			Security Fencing	Spring/ /Fall	Summer
			Repair/ Maintenance	Spring/ /Fall	Summer
		Waste Receptacles	Repair/ Maintenance/ Replacement	Spring/ /Fall	Summer
			Empty/ Clean	Ongoing	
			Graffiti Control /Removal	Spring/ /Fall	Summer
		Benches	Graffiti Control/ Removal	Spring/ /Fall	Summer
			Repair/ Maintenance/ Replacement	Spring/ /Fall	Summer



This is Exhibit "N" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*



<i>Title:</i>	<b><i>Public Works Asset Responsibilities within the Right-of-Way</i></b>		
<i>Document #</i>	<i>PW-P-026-002</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1</i>	<i>Issue date</i>	<i>March 2021</i>

**TABLE OF CONTENTS**

1 PURPOSE..... 2

2 SCOPE..... 2

3 DEFINITIONS..... 2

4 RESPONSIBILITY ..... 3

    4.1 Divisional Director..... 3

    4.2 Managers or Designates..... 3

5 PROCEDURE ..... 3

    5.1 Divisions/ Sections..... 3

        5.1.1 Transportation Operations and Maintenance..... 3

        5.1.2 Engineering Services..... 4

        5.1.3 Environmental Services..... 4

        5.1.4 Transit..... 4

        5.1.5 Energy, Fleet and Facilities..... 4

        5.1.6 Hamilton Water..... 4

6 MONITORING & CONTROL..... 4

7 COMMUNICATIONS & REPORTING..... 5

8 CONTROL OF DOCUMENTED INFORMATION..... 5

9 TRAINING..... 5

10 ASSOCIATED DOCUMENTS..... 5

11 REVISION HISTORY..... 6



<b>Title:</b>	<b><i>Public Works Asset Responsibilities within the Right-of-Way</i></b>		
<b>Document #</b>	<i>PW-P-026-002</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>March 2021</i>

## 1 PURPOSE

The purpose of this procedure is to define roles and responsibilities by Public Works Division/Section for each asset/asset system within the City’s transportation system infrastructure. Responsibilities are defined for activities related to operations & maintenance, inspection for capital purposes, capital replacement, inventory control and monitoring requirements (e.g. Minimum Maintenance Standards (MMS), Ontario Structure Inspection Manual (OSIM), Environmental Compliance Approval (ECA)).

## 2 SCOPE

This procedure applies to all Divisions in the Public Works Department who have assets, identified in Appendix A, located within the Right-of-Way on all public highways maintained by the City of Hamilton.

The procedure includes all City-owned assets located both above ground and underground.

For information only, some assets owned by external parties (e.g. Other Departments/Divisions, Telecommunications and Business Improvement Areas (BIA)) have been included in Appendix A.

## 3 DEFINITIONS

<b>Term</b>	<b>Definition</b>
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in state of good repair, until that asset is decommissioned, rehabilitated or replaced.
<b>Operations &amp; Maintenance Inspection</b>	Inspection tasks completed in order to ensure safe and efficient operation of an asset (e.g. inspection of a culvert to ensure flow is not blocked).

Additional definitions are in Appendix A.



<i>Title:</i>	<b><i>Public Works Asset Responsibilities within the Right-of-Way</i></b>		
<i>Document #</i>	<i>PW-P-026-002</i>	<i>Document Level</i>	<i>Level II</i>
<i>Issue #:</i>	<i>1</i>	<i>Issue date</i>	<i>March 2021</i>

#### **4 RESPONSIBILITY**

##### **4.1 Divisional Director**

- Ensure Divisional staff take responsibility for asset activities identified in Appendices A - D.
- Ensure appropriate resources are applied to manage the identified assets and that current gaps in resource availability are identified and acted upon accordingly.
- Recognize that current gaps in the knowledge of asset existence and location will result in some asset activities having to be handled in a reactive manner.

##### **4.2 Managers or Designates**

- Assign and complete asset management activities where resources are available and according to requirements identified within the Division.
- Proactively manage asset activities to ensure work is completed effectively and efficiently.
- Identify current gaps in resource availability for required asset activities.
- Recognize that current gaps in the knowledge of asset existence and location will result in some asset activities having to be handled in a reactive manner.

#### **5 PROCEDURE**

##### **5.1 Divisions/Sections**

Appendices A - E identify Divisional/Sectional asset activity responsibilities. Asset activities include operations & maintenance, inspection related to operations & maintenance, inspection for capital purposes, capital replacement, inventory control and monitoring requirements (e.g. Minimum Maintenance Standards (MMS), Ontario Structure Inspection Manual (OSIM), Environmental Compliance Approval (ECA)) and should be undertaken as required in an efficient and effective manner and where resources are available.

##### **5.1.1 Transportation Operations and Maintenance**

Responsible for the operations and maintenance of Roadway assets within the Right-of-Way. The Division is responsible for providing a safe, accessible and efficient transportation system for the movement of people, goods and services across the City.



<b>Title:</b>	<b>Public Works Asset Responsibilities within the Right-of-Way</b>		
<b>Document #</b>	<b>PW-P-026-002</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1</b>	<b>Issue date</b>	<b>March 2021</b>

### 5.1.2 Engineering Services

Responsible for the provision of surveying, design, engineering, tendering and construction administration services associated with the delivery of the capital program and other corporate initiatives requiring the construction of municipal infrastructure that supports key corporate objectives.

Engineering Services is responsible for condition assessments for the purpose of capital programming, scheduling the OSIM inspection as well as collaborating with Transportation Operations and Maintenance to ensure that all OSIM structural inspection maintenance and capital deficiencies are addressed. Each Division will be required to review, schedule required work, and report the inspections findings, in accordance with the Sharing of Consultant Reports PW-P-008-001.

### 5.1.3 Environmental Services

Responsible for planning, designing, constructing, operating and maintaining municipal parks, green spaces, programmed open space and recreational trails. The Division also maintains the tree canopy on municipal property and provides and maintains horticultural features.

### 5.1.4 Transit

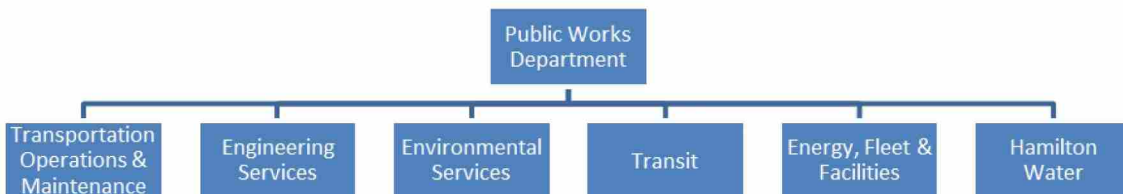
Responsible for Transit pads, shelters and end of route loops.

### 5.1.5 Energy, Fleet and Facilities

Responsible for the pedestrian bridge over King St (Sheraton Hotel/ Jackson Square).

### 5.1.6 Hamilton Water

Responsible for operations, maintenance, inspection, capital replacement, inventory control and monitoring activities related to water, wastewater and storm water infrastructure.





<b>Title:</b>	<b><i>Public Works Asset Responsibilities within the Right-of-Way</i></b>		
<b>Document #</b>	<i>PW-P-026-002</i>	<b>Document Level</b>	<i>Level II</i>
<b>Issue #:</b>	<i>1</i>	<b>Issue date</b>	<i>March 2021</i>

## 6 MONITORING AND CONTROL

### Monitoring

Known assets will, to the best of an area’s ability, be tracked and activities managed in a coordinated manner and using the system or approach (i.e. maintenance management system) currently in use in the Division.

Reinforcement will occur via internal audits and Divisional/Sectional reviews.

### KPIs and Metrics

Divisions will be required to track maintenance, inspections and capital expenditures in relation to the assets listed in Appendix A in their scorecards.

### SOP Review

For the first two years, the SOP and associated appendices will be implemented according to the existing assignment of responsibilities. Beyond the initiation period, the SOP and associated appendices will be reviewed and evaluated to determine if any revisions are necessary.

## 7 COMMUNICATIONS AND REPORTING

- Communications and Reporting are considered Divisional specific and will be addressed at that level in the organization.
- Divisions will report annually on the assets in the Annual Sectional Reports.

## 8 CONTROL OF DOCUMENTED INFORMATION

All documented records related to the assets identified in Appendix A will be maintained as per *Public Works Document Control PW-P-010-01*. This procedure controls the issue, change and approval of documents that are used by Public Works staff. It is used to ensure staff can access both internal and external controlled documents including but not limited to policies, procedures, guidelines, agreements and forms.

All maintenance activities should be tracked in a maintenance management system and maintained in accordance with the *PW Records Control Procedure PW-P-016-001*.



<b>Title:</b>	<b>Public Works Asset Responsibilities within the Right-of-Way</b>		
<b>Document #</b>	<b>PW-P-026-002</b>	<b>Document Level</b>	<b>Level II</b>
<b>Issue #:</b>	<b>1</b>	<b>Issue date</b>	<b>March 2021</b>

## 9 TRAINING

All Directors and Managers/Designates responsible for infrastructure along the Right-of-Way identified in Appendix A will be trained on this procedure.

Managers/Designates will be responsible for training staff who are required to perform work under this procedure.

Training and awareness programs must ensure that all personnel have knowledge of the procedure and the methods used to achieve them.

## 10 ASSOCIATED DOCUMENTS

- [Document Control Procedure](#)
- [Records Control Procedure](#)
- Sharing of Consultant Reports PW-P-008-001

## 11 APPENDICES

- Appendix A – [Summary of Roles and Responsibilities of Above Ground Assets](#)
- Appendix B – [Summary of Roles and Responsibilities of Below Ground Assets](#)
- Appendix C – [Summary of Roles and Responsibilities for Roadway & Pedestrian Bridges](#)
- Appendix D – [Summary of Roles and Responsibilities for Multi-Use Pathways & Recreation](#)
- Appendix E – [Summary of Roles and Responsibilities for Gateways](#)

## 12 REVISION HISTORY

Rev. No	Rev. Date	Description of change(s)	Process Owner Name & Position
1	March 2021	Initial Release	Senior Process Improvement & Quality Program Manager

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**

## PUBLIC WORKS DEPARTMENT

### SUMMARY OF ROLES AND RESPONSIBILITIES OF ABOVE GROUND ASSETS

#### DEFINITIONS

Term	Definition
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in good condition, until that asset is decommissioned, rehabilitated or replaced.
<b>Operations &amp; Maintenance Inspection</b>	Inspection tasks completed in order to ensure safe and efficient operation of an asset (e.g. inspection of a culvert to ensure flow is not blocked).
<b>Capital Inspection</b>	A condition assessment undertaken on an asset to determine if capital replacement or rehabilitation is required (e.g. regular condition assessments of bridges (OSIM)). *A condition assessment is the systematic process of determining the physical structural condition and intended operational state of an asset.
<b>Capital Rehabilitation or Replacement (excluding bridges)</b>	Program works resulting from a structural condition or asset lifecycle assessment and capital funds to replace, enhance (re-design) or rehabilitate an asset. Includes rehabilitation of a road segment in its entirety.
<b>Capital Rehabilitation or Replacement - Bridges</b>	Rehabilitation or replacement of entire bridge or individual components exceeding 30% deterioration that cannot be addressed by regular maintenance activities. Capital works are programmed works and usually require material testing and engineering. (i.e. Deck rehabilitation, deck replacement, expansion joint replacement, parapet wall replacement, scouring



Term	Definition
	repairs, abutment rehabilitation, pier and girder rehabilitation or replacement.)
<b>Road Capital Maintenance</b>	An exclusively State-Of-Good-Repair activity, bundled, programmed and delivered through the capital program. This activity is performed in a timely and cost-effective manner and is designed to address immediate structural roadway pavement deficiencies and/or preserve the life expectancy of the roadway asset.
<b>Inventory Control</b>	A complete list (to the best available information) of asset locations by category; geo-centric asset registry.
<b>Monitoring (Legislated)</b>	Legislative compliance of an asset.
<b>Asset</b>	<p>Item, thing or entity that has potential or actual value to an organization.</p> <p>Value can be tangible or intangible, financial or non-financial, and includes consideration of risks and liabilities. It can be positive or negative at different stages of the asset life.</p> <p>Physical assets usually refer to equipment, inventory and properties owned by the organization.</p> <p>In TOM, a signal head is an example of an asset that is part of the broader traffic signal asset system.</p> <p>Colloquially, an asset system could also be considered as an asset.</p>
<b>Asset System</b>	A grouping of assets is referred to as an asset system. They are a set of assets that interact or are interrelated.

Term	Definition
	<p>In TOM, traffic signals are an example of an asset system that is contained within the roadway network asset portfolio. The asset system is made up of many different assets.</p>
<p><b>Asset Portfolio</b></p>	<p>Assets that are within the scope of the asset management system.</p> <p>A portfolio is typically established and assigned for managerial control purposes. Portfolios for physical hardware might be defined by category (e.g. plant, equipment, tools, land).</p> <p>An asset management system can encompass multiple asset portfolios.</p> <p>In TOM, the transportation network is an asset portfolio. The portfolio is made up of many different asset systems.</p>

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Roadway	Part of the highway that is improved, designed or ordinarily used for vehicular traffic, but does not include the shoulder, and, where a highway includes two or more separate roadways, the term "roadway" refers to any one roadway separately and not to all of the roadways collectively. Included are paved roads and other roads with a stabilized base (e.g. gravel roads). Roadways also include streets, alleyways, tunnels, supporting structures, junctions, crossings and interchanges. (Highway Traffic Act definition)	TOMRM	TOMRM	ENG	ENG	ENG	TOMRM - MMS
Roadway Bridges	A structure which provides a roadway or walkway for the passage of vehicles, pedestrians or cyclists across an obstruction, gap or facility and is greater than or equal to 3 m in span. Appendix B defines maintenance responsibilities.	APPENDIX B		ENG	ENG	ENG	ENG - OSIM TOMRM - MMS
Curbs	By delineating the edge of the pavement, curbs separate the road from the roadside	TOMRM	TOMRM	N/A	ENG	N/A	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	and discourage drivers from parking or driving on sidewalks and grass. They also provide structural support to the pavement edge. Curbs can be used to channel runoff water from rain or melted snow and ice into storm drains.						
Shoulder	The shoulder is usually slightly narrower than a full traffic lane. The purpose of a shoulder is to use in the event of an emergency or breakdown and for emergency vehicle turnarounds.	TOMRM	TOMRM	N/A	ENG	N/A	TOMRM - MMS
Speed cushion	Asphalt protrusions 30-40 cm high that extend the width of the roadway, varying in length depending on type. Speed humps are rounded, while speed tables have a flat top.	TOMRM	TOMRM	N/A	TOMTO ENG	TOMTO	TOMRM
Median Strip	Portion of a highway so constructed as to separate traffic travelling in one direction from traffic travelling in the opposite direction by a physical barrier or a raised or depressed paved or unpaved separation	TOMRM	TOMRM	N/A	N/A	N/A	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	<p>area that is not intended to allow crossing vehicular movement.</p> <p>The median strip can be grass or hard surface areas, and in some cases may also include ditching to provide storm drainage.</p> <p>*Where beautification is present please refer to: Planting in Traffic Medians, Boulevards, and Roundabouts.</p>						
Pedestrian Crossover (PXO)	Portion of a roadway distinctly indicated for pedestrian crossing by signs on the highway and lines or other markings on the surface of the roadway as prescribed by the regulations.	TOMTO	TOMTO	TOMTO	TOMTO ENG	TOMTO	TOMTO
Transit End-of-Lines/ Loops	End-of-lines are recovery points for transit vehicles within road allowance and can have amenities such as Operator washrooms, a transit shelter, bus stop signs and landing pads.	Transit PI/OPS	Transit PI/OPS	Transit PI	Transit PI	Transit PI	N/A
Reflective Markers	A safety device used on roads. Common materials are plastic, ceramic, or metal. They may include a lens or sheeting that enhances their visibility by retroreflecting	TOMTO	TOMTO	N/A	TOMTO ENG	TOMTO	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	automotive headlights, while glass road studs gather automotive headlights with a dome shape and reflect the lights with a reflective layer within.						
Crash Attenuators	A device intended to reduce damage to structures, vehicles, and motorists resulting from a motor vehicle collision. Impact attenuators are designed to absorb the colliding vehicle's kinetic energy. O&M Inspection to be completed with annual shutdown.	TOMRM	TOMRM	N/A	ENG	TOMRM	N/A
Pavement Markings	Road surface markings are used on paved roadways to provide guidance and information to drivers and pedestrians. Pavement markings combine with road signs and traffic lights to give important information about the direction of traffic and where travel is permitted. Pavement markings divide traffic lanes, indicate turning lanes, pedestrian crossings and obstacles, and specify when it is not safe to pass.	TOMTO	TOMTO	TOMTO	TOMTO ENG	TOMTO	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Signs & Supports	Traffic signs relay important information about the law, warn about dangerous conditions and assist with navigation. Signs use different symbols, colours and shapes for easy identification.	TOMTO	TOMTO	TOMTO	TOMTO ENG	TOMTO	TOMTO
Overhead Sign Support Structures	A metal, concrete or timber structure, including supporting brackets, service walks and mechanical devices where present, which support a luminaire, sign or traffic signal and which span or extend over a highway.  A permanent structure with a foundation used to support an overhead sign over a Roadway.	TOMTO	ENG - OSIM	ENG - OSIM	ENG	ENG	ENG - OSIM
Signals	Traffic lights direct drivers and pedestrians as to what they must do at intersections and along roads. They tell road users when to stop and go, when and how to turn and when to drive with extra caution.	TOMTO	TOMTO	TOMTO	TOMTO ENG	TOMTO	TOMTO
Street Lighting	A streetlight, light pole, lamppost, streetlamp, light standard or lamp standard is a raised source of light on the edge of a	TOMTO	TOMTO	TOMTO	TOMTO ENG	TOMTO	TOMTO

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	road or path. Many lamps have light-sensitive photocells that activate automatically depending on light levels (e.g. dusk, dawn, or the onset of dark weather).						
Traffic Monitoring Systems	Traffic monitoring cameras are used to observe roadways to monitor congestion and respond to incidents and emergencies. These cameras are not used for security, law enforcement or municipal licensing enforcement purposes.	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO	N/A
Digital Speed Signs (DSS)	Flashing speed signs that serve as traffic calming devices.	TOMTO	TOMTO	N/A	N/A	TOMTO	N/A
Bike Lane	Bicycle lane – A portion of a roadway that has been designated for the exclusive use of cyclists by signage and a physical or marked buffer. “Bicycle facility” means the on-road and in-boulevard cycling facilities listed in Book 18 of the Ontario Traffic Manual.	TOMRM	TOMRM	ENG	ENG TOMTO	TOMTO	TOMRM



Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Bike Lane – Signage & Delineators	Specific bike lane components, including pavement markings or signage, precast concrete curbs and bollards.	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO
Sidewalk	Part of the Road Allowance specifically set aside or commonly understood to be for pedestrian use, typically consisting of a hard surface but does not include crosswalks, medians, boulevards, or shoulders.	TOMRM	TOMRM	N/A	ENG TOMRM	ENG TOMRM	TOMRM
Pedestrian Bridges	Structures that facilitate pedestrian access over a watercourse or highway (often along a trail or connecting trail systems). *Appendix B defines maintenance responsibilities.	APPENDIX B		ENG	ENG	ENG	ENG - OSIM TOMRM - MMS
	Lighting for all Pedestrian Bridges	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO
Pedestrian Walkways - Road to Road	A walkway connecting two roads within a subdivision.	TOMRM	TOMRM	N/A	ENG TOMRM	ENG TOMRM	TOMRM
Pedestrian Walkways – Park to Road	A walkway that connects a park to a roadway.	EnvSPC	EnvSPC	EnvSPC	ENVS	EnvSPC	EnvSPC

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Multi-Use Pathways	<p>Paved surfaces permitting cycling, walking and other forms of physical activity; these pathways receive a higher duty of care than Recreational Trails</p> <p>*Exemptions listed in Appendix C: these identify responsibility for maintenance activities for multi-use pathways within the ROW that due to operational circumstances are maintained by more than one section or are maintained by the Parks section because they connect to a park or open space.</p>	TOMRM/ APPENDIX C lists exceptions		N/A	ENG ENVS	TOMTO ENVS	TOMRM
Recreational Trails	<p>A thoroughfare or track across land or snow, used for recreational purposes such as pedestrian movement, biking, rollerblading, skateboarding and other approved recreational vehicle uses as signed.</p> <p>*Exceptions listed in Appendix C: these trails are held to a higher level of maintenance standard based on their position as a transportation connection</p>	TOMRM/ APPENDIX C lists exceptions		EnvSPC	ENVS	EnvSPC	EnvSPC

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	pathway. Exceptions also refer to situations where a trail is maintained by more than one section or maintained by the Parks section because they connect to a park or open space.						
Noise Barriers	A noise barrier (also called a soundwall, noise wall, sound berm, sound barrier, or acoustical barrier) is an exterior structure designed to protect inhabitants of sensitive land use areas from noise pollution.	TOMRM	N/A	N/A	ENG	ENG	N/A
Escarpment/ Bin Walls	Long, steep slopes, especially at the edges of plateaus or separating areas of land at different heights. *TOMRM is responsible for emergency response, clean up, and road closure (i.e. make it safe).	TOMRM ENG	ENG	ENG	ENG	ENG	N/A
Retaining Walls	Independent structures not connecting to a bridge that hold back fill. A stand-alone retaining wall is a retaining wall built not immediately adjacent to a bridge.	TOMRM	TOMRM	ENG	ENG	ENG	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Gates	Gates are constructed in areas where pedestrian, cycling and vehicular access is prohibited due to dangerous or economic reasons; or to be used to close the roadway in emergency situations.	TOMRM	TOMRM	N/A	ENG	TOMRM	N/A
Fences	Fences are constructed to designate the boundaries of the roadway.	TOMRM	N/A	N/A	ENG	N/A	N/A
Guide/ Guard Rails and Pedestrian Guards	Guide/Guard Rails keep vehicles within the roadway and prevent them from colliding with dangerous obstacles such as boulders, sign supports, trees, bridge abutments, buildings, walls, and large storm drains, or from traversing steep (non-recoverable) slopes or entering deep water. Pedestrian guards are installed on medians.	TOMRM	TOMRM	N/A	ENG	TOMRM	N/A
Banners (over roadways)	Special event/ special interest groups' promotional banners that span the roadway in select locations. The infrastructure on Main St in Hamilton and King St in Dundas is owned by TOM.	TOMTO	N/A	N/A	TOMTO ENG	N/A	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	Environmental Services (Business Programs Section – EnvSBP) administers the program; revenue and invoices directed to TOM. Potential reassignment to TOMBI in the future.						
Banners (on pole arms)	Banners affixed to poles in the ROW (e.g. on street lighting poles). The owner of the pole maintains the banner arms. The administration of the pole banners for revenue has moved to Revenue Generation in the City Manager’s office.	TOMTO	TOMTO	N/A	N/A	TOMTO	N/A
Gateways	Gateways announce a location, and can be marked in different ways, including a sign and landscape feature at the side of a roadway or an architectural landmark (such as an archway) over the roadway. *Exemptions and special cases are listed in Appendix D. The majority of gateways maintained entirely by TOM are not listed. *Horticulture maintains vegetation and associated irrigation where beautification exists.	TOMRM/ APPENDIX D lists exceptions		EnvSFH (veg)	EnvSFH (veg)	TOMRM / EnvSFH (veg)	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Trees	A tree is a self-supporting woody perennial plant which has reached or can reach a height of at least 3 metres at physiological maturity.	EnvSFH	EnvSFH	EnvSFH	EnvSFH	EnvSFH	N/A
Vegetation Control	Rural and urban grass cutting and weed control.	TOMRM	N/A	N/A	N/A	N/A	N/A
Planting in Traffic Medians, Boulevards, and Roundabouts	Traffic medians, boulevards and roundabouts planted with a combination of grass and annual or perennial vegetation. Includes the water and hydro for irrigation systems associated with the asset. Traffic medians that are solely planted with grass are not included here (see Median Strips).	EnvSFH	EnvSFH	EnvSFH	EnvSFH	EnvSFH	TOM - MMS
Planter Boxes	Concrete or plastic planter containers for the purpose of beautification. Plastic planter boxes are removed in winter by Horticulture; concrete planter boxes remain within the ROW. Planter Boxes are inspected by Horticulture.	EnvSFH	EnvSFH	TOM	EnvSFH	EnvSFH	EnvSFH TOM - MMS

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Hanging Baskets	Hanging baskets are suspended on various structures and installed seasonally to accommodate plant material.	EnvSFH	EnvSFH	EnvSFH	EnvSFH	EnvSFH	N/A
Decorative Fountains and Drinking Fountains	Decorative fountains are landscape water features. Drinking fountains are for public use.	ENVS	ENVS	ENVS	ENVS	ENVS	ENVS
Clocks	Decorative clocks installed in the ROW for the purposes of city beatification/ as a public amenity. Although there are a few examples of decorative clocks throughout the City, only the responsibilities for the Ancaster clock are indicated here. *Other clocks are the responsibility of individual BIAs or other groups.	EnvSPC	EnvSPC	EnvSPC	EnvSPC	EnvSPC	N/A
Bus Pads	An unobstructed concrete landing area for the purpose of allowing transit customers to board and alight the bus: 2.5m deep and 9m (standard bus) or 14m (articulated bus) long.	Transit PI/OPS	Transit PI/OPS	Transit PI	ENG Transit PI	Transit PI	N/A

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Bus Pads & Bus Stops – Snow Removal	Clearing of snow for all bus stops on right of way.	TOMRM /Transit OPS	Transit OPS	N/A	N/A	Transit	N/A
Bus Stop Marker	Aluminum plate mounted on a bolt pole, U-channel, or hydro pole for the purpose of alerting operators and customers to the presence of a bus stop: 15cm x 61cm or 15cm x 94cm.	Transit PI/OPS	Transit PI/OPS	Transit PI	Transit PI	Transit PI	N/A
Bus Shelters	Aluminum structure with glass walls and polycarbonate roof that offers transit customers protection from the elements. Most commonly 1.3 x 3.1m in size. Can also include a roof-mounted solar panel and advertising display. All Shelters include a minimum of one bench. Responsible for snow clearing inside and around shelters.	Transit PI/OPS	Transit PI/OPS	Transit PI	Transit PI	Transit PI	N/A
Litter containers	Municipally owned, installed and maintained public space litter containers, including cigarette receptacles.	EnvSW C	EnvSW C	EnvSWC	EnvSWC	EnvSW C	N/A
Benches – City-owned	Municipally owned, installed and maintained	TOMBI	N/A	N/A	TOMBI	TOMBI	N/A



Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
	*TOMBI replaces benches on an as-needed basis; not part of a capital planning program						
Benches - Advertising	Advertising benches (sometimes including waste components) permitted under a license agreement, which includes all operations, maintenance, and replacement activities. TOMBI provides oversight and administration of the agreement.	N/A	N/A	N/A	N/A	TOMBI	N/A
Benches - BIA	BIA benches authorized to be placed within the right of way. Installation, maintenance & replacement is the responsibility of the BIA, unless noted otherwise. *As per the 2017 BIA Service Level Agreement, EnvSPC maintains BIA benches except for Westdale Village.	EnvSPC	N/A	N/A	N/A	EnvSPC / TOMBI	N/A
Publication Boxes	Vendor boxes permitted on the right of way under the Publication Box Permitting Program.	N/A	N/A	N/A	N/A	TOMBI	N/A
Tree Power	Power boxes located at bottom of trees.	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Special Event Power Supply	Power Supply box located on James St. North at Liuna Station.	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO	TOMTO

## PUBLIC WORKS DEPARTMENT

### SUMMARY OF ROLES AND RESPONSIBILITIES OF BELOW GROUND ASSETS

#### DEFINITIONS

Term	Definition
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in good condition, until that asset is decommissioned, rehabilitated or replaced.
<b>Operations &amp; Maintenance Inspection</b>	Inspection tasks completed in order to ensure safe and efficient operation of an asset (e.g. inspection of a culvert to ensure flow is not blocked).
<b>Capital Inspection</b>	A condition assessment undertaken on an asset to determine if capital replacement or rehabilitation is required (e.g. regular condition assessments of bridges (OSIM)). *A condition assessment is the systematic process of determining the physical structural condition and intended operational state of an asset.
<b>Capital Rehabilitation or Replacement (excluding bridges)</b>	Program works resulting from a structural condition or asset lifecycle assessment and capital funds to replace, enhance (re-design) or rehabilitate an asset.
<b>Inventory Control</b>	A complete list (to the best available information) of asset locations by category; geo-centric asset registry.
<b>Monitoring (Legislated)</b>	Legislative compliance of an asset.

<b>Asset</b>	<p>Item, thing or entity that has potential or actual value to an organization.</p> <p>Value can be tangible or intangible, financial or non-financial, and includes consideration of risks and liabilities. It can be positive or negative at different stages of the asset life.</p> <p>Physical assets usually refer to equipment, inventory and properties owned by the organization.</p> <p>Colloquially, an asset system could also be considered as an asset.</p>
<b>Asset System</b>	<p>A grouping of assets is referred to as an asset system. They are a set of assets that interact or are interrelated.</p> <p>The asset system is made up of many different assets.</p>
<b>Asset Portfolio</b>	<p>Assets that are within the scope of the asset management system.</p> <p>A portfolio is typically established and assigned for managerial control purposes. Portfolios for physical hardware might be defined by category (e.g. plant, equipment, tools, land).</p> <p>An asset management system can encompass multiple asset portfolios.</p>

Under Development

Asset	Definition	Asset Activity					
		Operations & Maintenance	O&M Inspection	Capital Inspection	Capital Replacement	Inventory Control	Monitoring (Legislated)
Below Ground Asset #1							

Under Development

**PUBLIC WORKS DEPARTMENT  
 ASSET RESPONSIBILITIES WITHIN THE RIGHT-OF-WAY  
 SUMMARY OF ROLES & RESPONSIBILITIES FOR ROADWAY & PEDESTRIAN BRIDGES**

Term	Definition
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in good condition, until that asset is decommissioned, rehabilitated or replaced.

Asset	Definition	Transportation Operations & Maintenance	Engineering Services	Environmental Services
<b>Roadway Bridges</b>	A structure which provides a roadway or walkway for the passage of vehicles, pedestrians or cyclists across an obstruction, gap or facility and is greater than or equal to 3 m in span.			
	<b>Bridge Cleaning</b> The cleaning of bridge components including: 1) Washing of bearings, bearing seats, truss members, etc. 2) Sweeping of bridge decks, curbs and gutters. 3) Removal of debris from expansion joints. 4) Cleaning of bridges, catch-basins, man-holes and bridge deck drains.	TOMRM	N/A	N/A
	<b>Railing System and Steel Beam Guiderail Repair</b> Repair, maintenance and/or replacement of metal handrails, railing systems and railing posts.	TOMRM	N/A	N/A
	<b>Painting Steel Bridge Structures</b> The preparation (sandblasting, etc.) and painting of structural steel bridge components including railing, posts, trusses, decks, etc.	TOMRM	N/A	N/A
	<b>Bridge Deck Expansion Joint Repair &amp; Maintenance</b> The maintenance of steel components of expansion joints, patching of concrete end dams and replacement of damage joint seals in its entirety.	TOMRM	N/A	N/A
	<b>Bridge Deck Expansion Joint Replacement</b> The repair of steel components of expansion joints, patching of concrete end dams and replacement of damage joint seals in its entirety.	N/A	ES	N/A
	<b>Bridge Bearing Maintenance</b> The adjustment, maintenance of bridge bearings. Includes bearing cleaning, greasing, coating, and release of seized bearings.	TOMRM	N/A	N/A

Asset	Definition	Transportation Operations & Maintenance	Engineering Services	Environmental Services
	<b>Bridge Bearing Repair</b> The adjustment, repair of bridge bearings requiring jacking.	N/A	ES	N/A
	<b>Structural Steel Repair</b> Replacement of all structural steel components including bolts and fasteners, but excluding steel girders, and repairs of structural steel components damaged by vehicular collision.	TOMRM	N/A	N/A
	<b>Concrete Repair and Maintenance</b> The localized repair of any concrete components of the structure to prevent further damage until a capital project is in place. Repairs include but are not limited to decks, concrete end dams, curbs, pedestrian walks, concrete handrail posts, parapet walls, abutments, piers and retaining walls, except when the repair is directly associated with one of the other defined bridge maintenance operations or the quantity of repair extends beyond (30%) of the total component area. Concrete maintenance operations shall take place to address immediate public safety hazards until a capital project is undertaken (e.g. vehicular collision damage, potholes on concrete decks, sidewalk damage due to conduit collapse, etc.).	TOMRM	ES OVER 30% MAINTENANCE REQUIRED	N/A
	<b>Emergency Structural Inspections</b> As required – Engineering Evaluation	N/A	ES	N/A
	<b>Scaling (Loose Concrete or ACR Steel)</b> The removal of loose delaminated concrete or delaminated patina of ACR steel girders that pose a risk as a falling hazard.	TOMRM	N/A	N/A
	<b>Timber Repair – Pedestrian Bridges</b> The repair of all structural timber, including the repair of timber decks on steel bridges.	TOMRM	N/A	N/A
	<b>Animal/Pest Control</b> The installation and maintenance of animal/pest control deterrent devices under bridge structures such as pigeon-spikes, meshes, ultrasonic devices, etc.).	TOMRM	N/A	N/A
	<b>Bridge Surface Repair (wearing surface)</b> The repair of bridge surfaces such as pothole patching.	TOMRM	N/A	N/A
	<b>Erosion Control at Bridges</b> Operations performed to prevent or repair damage due to erosion, such as scour at abutments and around piers, and washouts on slopes. Includes <b>inspection of structures after heavy rain events</b> , removal of obstructions to water flow, clearing of vegetation growth, etc.	TOMRM	N/A	N/A
	<b>Rout and Seal – Asphalt Pavement on Bridge Decks</b> The routing of joints and/or cracks asphalt pavement and the filling of same with joint fillers or rubberized asphaltic sealing compounds.	TOMRM	N/A	N/A
	<b>Works for Drainage system</b> The works include repair, maintenance and replacement / extension of bridge deck drains	TOMRM	N/A	N/A

<b>Asset</b>	<b>Definition</b>	<b>Transportation Operations &amp; Maintenance</b>	<b>Engineering Services</b>	<b>Environmental Services</b>
	including under the asphalt deck drains. Includes steaming and calcium application to thaw. Repair and maintenance of other damaged drainage system such as retaining walls subdrains.			



Pedestrian Bridges		Structures that facilitate pedestrian access over a watercourse or highway (often along a trail or connecting trail systems)																
BRIDGE NUMBER	BRIDGE LOCATION	BRIDGE CLEANING	RAILING SYSTEM REPAIR	PAINTING STEEL BRIDGE STRUCTURES	BRIDGE DECK JOINT REPAIR & MTCE.	BRIDGE DECK JOINT REPLACE	BRIDGE BEARING MTCE.	BRIDGE BEARING REPAIR	STRUCT. STEEL REPAIR	CONCRETE REPAIR & MTCE.	EMERG. STRUCT. INSPECT'N	SCALING (LOOSE CONCRETE OR ACR STEEL)	TIMBER REPAIR	ANIMAL/ PEST CONTROL	BRIDGE SURFACE REPAIR	EROSION CONTROL AT BRIDGES	ROUT & SEAL ON BRIDGE DECKS	WORKS FOR DRAINAGE SYSTEM
<b>Transportation Operations &amp; Maintenance</b>																		
Bridge No. 003	Pedestrian rail trail bridge over Weir Rd	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 167 – Ownership CPR	Pedestrian Tunnel Under CPR Tracks (Ferguson Av S)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 170 – Ownership CPR	Pedestrian Tunnel Under CPR Tracks (Macnab St S)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge 174	Pedestrian Bridge Over CPR Tracks (Pearl St S)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 180	Pedestrian Bridge Over CNR Tracks (Mary St)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 186	Pedestrian Bridge Over CNR Tracks (Emerald St N)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 460	Pedestrian Bridge Over Lincoln M. Alexander (Fiona Cres)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM
Bridge No. 475	Pedestrian Bridge Over Lincoln M. Alexander (Arbour Rd)	TOMRM	TOMRM	TOMRM	TOMRM	ES	TOMRM	ES	TOMRM	TOMRM/ ES if >30%	ES	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM	TOMRM

Pedestrian Bridges		Structures that facilitate pedestrian access over a watercourse or highway (often along a trail or connecting trail systems)																
BRIDGE NUMBER	BRIDGE LOCATION	BRIDGE CLEANING	RAILING SYSTEM REPAIR	PAINTING STEEL BRIDGE STRUCTURES	BRIDGE DECK JOINT REPAIR & MTCE.	BRIDGE DECK JOINT REPLACE	BRIDGE BEARING MTCE.	BRIDGE BEARING REPAIR	STRUCT. STEEL REPAIR	CONCRETE REPAIR & MTCE.	EMERG. STRUCT. INSPECT'N	SCALING (LOOSE CONCRETE OR ACR STEEL)	TIMBER REPAIR	ANIMAL/ PEST CONTROL	BRIDGE SURFACE REPAIR	EROSION CONTROL AT BRIDGES	ROUT & SEAL ON BRIDGE DECKS	WORKS FOR DRAINAGE SYSTEM
<b>Environmental Services</b>																		
Bridge No. 031	Pedestrian bridge off of R.O.W. (Fallsview Rd/Hwy 8)	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 100 - Ownership Unknown	Pedestrian Rail Trail Bridge Over Gravel Pit Rd	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 151	Pedestrian Bridge Over Creek (Parkside Dr)	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 190	Pedestrian Bridge Over Creek (Mistywood Dr)	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 303	Pedestrian Rail Trail Bridge Over Main St W	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 321	Pedestrian Rail Trail Bridge Over Kenilworth Ac	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 427 – Ownership – Boundary Road	Pedestrian Bridge Over Creek (Haldbrook Rd)	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV
Bridge No. 457	Pedestrian Bridge Over Creek (Valley Inn Rd)	ENV	ENV	ENV	ENV	ES	ENV	ES	ENV	ENV/ ES if >30%	ES	ENV	ENV	ENV	ENV	ENV	ENV	ENV

Pedestrian Bridges		Structures that facilitate pedestrian access over a watercourse or highway (often along a trail or connecting trail systems)																
BRIDGE NUMBER	BRIDGE LOCATION	BRIDGE CLEANING	RAILING SYSTEM REPAIR	PAINTING STEEL BRIDGE STRUCTURES	BRIDGE DECK JOINT REPAIR & MTCE.	BRIDGE DECK JOINT REPLACE	BRIDGE BEARING MTCE.	BRIDGE BEARING REPAIR	STRUCT. STEEL REPAIR	CONCRETE REPAIR & MTCE.	EMERG. STRUCT. INSPECT'N	SCALING (LOOSE CONCRETE OR ACR STEEL)	TIMBER REPAIR	ANIMAL/ PEST CONTROL	BRIDGE SURFACE REPAIR	EROSION CONTROL AT BRIDGES	ROUT & SEAL ON BRIDGE DECKS	WORKS FOR DRAINAGE SYSTEM
<b>Energy, Fleet &amp; Facilities</b>																		
Bridge No. 273	Sheraton Hotel Jackson Square Pedestrian Bridge	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF	EFF
<b>Other</b>																		
Bridge No. 272 – Ownership City Centre	City Centre Pedestrian Bridge	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>BRIDGES IDENTIFIED IN THIS SECTION ARE THE RESPONSIBILITY OF MORE THAN ONE DIVISION ^</b>																		
Bridge No. 224	Pedestrian Bridge Over QEW (Red Hill Creek Expressway Trail)	ENV	ENV	ENV	ENV/ TOM	ES	ENV/ TOM	ES	ENV/ TOM	ENV/ ES if >30%	ES	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM
Bridge No. 465	Pedestrian Bridge Over Hwy 403	ENV	ENV	ENV	ENV/ TOM	ES	ENV/ TOM	ES	ENV/ TOM	ENV/ ES if >30%	ES	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM	ENV/ TOM

Note: ^ In this section for Bridge No. 224 and Bridge No. 465, Environmental Services (“ENV”) is primarily responsible for any item demarcated as “ENV/TOM”. For these activities, it is common practice for ENV to enlist the services of TOM to carry out the specific maintenance activities; however, ENV remains accountable for managing the asset.

## PUBLIC WORKS DEPARTMENT ASSET RESPONSIBILITIES WITHIN THE RIGHT-OF-WAY SUMMARY OF ROLES & RESPONSIBILITIES FOR MULTI-USE PATHWAYS AND RECREATION TRAILS \*

Term	Definition
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in good condition, until that asset is decommissioned, rehabilitated or replaced.
<b>Operations &amp; Maintenance Inspection</b>	Inspection tasks completed in order to ensure safe and efficient operation of an asset (e.g. inspection of a culvert to ensure flow is not blocked).
<b>Monitoring (Legislated)</b>	Legislative compliance of an asset.

Asset	Definition	Operations & Maintenance	O&M Inspection	Monitoring (Legislated)
Multi-use pathways	Paved surface permits cycling, walking and other forms of physical activity.			
	<ul style="list-style-type: none"> <li>Cootes Drive Trail District West</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>Valley Inn Road Trail District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Dofasco Walkway District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Stirton Tot Lot District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A

	<ul style="list-style-type: none"> <li>Green Acres to Randall Ave – Multi Use Pathway District East</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>151/2 Leslie Dr – Multi Use Pathway District East</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>31 Upper Lake Ave – Multi Use Pathway District East</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>Wardrope Ave – Multi Use Pathway District East</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>Veevers Dr – Multi Use Pathway (and steps) District East</li> </ul>	EnvSPC	EnvSPC	N/A
	<ul style="list-style-type: none"> <li>Birchcliffe Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Birchview Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Brendan Court to School - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Bulls Lane - Multi Use Pathway District South</li> </ul>	TOMRM - winter TOMRM - summer	TOMRM - winter TOMRM - summer	N/A
	<ul style="list-style-type: none"> <li>Carson Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A

	<ul style="list-style-type: none"> <li>• Cranbrook Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Daisy Magnolia Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Hayden St to Mountain Arena - Multi Use Pathway District South</li> </ul>	EnvSPC - winter EnvSPC - summer	EnvSPC - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Larch Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Lawnhurst Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Limeridge Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Limeridge – Birchview Pathway</li> </ul>	EnvSPC - winter EnvSPC - summer	EnvSPC - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>• Locheed Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A

	<ul style="list-style-type: none"> <li>MacNab Pathway to School Pathway- Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>North Linc – Wentworth Pathway - Multi Use Pathway District South</li> </ul>	EnvSPC - winter TOMRM - summer	EnvSPC - winter TOMRM - summer	N/A
	<ul style="list-style-type: none"> <li>Quaker-Raleigh Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Ramsden Pathway to Hydro Corridor - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Rowena – Queen Victoria Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Rupert Court Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Theodore Walkway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
	<ul style="list-style-type: none"> <li>Windrush Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A

	<ul style="list-style-type: none"> <li>Woodhaven Pathway - Multi Use Pathway District South</li> </ul>	TOMRM - winter EnvSPC - summer	TOMRM - winter EnvSPC - summer	N/A
Recreational Trails	A thoroughfare or track across land or snow, used for recreational purposes such as: pedestrian movement, biking, rollerblading, skateboarding and other approved recreational vehicle use as signed.			
	<ul style="list-style-type: none"> <li>Hamilton Brantford Rail Trail (paved portions, west of Studholme Rd) District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Waterfront Trail (Bayfront) District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Mountain Brow Trail (Wentworth Escarpment Stairs to Mohawk) District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Scenic Trail (section within Park) District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Garside Trail (Chedoke Golf Course) District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Corktown Trail District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A
	<ul style="list-style-type: none"> <li>Chedoke Radial Trail District North</li> </ul>	EnvSPC – summer	EnvSPC – summer	N/A
	<ul style="list-style-type: none"> <li>Pipeline Trail District North</li> </ul>	EnvSPC – summer/winter	EnvSPC – summer/winter	N/A



	<ul style="list-style-type: none"> <li>Red Hill Valley Trail District North</li> </ul>	EnvSPC – summer	EnvSPC – summer	N/A
--	--	--------------------	--------------------	-----

\*Roles & Responsibilities of these Multi-Use Pathways are documented as of the current state, February 2021.  
 Discussions are ongoing regarding the potential reassignment of these Roles & Responsibilities.



**PUBLIC WORKS DEPARTMENT  
ASSET RESPONSIBILITIES WITHIN THE RIGHT-OF-WAY  
(Excluding Water and Wastewater Assets and Stormwater Assets)  
GATEWAYS ROLES & RESPONSIBILITIES**

<b>Term</b>	<b>Definition</b>
<b>Operations &amp; Maintenance</b>	Tasks and activities that are part of a formulated work plan performed in order to operate, maintain, inspect (as required by Maintenance Standards (Ontario Regulation 239/02)), an asset in good condition, until that asset is decommissioned, rehabilitated or replaced.
<b>Operations &amp; Maintenance Inspection</b>	Inspection tasks completed in order to ensure safe and efficient operation of an asset (e.g. inspection of a culvert to ensure flow is not blocked).
<b>Monitoring (Legislated)</b>	Legislative compliance of an asset.

<b>Asset</b>	<b>Definition</b>	<b>Operations &amp; Maintenance</b>	<b>O&amp;M Inspection</b>	<b>Monitoring (Legislated)</b>
City Gateways	Gateways announce a location, and can be marked in different ways including a sign and landscape features at the side of a roadway or an architectural landmark (such as an archway) over the roadway.			
	<ul style="list-style-type: none"> <li>• Hess St</li> </ul>	TOMRM	N/A	N/A
	<ul style="list-style-type: none"> <li>• King St.</li> </ul>	TOMRM	N/A	N/A
	<ul style="list-style-type: none"> <li>• Ferguson St.</li> </ul>	TOMRM	N/A	N/A

	<ul style="list-style-type: none"> <li>• QEW &amp; Fruitland - Stoney Creek Stone Sign (Horticulture maintains 2 landscape features)</li> </ul>	EnvSFH (veg)	EnvSFH (veg)	N/A
	<ul style="list-style-type: none"> <li>• York Blvd - Welcome to Hamilton (Parks maintains grass) Ward 1 – North District</li> </ul>	TOMTO (sign) EnvSPC (grass)	EnvSPC (grass)	N/A
	<ul style="list-style-type: none"> <li>• Cootes Dr &amp; East St – Welcome to Dundas (Horticulture maintains 1 Garden Bed) Ward 13 – West District</li> </ul>	TOMTO (sign) EnvSFH (veg)	EnvSFH (veg)	N/A
Neighbourhood Gateways	<ul style="list-style-type: none"> <li>• Windwood Dr &amp; Hwy 56 (Horticulture maintains 1 Garden Bed at SW corner; opposite garden bed is Private.) Ward 11 - East District</li> </ul>	EnvSFH (veg)	EnvSFH (veg)	N/A
	<ul style="list-style-type: none"> <li>• Dakota Blvd. &amp; Rymal Rd E. (Horticulture maintains 2 Garden Beds) Ward 9 - East District</li> </ul>	EnvSFH (veg)	EnvSFH (veg)	N/A
	<ul style="list-style-type: none"> <li>• Dundas St &amp; Burke St (Horticulture maintains 2 Garden Beds) Ward 15 – West District</li> </ul>	EnvSFH (veg)	EnvSFH (veg)	N/A
	<ul style="list-style-type: none"> <li>• Highway 6 N &amp; Homestead (Will be installed in early 2021, Horticulture will maintain garden beds)</li> </ul>	EnvSFH (veg)	EnvSFH (veg)	N/A

This is Exhibit "O" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.

A handwritten signature in blue ink, appearing to read "D. Contractor". The signature is written in a cursive style with a large, stylized initial "D".

---

*Commissioner for Taking Affidavits (or as may be)*

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022

## 1 PURPOSE

The purpose of this procedure is to describe how signage infrastructure and assets are inspected and repaired (or replaced) within timelines required by [Minimum Maintenance Standards \(MMS\) under Ontario Regulation 239/02](#) in the City of Hamilton (including along the Lincoln Alexander Parkway and the Red Hill Valley Parkway). This procedure also describes the repair and maintenance of signs assets that do not fall under provincial Minimum Maintenance Standard (MMS) regulations (O. Reg 239/02 and 366/18), including but not limited to bollards (excluding bollards used for bicycle lanes), delineators, unregulated signs, posts and clamps.

## 2 SCOPE

This procedure applies to the Transportation Operations and Maintenance (TOM) Division of Public Works to ensure staff are following the requirements for inspection and repair (or replacement) of sign infrastructure required by MMS under Ontario Regulation 239/092. Transportation Operations Signs and Markings staff must not only adhere to the timelines to repair all signs noted in Ontario Regulation 239/02 of the MMS, but also ensure timely inspection and repair (or replacement) of unregulated signs per this procedure.

This procedure excludes signs which are not formally managed by TOM. In many instances TOM installs and/or repairs signage on an as-requested basis from varying parties involved with the City of Hamilton. Some examples are local Business Improvement Areas (BIAs), Hamilton Street Railway (HSR), and the Hamilton Municipal Parking System (HMPS or “Parking”). In these cases, while TOM acts as a service branch for these entities, TOM does not formally inventory, inspect, or manage the maintenance of their respective sign infrastructure.

## 3 DEFINITIONS

Term	Definition
MMS	Minimum Maintenance Standards; Developed to provide Ontario municipalities with a defence against liability from actions arising with regards to levels of service on roads and bridges. Regulation 239/02, which came into force on November 1, 2002, contains the

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

<b>Term</b>	<b>Definition</b>
	Minimum Maintenance Standards.
Non-MMS Sign Assets	Refers to assets that fall under the responsibility of the Transportation Operations Signs and Markings Section but are not included under the scope of the MMS (O. Reg 239/02 and 366/18). Typically, these are signs which do not classify as regulatory, or warning signs as per OTM Books 5 and 6. Examples include, but are not limited to bollards, delineators, way-finding signs, name blade signs, gateway features, posts, and clamps.
Regulatory Sign, Ontario Traffic Manual Book 5	As defined in Book 5 of the Ontario Traffic Manual, Regulatory Signs inform the road user as to things they must do or not do given the circumstances. They often indicate traffic regulations which apply at any time or specific time or place upon a street or highway.
Warning Sign, Ontario Traffic Manual Book 6	As defined in Book 6 of the Ontario Traffic Manual, Warning Signs indicate, in advance, conditions upon or adjacent to a street or highway that are potentially hazardous to road users.
COH	City of Hamilton
LINC	Lincoln Alexander Parkway
RHVP	Red Hill Valley Parkway
Parkway	A high-speed, multi-lane road where traffic in each direction is separated, and ramps allow vehicles to enter and exit.
Deficiency	The state of a sign asset being defective (such as illegible, faded, obscured, broken, damaged, missing etc.). Refer to Appendix A for examples of deficiencies per asset type.
Repair	Restoring an asset identified as deficient back to normal working operation.
ESRI Collector Application	COH web application used to collect updates of sign inspection information. The application logs data information by date, employee and location. ESRI works with the COH's Hansen database to create work orders, as needed.

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	<i>PW-TOM-P-026-004</i>	<b>Document Level</b>	<i>Level III</i>
<b>Issue #</b>	<i>02</i>	<b>Issue Date</b>	<i>August 2022</i>

<b>Term</b>	<b>Definition</b>
Maintenance Days	A specific day each month, after each month’s inspection, dedicated to the completion of sign asset repairs on the LINC/RHVP identified by that month’s inspection (including lane delineators).

#### **4 RESPONSIBILITY**

##### **4.1 Manager, Transportation Operations**

- Ensure levels of service are met with respect to signage infrastructure and asset maintenance and that all applicable policies and procedures are followed.

##### **4.2 Superintendent, Signs and Markings**

- Provide signage infrastructure and asset maintenance in compliance with applicable legislation, regulation, and COH policies (specifically those under the Highway Traffic Act, the Municipal Act of Ontario, and MMS).
- Ensure the signage maintenance program includes signage infrastructure and assets along the LINC and RHVP in accordance with identified levels of service (specifically MMS).
- Monitor monthly metrics/key performance indicators (KPIs), manage, and adjust program as needed.
- Ensure Transportation Operations Signs & Markings Supervisors receive a copy, review, and understand this procedure.
- Authorize budget for repairs of asset deficiencies.
- Correspond with Council, residents, and other departments regarding signage deficiencies.
- Assign reviewed and approved work orders to Supervisors and/or direct report staff as required to fulfill proposed work.

##### **4.3 Supervisor, Signs and Markings**

- Coordinate and oversee inspection and asset maintenance programs of signage infrastructure.
- Ensure all staff have full understanding of their roles and responsibilities per this procedure.
- Ensure appropriate training is received and completed by all staff (including Health and Safety policies and OTM Book 7).



<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

- Schedule and assign work to Signs and Markings Specialists.
- Ensure all equipment/tools required by staff are provided, inspected, and maintained in good operating condition.
- Ensure all known hazards are communicated to staff and newly discovered hazards are reported to staff in a timely manner.
- Visually inspect existing assets along the LINC and RHVP, and initiate repairs as needed, on a monthly basis.
- Inspect work for deficiency/quality after an asset is repaired or replaced on the LINC/RHVP (other locations only as required).

#### **4.4 Signs and Markings Specialist**

- Participate and complete all necessary training.
- Follow this procedure in its entirety.
- Undertake repairs as assigned, complete work order timesheet, and forward to Supervisor.
- Carry out sign inspections, such as reflectivity, obstruction, maintenance, and record activity using the ESRI application.
- Always be equipped with appropriate equipment/tools per activity identified.
- Wear appropriate personal protective equipment during asset repairs and replacements.
- Immediately report any Health and Safety hazards and accidents/incidents to Supervisor.
- Immediately report any equipment or tool damages/deficiencies to Supervisor.

#### **4.5 Manager, Roadway Maintenance**

- Ensure availability of crash truck on scheduled LINC/RHVP Maintenance Days and designates appropriate Superintendent of Roadway Maintenance to coordinate Maintenance Day specifics.

#### **4.6 Business Systems Application Analyst**

- Set up Hansen, GIS application and Dashboards for sign inspections.
- Update Feature Manipulation Engine (FME) scripting for sign inspections.
- Monitor Dashboards for progress and sign inventory changes.
- Assist in troubleshooting work order and data entry issues sent to owmdata@hamilton.ca.

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

#### 4.7 Road Patroller

- See Road Patrol Inspection and Compliance Procedure for specific responsibilities.

#### 4.8 Inventory Management Team

- Maintain a safety stock level for all maintenance requests of standard OTM signs.

### 5 PROCEDURE

#### 5.1 Sign Asset Inspections

##### 5.1.1 Road Patrol Program

- See the [Road Patrol Inspection and Compliance Procedure](#) for more details regarding this method of inspecting signs assets.

##### 5.1.2 Annual Sign Inspection under Section 11 and 12 of the MMS Ontario Reg. 239/02

- MMS Inspections are conducted annually between March and May and take 10-12 weeks.
- Regulatory and Warning Signs to be inspected are identified in OTM Books 5 and 6
- MMS inspections are undertaken during night hours and evaluate the following criteria:
  - Reflectivity
  - Graffiti
  - Damage
  - Legibility (including fading)
  - Visibility – ensure sign is not blocked by foliage or other obstructions on the approach
- Two weeks before sign inspections are to commence, the Superintendent of Signs and Markings contacts the Business Systems Applications Analyst to setup applicable sign inspection applications and associated Dashboards. See “Work Instruction for ESRI ArcGIS Collector Application Setup for Sign Inspections” in Associated Documents and Resources.
- The Signs and Markings Supervisor assigns work to five (5) Specialists using the ESRI Collector Application. Inspections are grouped based on geographic/ward boundaries as per the following:
  - 1,2,3
  - 4,5,10

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

- 6,7,8
- 9,11,14
- 12,13,15
- The Signs and Markings Specialist drives in their assigned geographic area(s) and uses the ESRI application to identify that a sign has been properly inspected and records pertinent inspection details. See “Work Instruction for Use of ESRI ArcGIS Collector Application During Sign Inspection” in Associated Documents and Resources.
- Reflectivity is checked by shining the headlights onto the signs to judge the reflectivity, as outlined in the OTM. This is done from a distance of approximately 50 metres or 150 feet.
- If a sign passes inspection it is signed off in the ESRI Collector applications as “meets requirement”.
- If a sign is deficient (i.e. graffiti, damaged, faded or blocked by foliage) it is noted in the ESRI Collector application as “does not meet requirement”. The Signs and Markings Specialist doing the inspection creates a physical work order for the deficient sign, noting the sign ID number from the ESRI Collector application on the work order and the due date for the work based on the type of sign and the classification of road.
- Physical work orders are given to the shift Supervisor who passes it to the area Supervisor on day shift to have the sign repaired or replaced.
- Once complete, the work order is given to the Traffic Clerks to mark in Hansen. The Traffic Clerks email the Business Systems Application Analyst to update the ESRI Collector application to indicate that the sign location is complete.
- The data from the ESRI application updates into the City’s GIS system. All work order data is summarized and visible in the Sign Inspection Status Dashboard (see Associated Documents and Resources) to which management has access.
- The Superintendent of Signs & Markings contacts the Business Systems Applications Analyst once the inspection project is complete. See “Work Instruction for Post Processing of Sign Inspection Data” in Associated Documents and Resources.

### 5.1.3 Non-MMS Sign Asset Inspection

- Non-MMS Signs are not regularly inspected as part of any routine inspection but are not precluded from being reported for repair or service if required
- Deficiencies are reported on a case-by-case basis and serviced in the timeframes noted in Section 5.3.3.

### 5.1.5 LINC and RHVP Sign Inspections

Signs found along the LINC and RHVP are highlighted in Table 1 below.

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

- A Signs and Markings Supervisor travels the entire LINC and RHVP on the first Monday of each month to visually inspect existing assets to identify missing, deficient, or damaged signs.
- If a deficiency is noticed and a closer inspection is required, operator(s) park in a safe, secure location to document, taking measurements or photos, as needed. Work orders and documents are completed at the same time or at the office.
- The Signs and Markings Supervisor completes all applicable work orders that same day (Monday) and ensures locates are submitted (as required).
- The Signs and Markings Supervisor coordinates with the stockroom to ensure material availability in preparing to schedule repairs.
- Lane Delineators are included in monthly inspections and treated like a warning sign.
- For more information please refer to the Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan, Appendices B & D Sign Asset Repairs.

## 5.2 Sign Asset Repairs

### 5.2.1 MMS and Non-MMS Signs and Markings Asset Repairs

- The Superintendent of Signs and Markings verifies work orders and assigns them to Supervisor(s).
- Supervisor schedules and assigns daily work tasks to Signs and Markings Specialists.
- Signs and Markings Specialists perform assigned tasks/repair deficiencies as per *Sign/Marking Asset Repair Work Instruction <forthcoming>*. In some instances, it is more cost effective to replace an asset completely versus repairing the asset. The cost of time or reusing possibly deficient material (e.g. graffiti, aged) is considered.
- Work order timesheets are completed, authorized, submitted, and processed as per the Transportation Operations Work Order Procedure.

### 5.2.2 LINC and RHVP Sign Repairs

- Signs highlighted in Table 1 below that are identified as deficient must have a temporary sign on a pedestal installed within 24 hours until such a time that a permanent repair can be made (subject to timing restraints such as complete locate packages or a required scheduled and approved lane closure on the LINC and/or RHVP).

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

- The Superintendent of Signs and Markings submits a lane closure request per the Escarpment Access Closure Procedure and obtains necessary approval for all monthly scheduled Maintenance Days.
- Maintenance Days are scheduled on the second Monday of each month, 7 calendar days after the inspection each month to complete all repairs identified by that month's inspection.
- The Manager of Roadway Maintenance ensures the continued availability of a crash truck on scheduled Maintenance Days and designates the appropriate Superintendent of Roadway Maintenance to work in collaboration with the Superintendent of Signs and Markings for Maintenance Day specifics.
- The Signs and Markings Supervisor assigns staff to complete identified repairs as required.
- The Signs and Markings Supervisor physically checks all repair work at the end of the scheduled Maintenance Day to ensure all repairs are completed. In the event of outstanding repairs, the Supervisor shall coordinate with the Superintendent to take the appropriate and necessary action to ensure compliance with MMS regulations.
- In the event that a Regulatory or Warning Sign not highlighted in Table 1 cannot be repaired or replaced on the scheduled Maintenance Day due to a restraint such as materials, or incomplete locates, a temporary sign pedestal will be installed until such a time that the permanent repair can be made.
- In the event that a Lane Delineator cannot be repaired or replaced on the scheduled Maintenance Day due to a restraint beyond the reasonable control of the operation, the repair will be deemed outstanding and deferred to the next scheduled Maintenance Day.

### 5.2.3 Urgent Repairs

- Any sign that poses a safety threat to pedestrians, bicycle or vehicle traffic is attended to immediately during regular hours (see signs listed in Table 1).
- After-hours staff installs temporary pedestals for downed priority signs as required.

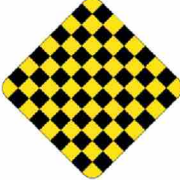


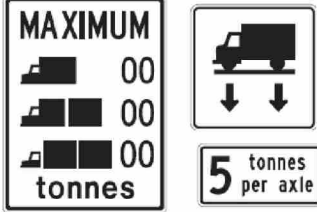

## 5.3 Repair or Replacement Timeframes

### 5.3.1 Signs Under Section 11 of the MMS







If a sign identified in Table 1 below is illegible, improperly oriented, obscured or missing, the resources necessary for the repair or replacement of the sign are

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022







deployed as soon as practical after becoming aware of the fact, as per Section 11, Subsection 1 and 2 of Ontario Regulation 239/02, being the MMS.

Table 1 – Signs Included in Subsection 11(2) Type of Sign	
Checkerboard	
Curve sign with advisory speed tab	
Do Not Enter	
Load Restricted Bridge	
Low Bridge	

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022

Low Bridge Ahead	
One Way	
School Zone Speed Limit	
Stop	
Stop Ahead	
Stop Ahead, New	

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022

Traffic Signal Ahead, New	
Two-Way Traffic Ahead	
Wrong Way	
Yield	
Yield Ahead	
Yield Ahead, New	

### 5.3.2 Regulatory or Warning Signs Under Section 12 of the MMS

If a regulatory or warning sign is illegible, improperly oriented, obscured or missing,

---

**Printed copies (unless noted) are uncontrolled. Do Not Photocopy.**



<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	<i>PW-TOM-P-026-004</i>	<b>Document Level</b>	<i>Level III</i>
<b>Issue #</b>	<i>02</i>	<b>Issue Date</b>	<i>August 2022</i>

excluding the signs identified in Table 1, it is to be replaced or repaired within the time set out in Table 2 below after becoming aware of the fact, as per Section 12, Subsection 2 and 3 of Ontario Regulation 239/02, being the MMS.

Table 2 – Regulatory and Warning Signs Repair Timeframes

<b>Class of Highway</b>	<b>Time (Days)</b>
1 (LINC and RHVP)	7
2	14
3	21
4	30
5	30

### 5.3.3 Non-MMS Sign Assets

Non-MMS sign asset deficiencies are targeted to be repaired within 30 days from when they are first identified.

## 6 MONITORING AND REPORTING

This procedure will be reviewed a minimum of once per year by the Superintendent of Signs and Markings.

### 6.1 KPIs and Metrics

- % of Total MMS Sign inspections completed between March and May
- # of deficiencies identified from annual MMS Sign inspections
- % of MMS sign asset deficiencies repaired within required timeframe
- % of non-MMS sign asset deficiencies repaired within 30 days
- Monthly LINC/RHVP inspection completed
- # of LINC/RHVP deficiencies identified during monthly inspection
- % of Table 1 LINC/RHVP deficiencies corrected within 24 hours
- % of the LINC/RHVP deficiencies corrected within 7 calendar days

<i>Title</i>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<i>Document #</i>	<i>PW-TOM-P-026-004</i>	<i>Document Level</i>	<i>Level III</i>
<i>Issue #</i>	<i>02</i>	<i>Issue Date</i>	<i>August 2022</i>

## 6.2 Performance Accountability Development (PAD)

- Sign Inspection compliance is included in Supervisor’s PAD.

## 6.3 Transportation Operations and Maintenance (TOM) Dashboards

- Dashboards related to Sign Inspections and Road Patrol are updated in real-time and capture compliance to the MMS. Dashboards include important information regarding all work orders and display other key statistics, for example, how many signs were added or deleted in a set timeframe. Links to related dashboards can be found in the Associated Documents and Resources section.

## 7 CONTROL OF DOCUMENTED INFORMATION

All documented records will be maintained as per *Public Works Document Control PW-P-010-01*. This procedure controls the issue, change and approval of documents that are used by Public Works staff. It is used to ensure staff can access both internal and external controlled documents including but not limited to policies, procedures, guidelines, agreements and forms.

All maintenance activities should be tracked in a maintenance management system (e.g. Hansen, Cityworks, EAM) and maintained in accordance with the *PW Records Control Procedure PW-P-016-001*.

All staff members involved in the creation and retention of records under this policy are responsible for ensuring records are fully and properly completed in a timely manner in relation to the steps involved, ensuring records are retained and protected from alteration or destruction until they are no longer required, and that all retained records can be quickly located and produced when required. The Superintendent has overall responsibility for ensuring proper steps are taken in the creation and retention of records.

## 8 TRAINING

All Signs and Markings Supervisors and Signs and Marking Specialists are trained on the implementation of this inspection procedure and the requirements set out in Section 11 and 12 of Ontario Regulation 239/02, being the MMS.

All training for staff is coordinated and delivered by the Superintendent of Signs and Markings and the Signs and Markings Supervisors as required at regular operational health and safety meetings. Knowledge of traffic maintenance programs, Ontario Traffic Manual Book 7 and a DZ license are essential. Appropriate education,

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022

training, and experience of staff is assessed by their direct supervisor, superintendent, and/or manager.

Training related to the use of the ESRI Collector Application is provided in part by the Business Systems team of the Business Initiatives Section within the Transportation Operations and Maintenance Division.

## 9 ASSOCIATED DOCUMENTS AND RESOURCES

- [Appendix A – Example Deficiencies of Non-MMS Signs and Markings Assets](#)
- [Appendix B - Work Instruction for ESRI ArcGIS Collector Application Setup for Sign Inspections](#)
- [Appendix C - Work Instruction for Use of ESRI ArcGIS Collector Application During Sign Inspection](#)
- [Appendix D - Work Instruction for Post Processing of Sign Inspection Data](#)
- [Red Hill Valley Parkway/Lincoln M. Alexander Parkway Operation and Maintenance Plan](#)
- [Transportation Operations Work Order Procedure](#)
- [Road Patrol Inspection and Compliance Procedure](#)
- [Escarpment Access Closure Procedure](#)
- [Ontario Regulation 239/02, Minimum Maintenance Standards](#)
- [Book 5, Regulatory Signs, Ministry of Transportation, Ontario Traffic Manual](#)
- [Book 6, Warning Signs, Ministry of Transportation, Ontario Traffic Manual](#)
- [Maintenance Standards for Municipal Highways Policy](#)
- [Sign Inspection Status Dashboard \(login credentials required\)](#)
- [Road Patrol Production Dashboard \(login credentials required\)](#)
- [TOM MMS Metrics Dashboard \(login credentials required\)](#)

## 10 REVISION HISTORY

Rev. No	Rev. Date	Description of Change(s)	Process Owner/ Revision Created By	Reviewers/ Contributors
01	November 19, 2018	Initial Release	Charlene Hands-Lourie	Martin White, Edward Switenky

<b>Title</b>	<b>Signs Asset Inspection and Maintenance Procedure</b>		
<b>Document #</b>	PW-TOM-P-026-004	<b>Document Level</b>	Level III
<b>Issue #</b>	02	<b>Issue Date</b>	August 2022

02	August 2022	<p>TOM Controlled Document Review:</p> <p>The original SOP was combined with “Procedure for the Repair of Signs and Markings Assets that Do Not Fall Under the Minimum Maintenance Standards” and “LINC RHVP SOP”; updated document format, revise and expanded procedural steps, added definition for MMS, added Business Systems team role into procedure, added details regarding ESRI app and TOM Dashboard, added KPI and Metrics section, added Control of Documented Information section, revised Training section, added links to Associated Documents section.</p>	Aneta Pytel	Peter Locs, Kurt Milligan, Jeff Sherriff, Greg Witt, Adrienne Kupchanko, Stephen Gagne
----	-------------	---	-------------	--

**11 APPROVAL**

<b>Approved By</b>	<b>Date of Approval</b>
Mike Field	August 2022
Peter Sniuolis	March 2022
Kim Wyskiel	March 2022
Peter Locs	August 2022

This is Exhibit "P" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.




---

*Commissioner for Taking Affidavits (or as may be)*



# INFORMATION REPORT

<b>TO:</b>	Chair and Members Public Works Committee
<b>COMMITTEE DATE:</b>	March 22, 2021
<b>SUBJECT/REPORT NO:</b>	Temporary "Road Official" Role (PW21013) (City Wide)
<b>WARD(S) AFFECTED:</b>	City Wide
<b>PREPARED BY:</b>	Kelly Kavanagh (905) 546-2424 Ext. 6635
<b>SUBMITTED BY:</b>	Dan McKinnon General Manager Public Works Department
<b>SIGNATURE:</b>	

## COUNCIL DIRECTION

Not applicable.

## INFORMATION

The purpose of this information report is to inform Council of temporary measures being undertaken within the Public Works Department relative to the oversight role of the City's transportation network.

COREinternational Inc. was engaged in 2020 to conduct a structural health check of the Public Works Department. The purpose of this review was to evaluate changes made to the Public Works organizational structure throughout 2017-2018 to evaluate the effectiveness of those changes and identify any potential remaining gaps or weaknesses. The changes that occurred in 2017-18 resulted in the reduction of three senior positions within Public Works in the form a single Senior Director and two Director positions. Additionally, and as a result of implementing the organizational design criteria developed through this initial review Public Works also reduced the number of staff at the Manager level from approximately 35 to 31 since 2017.

Notwithstanding the reduction in these strategic roles this most recent review demonstrates progress since 2017 in reducing structural compression, having the right people in the right roles, and improved collateral teamwork across the Public Works

---

OUR Vision: To be the best place to raise a child and age successfully.  
OUR Mission: To provide high quality cost conscious public services that contribute to a healthy, safe and prosperous community, in a sustainable manner.  
OUR Culture: Collective Ownership, Steadfast Integrity, Courageous Change, Sensational Service, Engaged Empowered Employees.

leadership team. While the new organizational structure supports these positive changes a strong emphasis on quality and document management systems and continuous improvement combined have created a very positive outcome.

The structural health check did however identify findings relative to oversight and management of the City’s transportation network as well as an additional program area unrelated to transportation; analysis of the other findings will be presented to the appropriate standing committee via a separate report. The balance of this report discusses the findings relative to the operation and management of the City’s transportation network and more broadly the City’s Municipal Road Allowance.

COREinternational Inc. identified an operational weakness as it relates to oversight of the management and operation of the City’s road network, and an opportunity to designate a centralized “road authority” role that would provide consistent coordination and oversight of Public Works role and responsibilities with respect to working in the Municipal Road Allowance. Stakeholders from the Public Works Department, as well as the Planning and Economic Development Department, were consulted as a result of the reciprocal nature of work impacting transportation infrastructure. The organizational design criteria developed through the original CORE assignment and applied specifically to assess the proposed design alternatives are expressed as:

- Establish adequate resource to provide overall operation, management and oversight of the City’s transportation network
- Be aligned to deliver on the City’s strategic priorities: Complete Streets and Open for Business
- Provide a single point of accountability for the delivery of the Complete Streets vision - the Road Authority
- As much as possible, reduce or eliminate co-ordination costs
- Provide for the effective allocation of capital
- Clearly articulate decision authorities for all roles
- Better manage, and where possible eliminate, risks to the municipality

After consultation with stakeholders in Public Works, as well as support staff in Human Resources, the recommendation from a structural and role design perspective is to create a temporary Chief Road Official position, at the Director level, for a period of up to 24-months to act as the “road authority” on an interim basis. The purpose of this report is to inform Council of the intention to recruit a Chief Road Official, on a 24-month temporary basis, to undertake the necessary steps to define and operationalize a road authority role that will better manage risks to the City’s transportation network, including; bringing clear accountability within Public Works as it relates to the City’s obligations to maintain and operate the road network; undertaking the necessary policy and procedure development to ensure that the City is operating the network appropriately; coordinating and developing appropriate procedures with counterpart Directors responsible for transportation planning and development-related transportation approvals and initiatives

in PED; and supporting key strategic initiatives. Recruitment to this position will be undertaken in Q2 - 2021.

This approach is reflective of continued collaborative efforts to review organizational structure and workforce efficiency as it pertains to the ability to deliver quality and efficient services. Per the Budgeted Complement Control Policy, the creation of the 24-month temporary position is at the discretion of the General Manager providing that adequate financial resources are available as to not create an unfavourable budget variance. This Director level position will not be directly supported by dedicated administrative staff throughout the assignment but rather will share existing resources as needed. Additionally, the funding for the position will come through active gapping by way of slightly extending vacancies of positions that are deemed to be appropriate and will not create an adverse effect on operations. It is expected that approximately \$228,000 is required on an annual basis.

Reporting to the General Manager of Public Works, the temporary Chief Road Official will be accountable for the Public Works Department’s responsibilities with respect to the operation, control and management of the Transportation Network. Core responsibilities and key deliverables will include:

- Providing oversight, advice and championing of the long-term strategies, principles, and direction approved by City Council for managing the Transportation Network.
- Collaborating, and working through and with others, to deliver a comprehensive approach to designing, building, operating, and maintaining roads.
- Engaging all stakeholders and asset owners from across the organization on the evolution and managing of the municipal Right of Way cohesively.
- Providing guidance and support to ensure approved standards are being met.
- Ensuring desired outcomes through effective and consistent application of the City of Hamilton’s Complete Streets Design Manual.
- Acting as a key stakeholder to the implementation of the City of Hamilton’s Transportation Master Plan.

An evaluation of the Chief Road Official work will be conducted prior to the conclusion of the temporary 24-month period. The purpose of which is to determine if the road authority outcomes are required on a long-term or permanent basis, in the context of maintaining a Chief Road Official, whether the role should be modified in scope, or if it can be aligned and absorbed into an existing role.

It is noted that the Chief Road Official will include setting criteria, guidelines and parameters, and structurally solidifying the work performed by Public Works in transportation infrastructure. It will not change accountabilities, authorities or



responsibilities required in other roles in the Planning & Economic Development Department, including those responsibilities and authorities related to transportation planning, active transportation, parking, development approvals, and delivery of growth-related infrastructure.

The current organizational structure, and system of work, as it relates to managing and operating the road network is fragmented and creates organizational risk in that it permits for partial accountabilities and responsibilities, impacting quality management, financial resources and document control. There are significant risks such as instances where decision authorities are unclear, particularly in relation to the stewardship of Complete Streets and the allocation and distribution of capital within transportation infrastructure projects. One of the key deliverables of this assignment is to clarify and make recommendations to ensure the City’s role as municipal Road Authority is clearly documented and communicated for the long term to enable the City to enjoy the opportunities that exist as they relate to the transportation network while adequately addressing risks.

In addition to the important issues articulated above it remains essential there is a plan for institutional continuity, sustainability, and knowledge transfer for the future leadership of the Public Works Department. To ensure that Public Works is positioned with the right work, at the right level, at the right time, further development opportunities, in addition to current development plans, may need to be implemented. The creation and filling of the requested temporary leadership position now, allows for overlap and development of new leaders and the continuity of institutional knowledge. This approach permits for business continuity and operational readiness as skill gaps are filled now, while development continues for future needs.

The development of a Chief Road Official role is key to achieving improvement to service delivery, by reinforcing strategy via authority and structure, and having clear accountabilities and responsibilities at the right levels. The work requires a steward at the appropriate level for long-term as well as day-to-day activities. Reorganizing work within Public Works through the creation of a Chief Road Official role at a Director level, increases the value on our strategic vision and reinforces the necessary accountability in our service delivery for transportation infrastructure thereby supporting our ability to meet the current and future needs of the organization and the community that we serve.

#### **APPENDICES AND SCHEDULES ATTACHED**

Not applicable.

This is Exhibit "Q" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*

# Organizational Review

---

City of Hamilton Department of Public Works

Prepared by Ed McMahon, Partner, and Sylvia Klarer, Partner  
Core International Inc.  
September 3, 2020

## Purpose and approach

COREinternational was engaged to conduct a review of the Public Works (PW) organization structure in Q1 2020. Public Works had conducted a major re-organization a number of years ago and continued with some minor “tweaks” to the structure since that time. PW was now seeking to conduct a review of the Public Works Department from a current effectiveness perspective and in preparation for the future to ensure continued success of the Department. ***(Note: Separate Appendix and prior workshop deliverables provide details of the workplan and design principles)***

## Findings summary

Phase 1 of the project revealed:

- Progress since the last redesign in creating a structure that is effective in the reduction of compression at LW4 (DLT) which had been a significant issue prior to the last reorganization
- Progress toward having the right players, in the right roles, operating at the right level.
- Significantly improved collateral teamwork among the DLT as a result of organizational and personnel changes.

Further analysis of the data identified issues that when addressed, will continue to improve the overall effectiveness of PW to meet current and future needs of PW and the City with respect to the design, build, operate and maintain functions related to the City’s transportation infrastructure. Outlined in Section One below, these presented as the most significant issues during the discovery and analysis process and while presented as independent findings, are tightly intertwined in how they inform the options moving forward.

In addition, there are indications of structural issues within the Environmental Services Division (specifically, in Waste Management) that we believe bear a more detailed review. Our view is that these issues (elaborated upon in Section Two) could be remediated by structural changes and that these changes would improve levels of service and potentially reduce delivery costs for some services.

A more detailed analysis is presented in the two sections that follow.

# Section One – Transportation Infrastructure Findings and Recommendations

## 1. Functional fragmentation

Different Sections of two Departments (Public Works and Planning and Economic Development) have accountabilities related to the transportation network. Grouping of work and role accountabilities are unclear, resulting in:

- Increased co-ordination costs
- Lack of clarity regarding ownership for some projects (growth-related vs. renewal)
- Delays in project execution (competing priorities)
- Duplication of effort (especially regarding EAs)

Work being done in Planning Economic and Development (PED) Growth is similar to the work being done in PW Engineering services (ES). Creating a cohesive and focused execution on the City's plans requires that these activities be coordinated, which creates coordination costs and delays project execution.

The work of these two groups also directly impacts the work of Transportation Operation and Maintenance (TOM). The work done in PED (Growth) and PW (ES) is reciprocally interdependent with the work done in TOM. Design Principles suggest that this work be grouped under one manager as low as possible in the organization to reduce co-ordination costs and accelerate delivery.

## 2. Unclear decision authorities

There is a lack of clarity regarding which role has the authority to make trade-off decisions regarding final design and application of standards (Transportation Master Plan, Complete Streets).

Decisions are made using different standards (e.g. Capital vs Complete Streets guidelines). Sometimes capital is used as a decision criterion as projects evolve to support departures from design. The "Complete Streets Vision" is viewed by some stakeholders as impractical or unattainable within budget requirements, resulting in compromises to agreed-upon standards.

No single role is accountable for the entire transportation infrastructure system (below City Manager). The City Manager role is the cross-over manager and de facto Road Authority, accountable for all aspects of the "complete streets vision".

Impact of lack of clarity for role accountabilities and aligned decision authorities:

- Delays in project execution
- Potential for unnecessary escalations to GM PW and GM PED
- Decisions made with different standards causing uneven execution of the Complete Streets vision
- No clear role accountable for standards of delivery quality or progress against Complete Streets vision (i.e. no steward for Complete Streets)

### 3. Potential for inefficient allocation of capital

There was some lack of clarity regarding the current approach to managing capital at the City (i.e. capital planning process vs. capital allocation). Capital allocation risks undermining accountability for capital and delivery of the strategy as Capital becomes a constraint to execution and delivery of the strategy. Further data gathering to clarify the nature and extent of this issue is required.

### 4. No recognized road authority

There is no one role below City Manager authorized as the steward of Complete Streets with the accountability for all aspects of the “complete streets vision” and the entirety of the City’s transportation infrastructure. Although not specifically named as such, the City Manager is currently the only role that has authority over all parts of the system working on planning, building, operating, and maintaining the City’s road network. This makes the City Manager role the cross-over manager and the defacto Road Authority.

Our design principles suggest that this is too high in the organization for the accountability of the Road Authority to reside. Based on the nature of the work and the time span of accountability, design principles would define the work of the Road Authority at the LW4 (Director) level, bringing it closer to the operational work it is designed to inform.

## Recommendations and propositions

The following options were presented to participants from both PW and PED stakeholders in a joint design workshop. Feedback from the workshop was general agreement that Options 2 through Option 4 (taking some form of action) are viable, but that additional data was needed to understand the work in more depth once a decision was reached in order to successfully implement a change. The workshop discussions provided more benefits and risks from the stakeholder perspective for each option.

Our design principles of levelling, grouping, interdependence of work, and organizing for collective output, in alignment with the design criteria created by PW have been integral in the preparation of the options presented. Option 2 to 4 will have increasing impacts on the effectiveness of the organization structure to deliver on current and future needs of the City along with differing pros, cons, and change management requirements.

Post-workshop, we expanded the range of options to include a new Option 1: Do nothing which, while it is an option, is not recommended.

Finally, we believe it is important to reiterate that before any final decisions are made on structure, additional data regarding the detailed work being done in each role under review is required, in order to facilitate data-based decisions about the redistribution of work and redesign of organizational structure(s).

<b>Option One: Do nothing</b> <i>Not Recommended</i>	
<p>The current structure and distribution of work between the two Departments can deliver on all aspects of the transportation system for the City. Recognizing this however, we note that at no point did any interview subject, participant in group briefings, or stakeholders workshops suggested that the current structure is optimal, or that it be left unchanged. Design principles would also not support this as a viable option because it does not support the strategy and design criteria for the work and leaves significant known issues unaddressed.</p>	
Benefits	Risks
<ul style="list-style-type: none"> <li>No disruption to the “status quo” – No change management efforts required by managers to help facilitate growth and improved effectiveness of the current structure</li> </ul>	<ul style="list-style-type: none"> <li>Missed opportunity for the improved effectiveness of a new structure (e.g. reduced coordination efforts, cost savings, improved services)</li> <li>Missed opportunities for clear role accountabilities and aligned decision authorities</li> <li>The City may not be able to meet its future transportation infrastructure needs (e.g. deliver effectively large infrastructure projects)</li> </ul>
<p><b>Implementation considerations:</b> In the short-term, no effort on the part of management or HR. In the mid and longer term with more complex projects, increased funding for large infrastructure projects, or changes to policies and guidelines this option could lead to increasing coordination costs and/or missed objectives.</p>	

<b>Option Two: Assign the work of the Road Authority to one Director in PW</b> <i>Recommended as a minimum</i>	
<p>Additionally, create a permanent Transportation Infrastructure Task Force (or similar body) with appropriate stakeholders. No other immediate structural changes—review as attrition occurs.</p>	
Benefits	Risks
<ul style="list-style-type: none"> <li>Provides stewardship for Complete Streets</li> <li>Clarifies decision authorities</li> <li>Better co-ordination of projects</li> <li>Potential for accelerated delivery of projects</li> <li>Positive impact on employee engagement</li> <li>Cleanest, centralize authority in a role</li> <li>Effective to have a centralized role with decision authority to provide guidance into project work</li> <li>A senior management team as Road authority would provide all stakeholder clarity on decisions</li> </ul>	<ul style="list-style-type: none"> <li>Level of effort to overcome legacy perceptions of decision authority</li> <li>Multiple cross-boundary relationships remain</li> <li>Development approvals – we cannot divorce the authority of the teams making decisions in the work of the people in the “day-to-day” from the Road Authority</li> </ul>
<p><b>Implementation considerations:</b> Low effort to implement. Ensure all stakeholders are initially identified and involved in this work. Requires in depth review of the one Director role to define additional role accountabilities, decision authorities, and cross boundary relationships. Requires clear definition of the scope of operation and accountabilities of the Task Force or similar body.</p>	

<p><b>Option Three: Combine TOM and ES in PW</b>  <i>Recommended as a preferred and more comprehensive first step</i></p>	
<p>Assign the Road Authority to one Director in PW. Create a permanent Transportation Infrastructure Task Force with appropriate stakeholders. Combine TOMS and ES within PW.</p>	
Benefits	Risks
<ul style="list-style-type: none"> <li>• Provides stewardship for Complete Streets</li> <li>• Better co-ordination of projects intra- and cross-departmentally</li> <li>• Reduced cost of co-ordination</li> <li>• Accelerated delivery of projects</li> <li>• Positively impact on relationships and building of trust</li> <li>• Combines the design operations and maintenance work within PW</li> <li>• Could be supportive of a value chain perspective to all work in these groups</li> </ul>	<ul style="list-style-type: none"> <li>• Cultural shift within PW</li> <li>• Legacy perceptions of decision authority</li> <li>• Potential for resistance to change</li> <li>• Leaves reciprocally interdependent work in PED</li> </ul>
<p><b>Implementation considerations:</b> Medium effort required work across two Divisions to restructured in alignment to the strategy, design criteria and principles. Grouping, levelling, and role accountability with aligned decision authority focused on the new single division and Road Authority. Work to clearly define cross boundary relationships outside of this newly combined Division. Requires clear definition of the scope of operation and accountabilities of the Task Force or similar body.</p>	

<p><b>Option Four: Combine TOMS and ES in PW, and merge work from PED Growth Management</b>  <i>Recommended as the most comprehensive solution</i></p>	
<p>Assign the Road Authority to one Director in PW. Combine TOMS and ES within PW. Bring appropriate work from PED into combined PW group.</p>	
Benefits	Risks
<ul style="list-style-type: none"> <li>• Provides stewardship for Complete Streets</li> <li>• Significantly reduces cross-boundary work</li> <li>• Reduced cost of co-ordination</li> <li>• Accelerated delivery of projects</li> <li>• Improved employee engagement as cross-boundary relationships and decision authorities are limited to one department</li> <li>• Align to strategy and the work re: importance of both infrastructure and growth work – tied to positive culture change</li> </ul>	<ul style="list-style-type: none"> <li>• Most significant structure changes</li> <li>• Cultural shift within PW</li> <li>• Legacy perceptions of decision authority</li> <li>• Potential for resistance to change</li> <li>• Potential for loss of long-term incumbents</li> <li>• Separate capital delivery from development delivery infrastructure work – How will Priorities be agreed to? for re: development work</li> </ul>
<p><b>Implementation considerations:</b> Most effort required as work across two Divisions and two Departments would need to be restructured in alignment to the design criteria and principles. Grouping, levelling, and role accountability with aligned decision authority work focused on multiple groups and the Road Authority. Potential for most impact on culture and employee engagement. Will require change management support and focus.</p>	



## Section Two – Environmental Services Findings and recommendations

### 1. Indications of structural issues in Environmental Services Division

There are indications of structural issues within the Environmental Services Division in two areas: oversight of outsourced waste collection and waste collection work done in the right-of-way. In addition, the inclusion of Waste Management within the Environmental Services portfolio creates a very diverse portfolio and suggests that nesting the Waste Management in Environmental Services may bear further scrutiny.

The collection and disposal of waste and recycling materials, attendant issues and their timely resolution generates a great deal of work within Environmental Services (and a significant proportion of the Director's time). Additionally, waste management is a high-profile function attracting significant public and City Councilor attention. This function is made more complex by the mix of outsourced (contracted) work, and work done by City employees.

While the City outsources collection work, it retains accountability for the quality of its delivery, without direct authority over the contractor's staff. This makes management of outsourced work more complicated as management is performed "at a distance" and frequently after an issue has occurred. Proactive management of outsourced work is more complex than management of the outsourcing contract.

To meet City standards, outsourced work requires oversight and management that is similar in nature to insourced work. Currently, City Staff who perform this function are overseen by Supervisors, Superintendents, and the Manager Waste Collections. The outsourced work is overseen by a Project Manager (PM) who reports to the Manager Waste Collections.

Nesting the PM role accountable for managing outsourced waste collection too low in the organization requires that issues of any complexity be escalated. This frequently involves the Manager Waste Collection and the Director Environmental Services in day-to-day issue resolution, which prevents them from doing the longer-term system and quality improvement work associated with these roles.

This nesting also implies that this outsourced function will not improve in terms of quality or cost, as the PM's efforts are focused on managing the contract and resolving or escalating issues after they occur.

Finally, there is work done in Waste Collections that may well be better nested in Roads. The Downtown Clean program requires work in the right-of-way, which requires communication and coordination with Transportation Operations and Maintenance. In our view, the reciprocal nature of this work suggests that it might better be nested in TOM rather than Waste Management.

These structural issues create the following impacts:

- The Manager Waste Collections and the Director Environmental Services are pulled down into work well below the level of their primary accountabilities
- Outsourced waste collection oversight focuses primarily on contract enforcement and issue resolution/escalation (no continuous or quality improvement)
- There is insufficient capacity to ensure that City standards are met by external contractors
- The Downtown Clean program requires additional coordination and communication across organizational boundaries.

## Recommendations and propositions

The following propositions were presented to the PW leadership team and discussed with the team. There was general agreement that Option 3 was determined not to be feasible as there are numerous outsourced contracts within Environmental Services that require specific expertise to manage. While the notion of a centralized contract management function that would provide consistent levels of service across the organization may seem desirable, data that was provided at the workshop (data which was outside the scope of this initial review) suggests the risks might outweigh the rewards.

The other two Options (2 and 4) were discussed and input was provided. Option 1 (Do Nothing) was added post-workshop and is not recommended.

We believe it is important to note that the data provided during the interview process confirms that most municipal governments in Ontario do not nest Waste Collection within another Division. It is more generally a standalone Division (Option 4). We did not collect detailed information about the work of each role in Waste Management in the course of this review (out of scope) however, we believe the notion of a standalone Division warrants further investigation.

Option 2 is viewed as a minimum recommendation to alleviate some of the issues noted above, although it leaves Waste Management nested within the Environmental Services Division, which is not a standard practice.

Our design principles of levelling, grouping, interdependence of work, and organizing for collective output, in alignment with the design criteria created by PW have been integral in the preparation of the options presented.

**Option One: Do nothing**
*Not recommended*

The current structure of the Waste Management division allows for some of the necessary work of the Division (with respect to the management of the outsourced waste management work) to be done. There are, however, a number of important missing elements which contribute to continuous improvement and the ongoing evolution of this function that are absent, given the level at which the work is nested. Design principles would also not support this as a viable option because it does not support the strategy and design criteria for the work and leaves significant known issues unaddressed.

Benefits	Risks
<ul style="list-style-type: none"> <li>No disruption to the “status quo” – No change management efforts required by managers to help facilitate growth and improved effectiveness of the current structure</li> </ul>	<ul style="list-style-type: none"> <li>Missed opportunity for the improved effectiveness of a new structure (e.g. reduction in management time spent on issue resolution)</li> <li>Oversight of outsourced waste management work will be limited to remediation of contract issues after incidents occur</li> <li>No continuous improvement or improvements in service quality</li> </ul>

**Implementation considerations:** In the short-term, no effort on the part of management or HR as this option is not recommended. This option would continue to involve the Manager, Waste Management and the Director of Environmental Services in issue resolution when issues related to outsourced waste management work arise.

**Option Two: Restructure Waste Collections with higher level of oversight of outsourced work**
*Recommended as a minimum*

The current structure nests the oversight of outsourced Waste Management too low in the organization to be effective. This approach contributes to numerous escalations to the Manager and often to the Director of Environmental Services. In addition, it focuses the work of the role on reacting to exceptions to the contract and limits opportunity for quality or process improvements that would result in higher level of satisfaction among the citizens of Hamilton who are the “customers” of the outsourced work.

Benefits	Risks
<ul style="list-style-type: none"> <li>Limits change to one part of Environmental Services</li> <li>Allows for the elevation of management of outsourced work to the appropriate level</li> </ul>	<ul style="list-style-type: none"> <li>May require more roles than currently applied to waste collections</li> <li>Does not address management of other outsourced work</li> </ul>

**Implementation considerations:** In the short-term, this may be an effective approach to reducing the escalations that pull the Manager and Director down into LW1 work. In the mid and longer term with this may provide a pathway to better service levels for outsourced Waste Collection.

**Option Three: Establish a Contract Management Manager within Environmental Services**
*Not Recommended*

This option has been included only for the sake of completeness and transparency as it was presented to the workshop group. Feedback from the workshop suggests this option is not feasible.

Benefits	Risks
<ul style="list-style-type: none"> <li>Provides a consistent, higher-level management of outsourced work</li> <li>Allows for continuous improvement and quality assurance consistent with City standards</li> <li>Alleviates escalation pressures on current Director</li> </ul>	<ul style="list-style-type: none"> <li>Requires additional manager-level role</li> <li>Does not evolve the management of waste and recycling beyond the manager level (implies execution would benefit only from incremental improvement)</li> </ul>

**Implementation considerations:** Not recommended.

**Option Four: Establish a Waste Management Division**
*Recommended for a more comprehensive review*

Many Ontario jurisdictions treat Waste Management as a standalone Division (or equivalent). Nesting Waste Management as it is in the current organization limits the focus to managing the current state and allows few opportunities for quality or process improvements. Additionally, as Waste Management is a high-profile function within the City that draws significant attention from Citizens and Councillors, creating a standalone division may signal an effort to improve service and a higher level of focus on the function.

Benefits	Risks
<ul style="list-style-type: none"> <li>Elevates management of waste and recycling to a higher, more strategic level</li> <li>Allows for consolidation of all activities under one Director role</li> <li>More consistent with approach in other Ontario jurisdictions</li> <li>Eliminates escalation issues within Environmental Services</li> </ul>	<ul style="list-style-type: none"> <li>Highest level of change</li> <li>Requires funding and staffing of additional director-level role</li> <li>May imply changes to other parts of the organization that deal with waste</li> </ul>

**Implementation considerations:** This option represents the most significant change of those contemplated and the level of data collected to this point do not suggest an immediate move to this alternative. However, the existing structural issues are creating extra work in the Division at both the Manager and Director level, which implies that both of these senior roles are devoting a significant amount of attention to this one function. In the case of the Director, this likely means that other important work that his role is accountable for (e.g. Parks, Cemeteries, Forestry, Horticulture, Landscape Architectural Services), get less attention than they deserve. Before moving to this option, we recommend a deeper and broader functional assessment and benchmarking against other municipalities to determine a course of action.

# **Appendix**

## **Detailed workplan and design principles**

## Detailed Workplan

### Stage 1

#### Clarify and assess the current state

- Kickoff meeting
- Through stakeholder interviews, clarify and document:
  - Degree of alignment with design proposition
  - Perceived efficacy of the organization today
    - Cross-boundary work
    - Work flow in general: within the Department; between Departments
  - Perspectives: opportunities and challenges as the City evolves
- Assess current level of stakeholder satisfaction
- Document high level future state needs
- Conduct external scan

#### Outcomes

- Efficacy of the current state:
  - What's working
  - What needs improvement
- "Implementation Scorecard"
- Assessment of stakeholder satisfaction
- Outline high level future state "needs"
  - Areas of anticipated friction/issues
  - What will have to change going forward
- Detailed design of Phase II approach

### Stage 2

#### Looking to the future

- Workshop(s) to clarify/gain consensus regarding future state "needs"
- Through this process clarify:
  - LRT contingency (readiness)
  - Optimal location of capital work (P&ED or PW)
  - Cross-boundary gaps
  - Clarify PW's role and work where shared accountabilities exist:
    - Waterdown bypass
    - Pier 7&8
    - BLAST
- Efficacy of current committees
  - AEGD
  - BLAST
  - Parkways Management
  - ITAG
- Asset management work

#### Outcomes

- Clarify and define future state "needs"
  - Change pressure: internal and external
  - City's (PW) response
  - Cross-boundary "fine tuning"
- Identify gaps in ability to provide service
  - Within PW
  - Across departments
  - City-wide
- Remediation approach(es)
  - Committee/Task Force approach
  - Organizational implications
  - Improved cross-boundary definitions

## Interviews and working sessions

No.	Name	Title	Date
1	Edward Soldo	Director, Transportation, Operations & Maintenance	April 9 <sup>th</sup>
2	Gord McGuire	Director, Engineering Services	April 3 <sup>rd</sup>
3	Jason Thorne	General Manager, Planning & Economic Development	March 18 <sup>th</sup>
4	Debbie Dalle Vedove	Director, Transit	March 20 <sup>th</sup>
5	Craig Murdoch	Director, Environmental Services	March 20 <sup>th</sup>
6	Rom D'Angelo	Director, Energy, Fleet & Facilities Management	April 9 <sup>th</sup>
7	Melissa Chiappetta	Human Resources Business Partner	March 24 <sup>th</sup>
8	Andrew Grice	Director, Hamilton Water	March 25 <sup>th</sup> /April 1 <sup>st</sup>
9	Jasmine Graham	Senior Communications Officer	April 1 <sup>st</sup>
10	Mike Zegarac	General Manager, Finance & Corporate Services	March 26 <sup>th</sup>
11	Brian Hollingsworth	Director, Transportation Planning & Parking	March 27 <sup>th</sup> /May 6 <sup>th</sup>
12	Pat Leishman	Manager, Quality, Strategy & Continuous Improvement	March 27 <sup>th</sup>
13	Tony Sergi	Senior Director, Growth Management	April 27 <sup>th</sup>
14	Jason Thorne	General Manager, Planning & Economic Development	April 28 <sup>th</sup>
15	Ashley Bono	Manager, Finance	May 1 <sup>st</sup>

## Working Sessions

No.	Session/Workshop	Participants	Date
1	Kick Off Session	PW leadership team, HRBP	March 12th
2	Phase 1 Findings	PW GM, HRBP	May 22nd
3	Phase 1 Findings	PW GM, City Manager, HR Director, Director Talent and Diversity, HRBPs	May 29th
4	Phase 1 Findings	PW GM, HRBP, PED GM, HRBP	June 5th
5	Organization Review Findings	PW leadership team, HRBP	July 7th
6	Organization Review Findings	PED leadership team, HRBP	July 9th
7	Organization Review Findings	PED leaders and manager representation, HRBP	July 15th
8	Organization Review Findings	PW leaders and manager representation, HRBP	July 20th
9	Phase 2 Workshop: Road Authority/ Transportation Infrastructure	PW/PED leadership and manager representation, HRBP	July 21st



# Road Authority Workshop Participants

Facilitated by CORE International  
12 noon on July 21, 2020 – via WebEx

## Participant List

### CORE

Ed McMahon – CORE International  
Sylvia Klarer – CORE International

### Public Works

- Dan McKinnon, General Manager Public Works
  - Rom D'Angelo, Director Energy Fleet & Facilities Maintenance
  - Craig Murdoch, Director Environmental Services
  - Andrew Grice, Director Hamilton Water
  - Debbie Dalle Vedove, Director Transit
    - Jason Vader Heide, Manager Transit Planning & Infrastructure
  - Edward Soldo, Director Transportation Operations & Maintenance
    - Bob Paul, Manager Roadway Maintenance
    - Mike Field, Manager Transportation Operations
  - Gord McGuire, Director Engineering Services
    - Erika Waite, Asset Management
    - Susan Jacob, Manager Design
  - Pat Leishman, Manager Strategy, Continuous Improvement & Quality
    - Lew Dsouza, Senior Project Manager Continuous Improvement

### Planning & Economic Development

- Jason Thorne, General Manager Planning & Economic Development
  - Tony Sergi, Senior Director Growth Management
    - Gavin Norman, Manager Infrastructure Planning
    - Sally Yong-Lee, Manager Infrastructure Planning
    - Binu Korah, Manager Engineering Approvals
    - Carlo Ammendolia, Manager Development Engineering – Construction
  - Brian Hollingworth, Director Transportation Planning & Parking
    - Steve Molloy, Manager Transportation Planning

### Support Staff

- Ashley Bono, Manager Finance & Admin supporting Public Works
- Jasmine Graham, Senior Communications Officer supporting Public Works
- Lisa Hunt, HR Business Partner supporting Planning & Economic Development
- Melissa Chiappetta, HR Business Partner supporting Public Works
- Kelly Kavanagh, HR Business Partner supporting Public Works

## Design Criteria

A critical step in determining whether changes to an organization structure are in order is the creation of design criteria. These provide a “statement of purpose” for an organization and provide guidance for the selection of the best option to move forward. The following design criteria were developed throughout the project and reviewed with all participants during the workshops.

The structure will:

- Be aligned to deliver on the City’s strategic priorities: Complete Streets and Open for Business
- Provide a single point of accountability for the delivery of the Complete Streets vision—the Road Authority
- As much as possible, reduce or eliminate co-ordination costs
- Provide for the effective allocation of capital
- Clearly articulate decision authorities for all roles

## Fragmented accountabilities

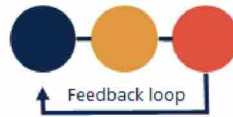
	<i>Plan</i>	<i>Build</i>	<i>Operate</i>	<i>Maintain</i>
<b>Public Works</b>				
Engineering Services (ES)	✓ (Environmental Assessment)	✓		
Transportation, Operations, Maintenance (TOM)			✓	✓
<b>Planning &amp; Economic Development</b>				
Transportation Planning & Parking (TPP)	✓ (Environmental Assessment)	✓ (Oversight of execution)	✓ (Parking)	✓ (Parking)
Growth Management (GM)	✓ (Environmental Assessment)	✓ (Oversight of execution)		

## Grouping and interdependence of work



### Pooled

- Little or no interaction
- For the organization to be successful, each group must work well on their own
- Coordination usually in the form of common goals, standards, rules, and routines
- Due to self-containment, usually grouped fairly high in the structure



### Sequential

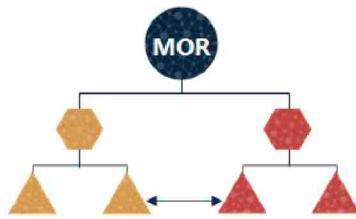
- Serial: there is a handoff between a “supplier” and a “customer”
- Coordinated through plans and schedules, liaison roles, and coordinating committees
- May not need to be grouped under a common manager



### Reciprocal

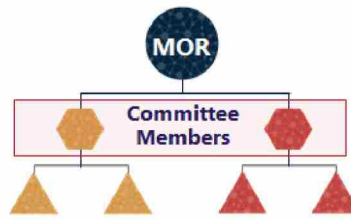
- Outputs of one group immediately affect the other and vice versa
- Each unit’s work is contingent on the work of the other, requiring constant communication and mutual adjustment
- Work needs to be grouped under common manager as low as possible in the structure

# Organizing for collective output



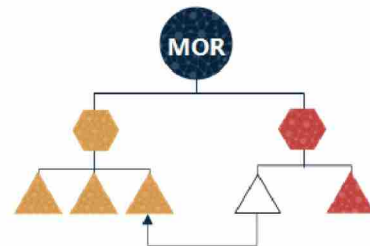
## Cross-Boundary

- Cross-boundary relationships are established by the Manager and approved by the Manager Once Removed (MOR).
- When they do not work well, dysfunctional cross-boundary relationships can result in increased escalation to resolve disputes, and excessive costs.



## Task Forces or Standing Committees

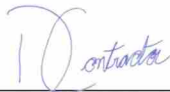
- Improved communication and "in the moment" decision-making by Managers can coordinate and accelerate work.
- In order to be highly effective Task Force authorities need to be clearly established and understood – otherwise escalation and costs will increase.



## Permanent Structural Change

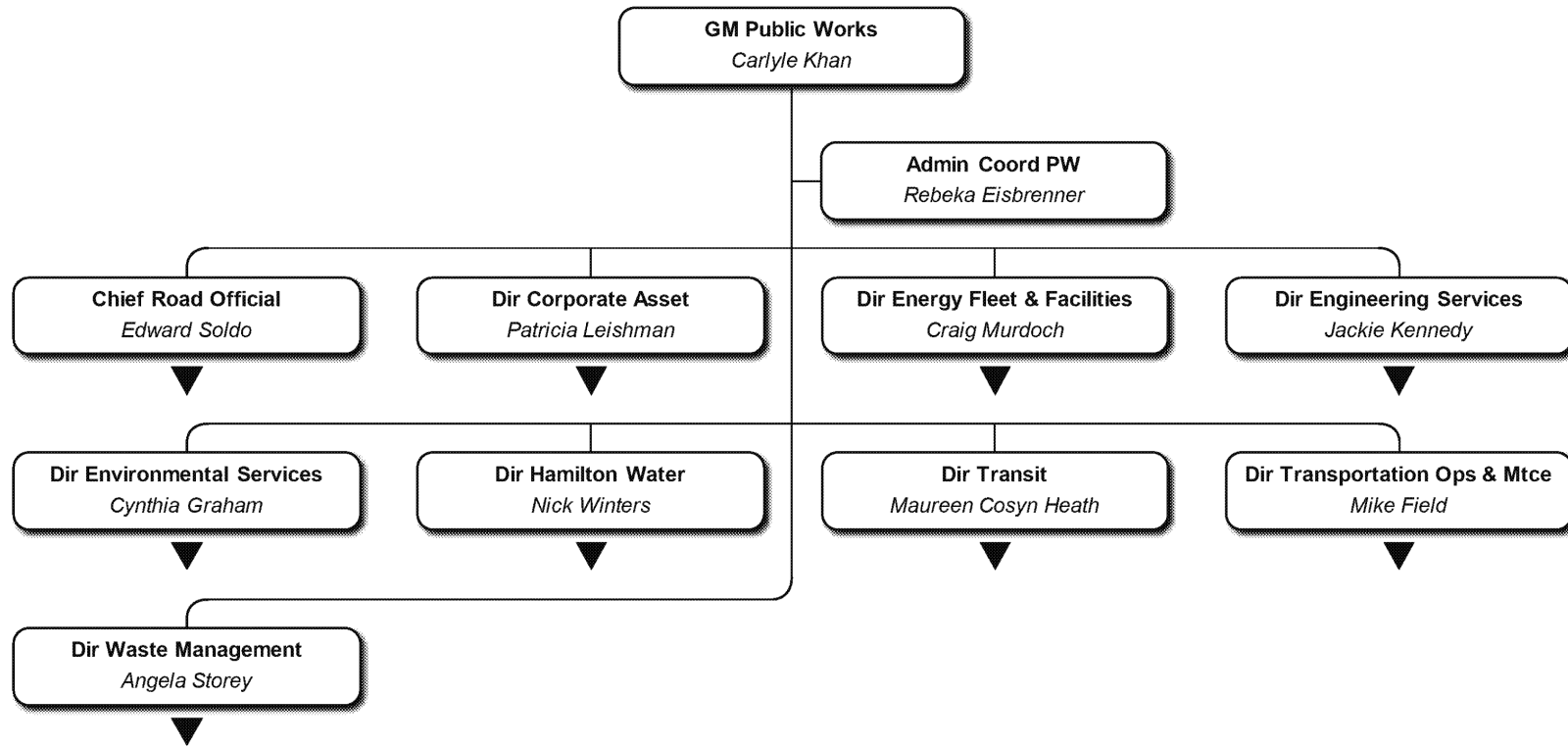
- This approach removes the cross-boundary condition and makes the role holder part of a collateral team.
- This approach can be particularly effective when the work is reciprocally interdependent, and successful collaboration on the work requires constant mutual adjustment.

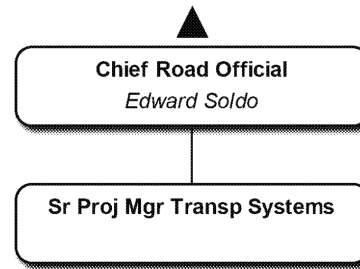
This is Exhibit "R" referred to in the Affidavit of JANETTE SMITH  
sworn February 22 , 2023.



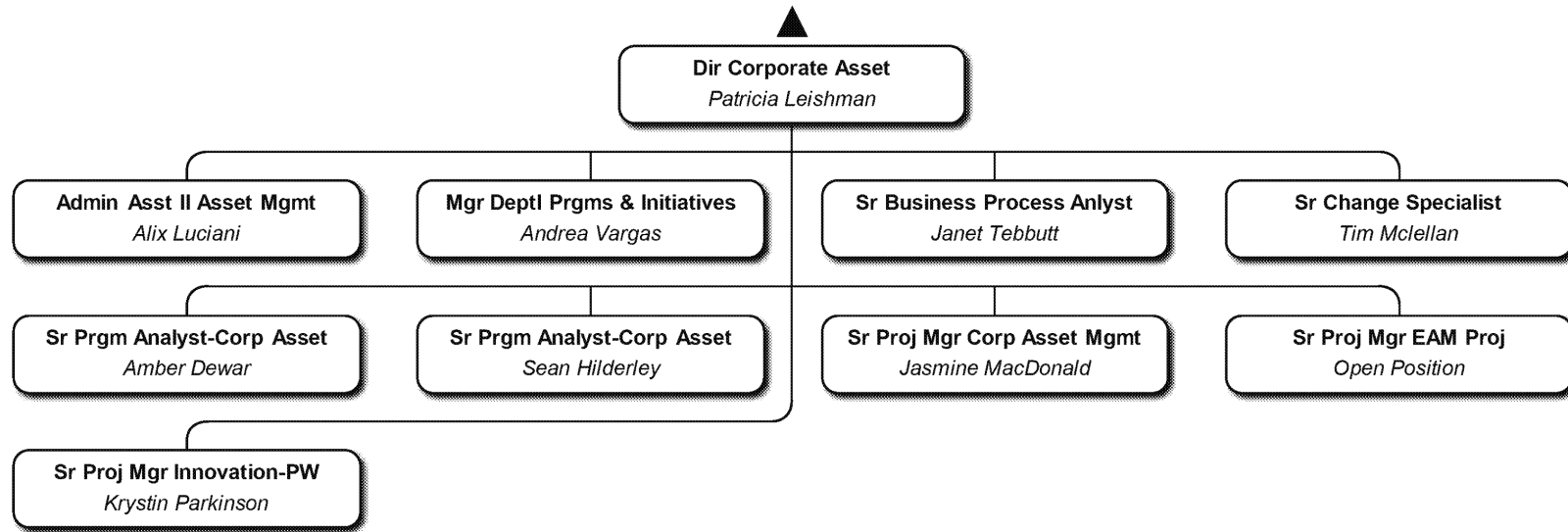
---

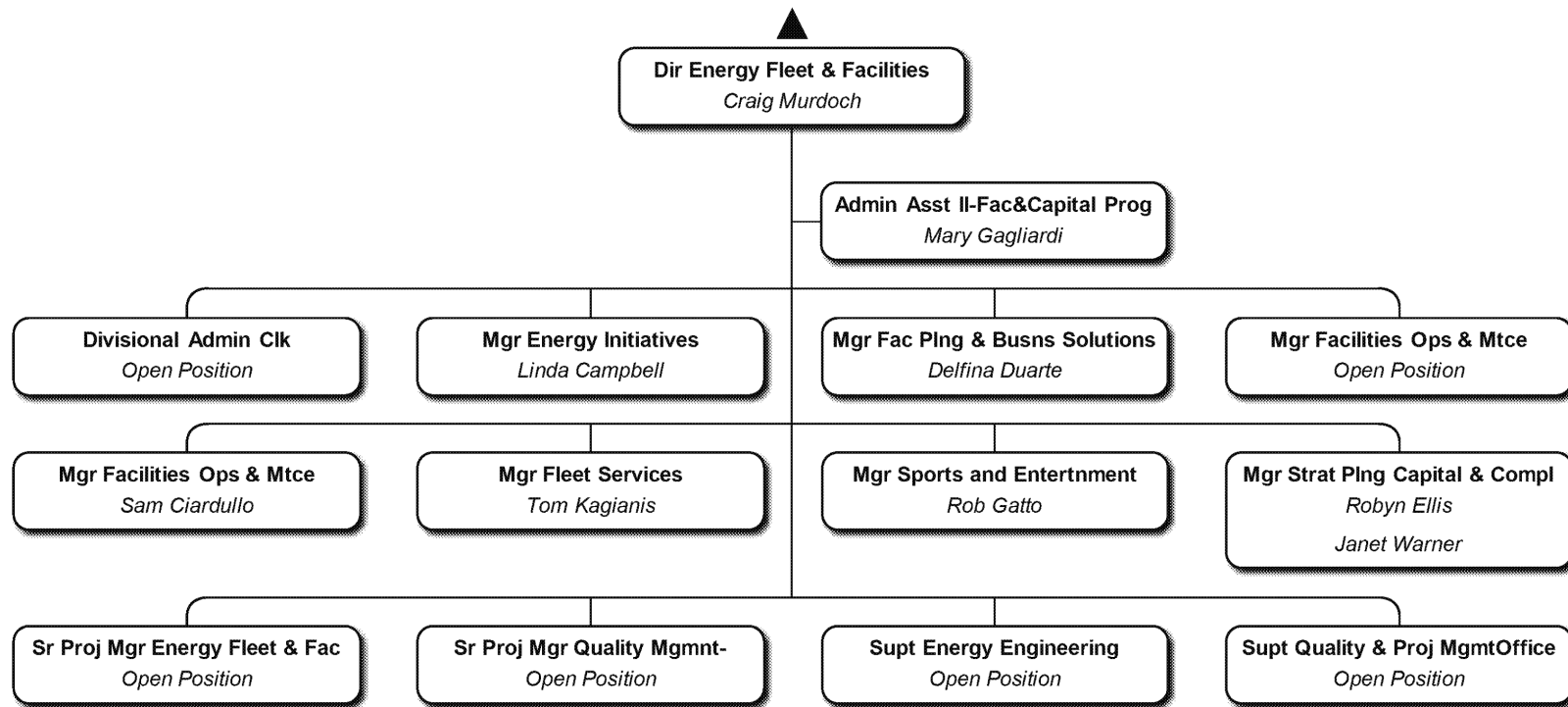
*Commissioner for Taking Affidavits (or as may be)*

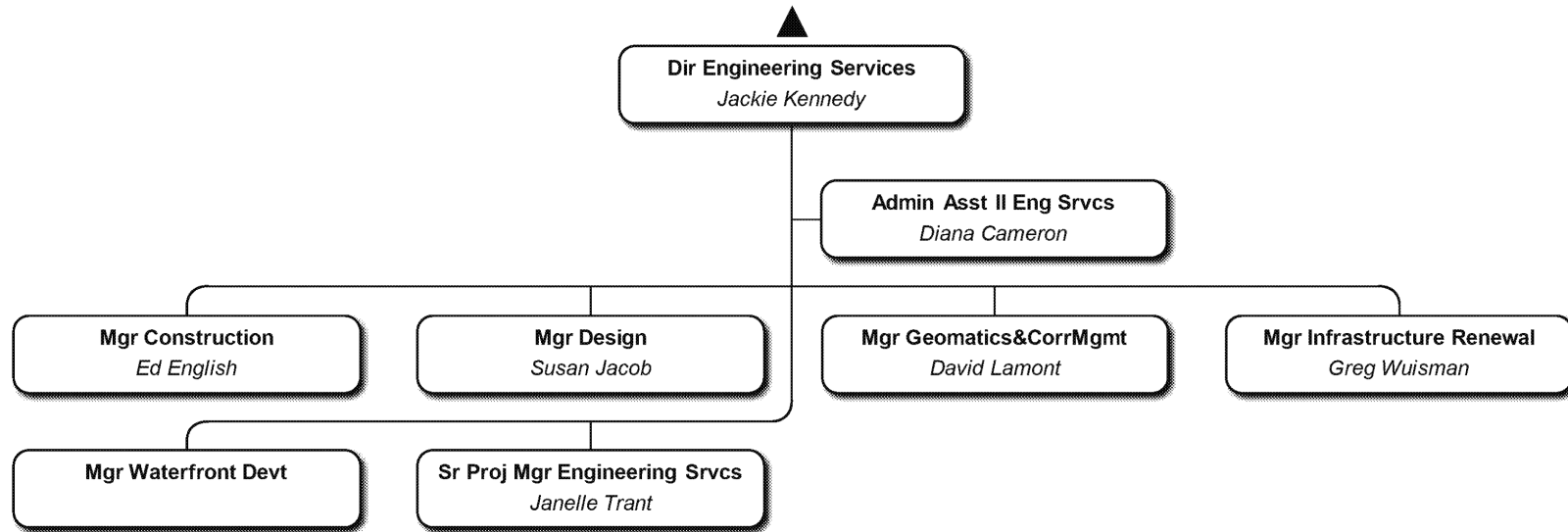


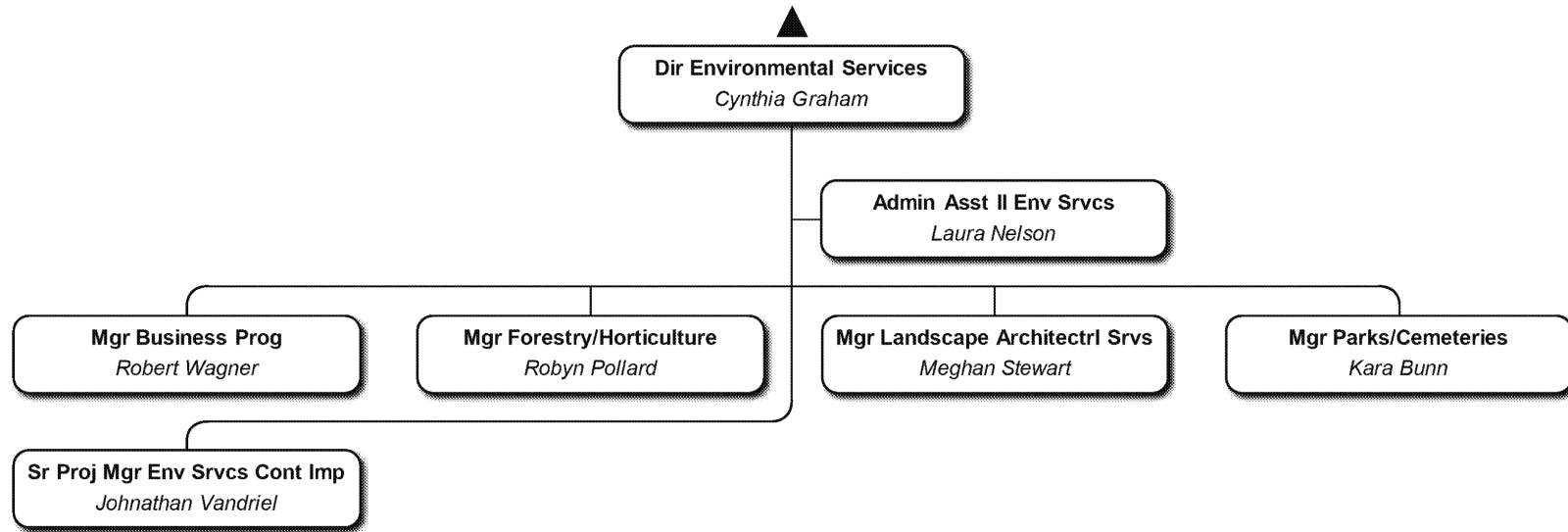


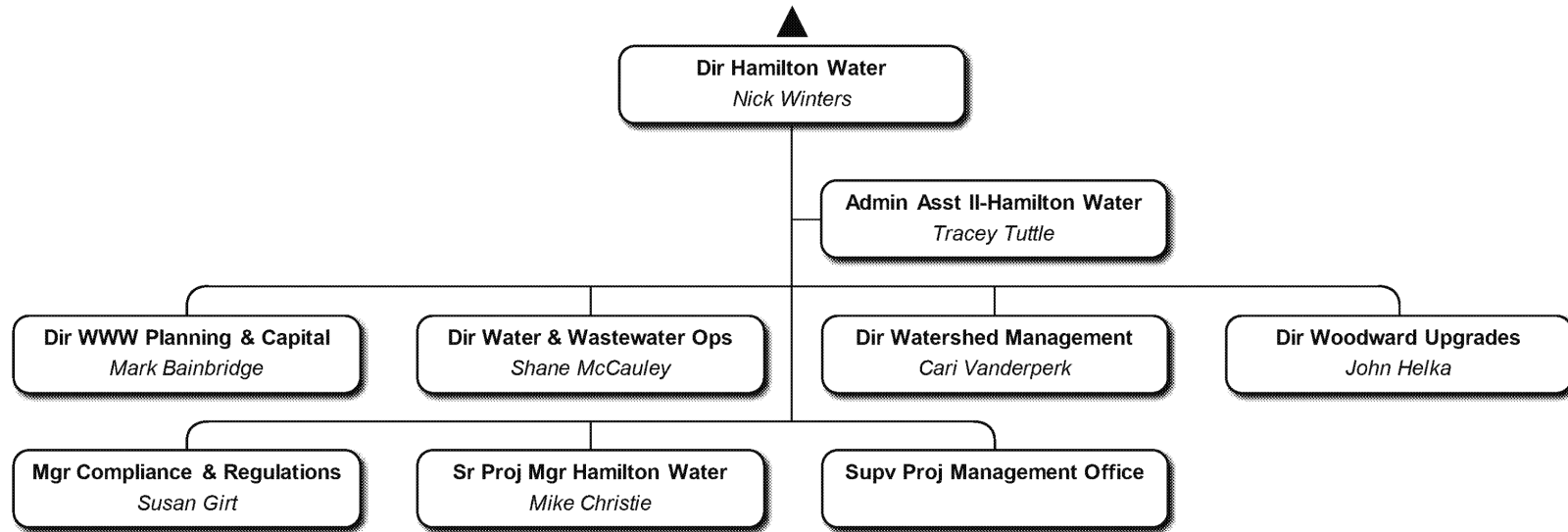


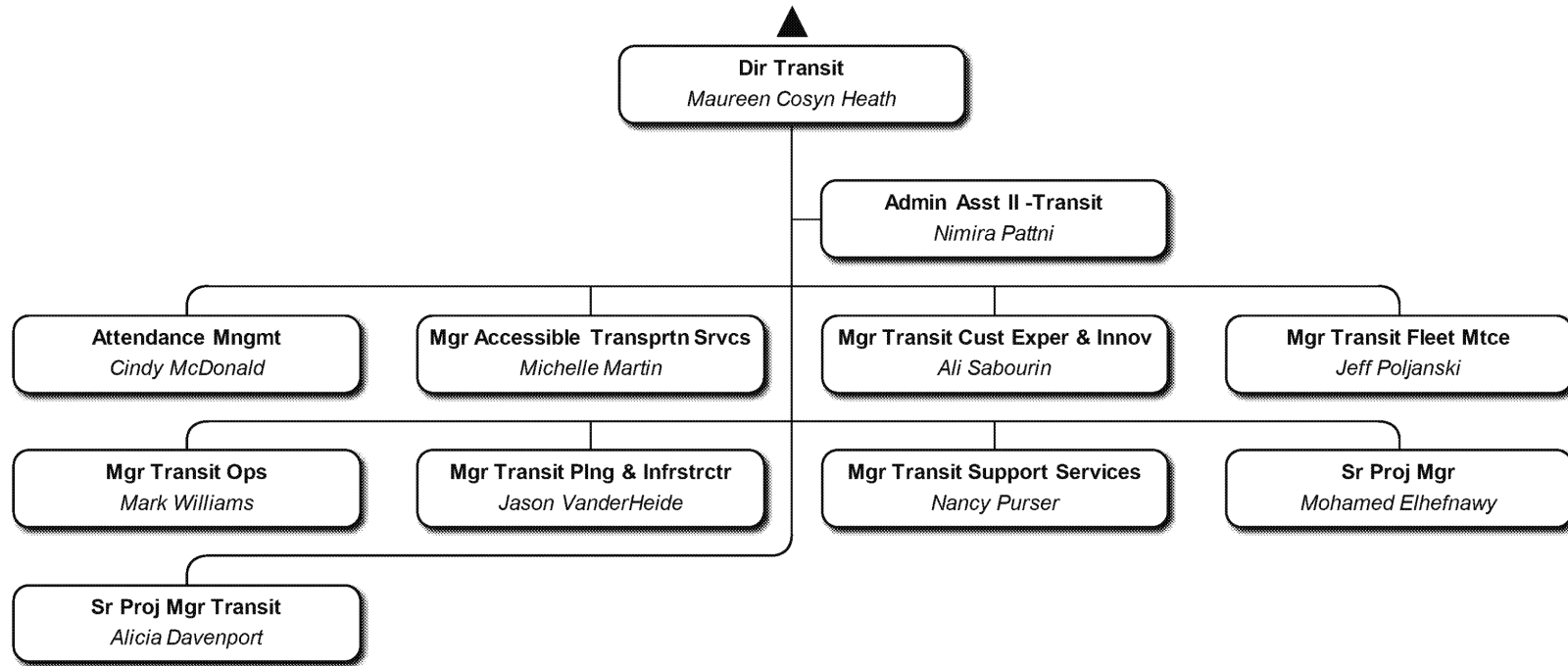


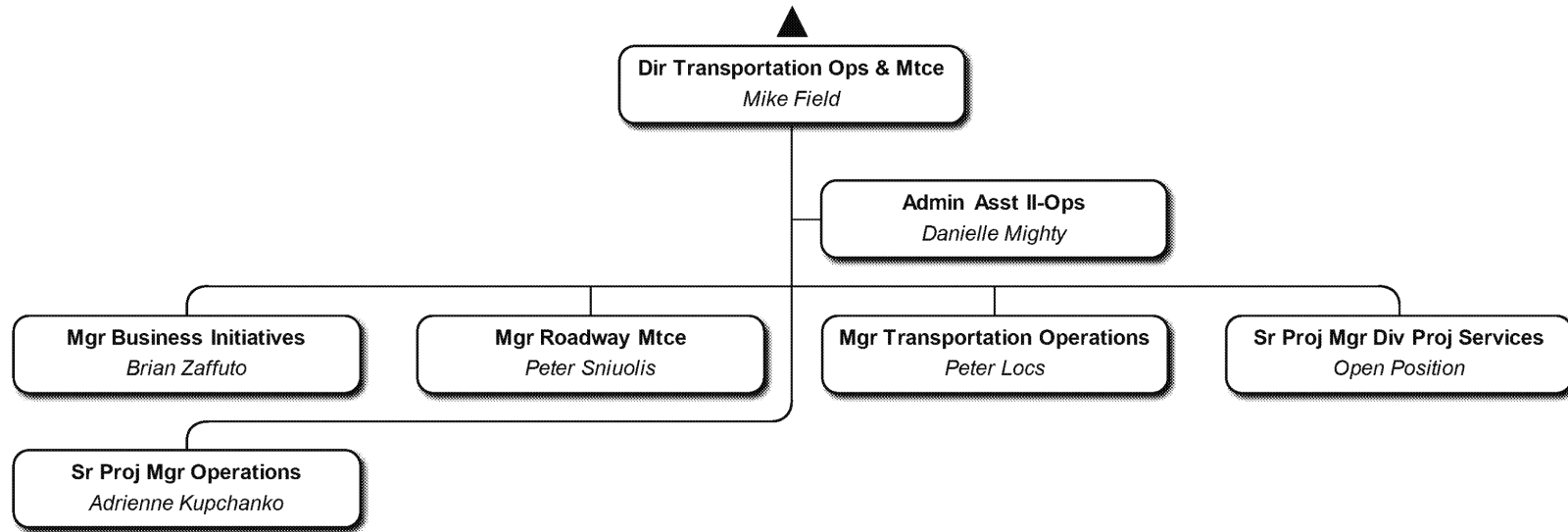


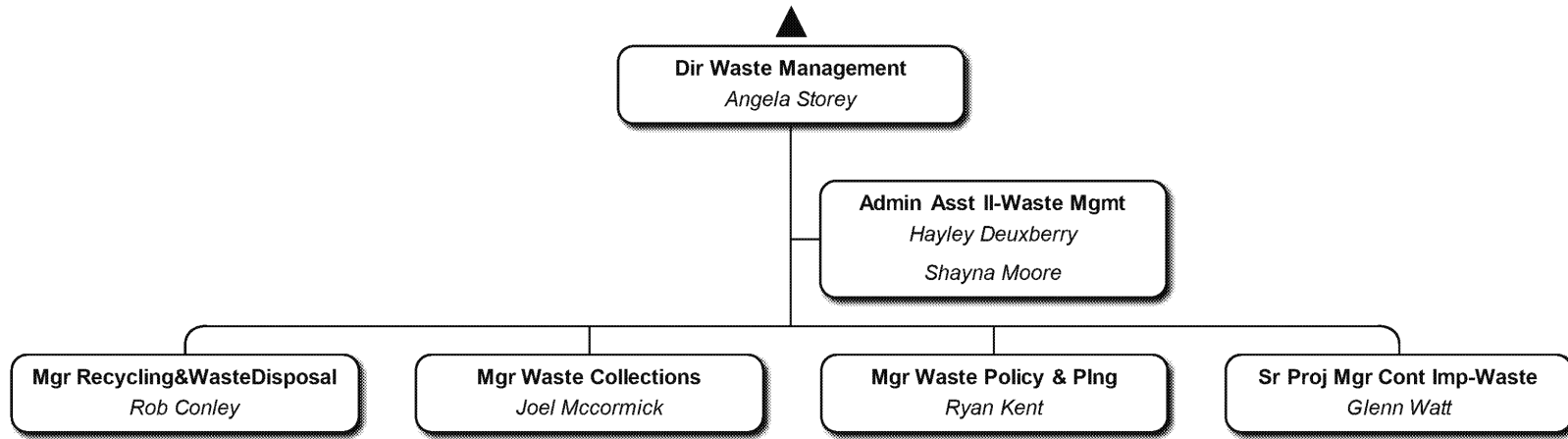














This is Exhibit "S" referred to in the Affidavit of JANETTE SMITH  
sworn February 22, 2023.



---

*Commissioner for Taking Affidavits (or as may be)*



**Terms of Reference**  
**City of Hamilton**  
**Parkway Management Committee**

**Mandate**

The Parkway Management Committee (PMC) shall provide leadership on the safe and efficient operation and maintenance of the Lincoln M. Alexander (LINC) and the Red Hill Valley Parkways (RHVP). PMC shall provide input and guidance to staff and Council on the policies, projects, and programs related to the operation and maintenance of the LINC and RHVP, identifying opportunities for improvements, as well as providing support on matters related to the LINC and RHVP.

**Scope of Work**

PMC's focus areas shall include:

- 1) Ensuring that the City's master plans and strategies related to the City's transportation system considers the ongoing requirements for the operation and maintenance of the LINC and RHVP;
- 2) Providing advice and feedback on matters relating to the ongoing development needs, reconstruction, maintenance, active use, and funding of the LINC and RHVP, including:
  - Road safety;
  - Design changes;
  - Transit related opportunities;
  - Adopting best practices for roadway design and operations to respond to changing climate and frequency of extreme weather events; and
  - Consideration and support for the financial requirements as part of the City's capital and operation program.
- 3) Providing input on LINC and RHVP issues and initiatives which may have impacts on other levels of government; Indigenous groups, and other agencies;
- 4) Acting as a sounding board and determining appropriate actions in response to issues and initiatives related to the LINC and RHVP;
- 5) Encouraging staff to learn from and network with other representatives from other communities and agencies who have similar experience with operating highways;
- 6) Provide updates on the PMC's activities to the respective Divisions, Department Leadership Team, Integrated Transportation Action Group, Senior Leadership Team, Council Sub-Committees, and Council as required;
- 7) Emergency preparedness related to Transportation, Operations, and Maintenance.

- 8) Coordinating reports for City Council and other relevant documents and consultation related to the LINC and RHVP.

### **Staff Representation**

- 1) PMC shall include staff representatives from the following Divisions/Sections in the Public Works Department:
  - i. General Manager's Office;
  - ii. Chief Road Official's Office;
  - iii. Engineering Services Division including Infrastructure Renewal, Design and Construction;
  - iv. Transportation, Operations & Maintenance Division including Transportation Operations;
  - v. Environmental Services including Forestry; and
  - vi. Hamilton Water Division.
- 2) PMC members will be comprised of staff at the Management level, including Superintendents, Managers, Directors, and General Manager.
- 3) PMC members are expected to attend all meeting or send representatives if they are unable to attend.
- 4) Additional staff resources shall be provided by the Divisions as required, e.g. subject matter experts for specific projects.

### **Reporting Structure**

The Public Works Department's Chief Road Official Office shall provide administrative support for PMC, which shall include staff for meeting preparation such as agendas and minutes and the Chief Road Official shall chair the meeting.

### **Meeting Schedule**

PMC shall meet bi-monthly, or as required and agreed upon by the Chair and PMC members.

**Approved:** April 8, 2019

This is Exhibit "T" referred to in the Affidavit of JANETTE SMITH sworn February 22, 2023.

A handwritten signature in blue ink, appearing to read "D. Contractor". The signature is written in a cursive style with a large initial "D".

---

*Commissioner for Taking Affidavits (or as may be)*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	PW-TOM-P-020-002	<b>Document Level</b>	Level III
<b>Issue #:</b>	02	<b>Issue date</b>	May 2021

### 1 PURPOSE

The purpose of this procedure is to establish a process for tracking and retaining Consultant Reports. The procedure provides instructions in identifying and documenting general recommendations in addition to those related to imminent risks to human health or safety.

### 2 SCOPE

Applies to the Transportation Operations & Maintenance (TOM) division of Public Works. Any Consultant Report with recommendations, excluding reports pertaining to standard maintenance activities.

This procedure is to be followed in accordance with the City’s Code of Conduct for Employees (Appendix D), **Level II Sharing of Consultant Reports Procedure**, Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety Procedure (Appendix E) and Records Retention By-Law.

### 3 DEFINITIONS

Term	Definition
<b>Code of Conduct Policy</b>	<p>Outlines the City of Hamilton’s expectations regarding real and apparent conflicts of interest between an employee’s personal interest and the best interests of the City of Hamilton</p> <p>By signing the Conduct of Conduct for Employees, employees acknowledge and accept responsibility to act and behave in a manner that is consistent with the expectations prescribed in the Policy</p>
<b>Consultant Report</b>	A report written by external professionals hired by the Transportation Operations & Maintenance division containing recommendations for implementation.
<b>Risk to Human</b>	Any hazard, existing or potential, that may reasonably be

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	PW-TOM-P-020-002	<b>Document Level</b>	Level III
<b>Issue #:</b>	02	<b>Issue date</b>	May 2021

Term	Definition
<b>Health or Safety</b>	expected to have an imminent risk to public health or safety.
<b>Imminent Risk</b>	A circumstance or condition that is certain to happen soon. The likelihood that a circumstance or condition will result in an adverse impact on human health or safety in the community.
<b>Sharing of Consultant Reports with Identified Risks to Human Health or Safety Policy</b>	Provides principles on how imminent risks to human health or safety will be addressed and communicated to Council once identified by the Consultants working with the City. The policy will be included as Schedule G under the existing Code of Conduct Policy

#### 4 RESPONSIBILITY

##### 4.1 Director

- Provide direction to Senior Project Manager/Superintendent and Manager on implementing measures to resolve/mitigate imminent risk to human health or safety.
- Inform General Manager of Public Works of any imminent risk to human health or safety and provide details on recommendations and mitigation plans as available.
- Provide Consultant Report and associated documentation to General Manager or City Manager upon written request from Council.
- Review completed Consultant Report Summary Form (Appendix B) and sign for approval.
- Return signed Consultant Summary Form to Senior Project Manager Continuous Improvement for retention on the network.

##### 4.2 Manager

- Consult with Director on any recommendations related to imminent risk to human health or safety and prepare mitigation plans.
- Provide direction to Senior Project Manger/Superintendent for implementation of recommendations provided in Consultant Report Summary Form (Appendix B), where necessary.
- Review completed Consultant Report Summary Form and sign for approval.

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	<b>PW-TOM-P-020-002</b>	<b>Document Level</b>	<b>Level III</b>
<b>Issue #:</b>	<b>02</b>	<b>Issue date</b>	<b>May 2021</b>

#### 4.3 Superintendent/Senior Project Manager

- Immediately bring forward to the Manager and Director any imminent risks to human health or safety identified by Consultant.
- Determine feasibility and impact of recommendations provided in Consultant Report Summary Form (Appendix B).
- Consult with Manager to authorize implementation of action items contained in the report, where necessary.
- Review completed Consultant Report Summary Form and send to Manager and Director for approval.
- Ensure that staff have reviewed and understand the procedure.

#### 4.4 Project Manager

- Review final Consultant Report.
- If report advises of imminent risk to human health or safety: follow-up with Consultant to understand risk and seek recommendations.
- Immediately bring forward to the Senior Project Manager/Superintendent (cc Senior Project Manager Continuous Improvement) any imminent risks to human health or safety.
- Prepare Consultant Report Summary Form (Appendix B) including all recommendations contained in Consultant Report (for all Consultant Reports, regardless of whether report contains imminent risk to human health or safety or not).
- Inform Senior Project Manager Continuous Improvement of active Consultant Report and expected completion date.
- Review recommendations in Consultant Report Summary Form with Senior Project Manager/Superintendent.
- Track all recommendations implemented in the Consultant Report Summary Form.
- Store completed Consultant Report on the network drive and provide link in the completed Consultant Report Summary Form.
- Provide completed Consultant Report Summary Form to Senior Project Manager/Superintendent for review.

#### 4.5 Senior Project Manager Continuous Improvement

---

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	<i>PW-TOM-P-020-002</i>	<b>Document Level</b>	<i>Level III</i>
<b>Issue #:</b>	<i>02</i>	<b>Issue date</b>	<i>May 2021</i>

- Add active Consultant Reports to Consultant Report Tracking Sheet (Appendix C).
- Store signed Consultant Report Summary Form in the Director’s Office folder on the network drive.
- Maintain Consultant Report Tracking Sheet and share most recent version at monthly TOM Management Team meetings.

## 5 PROCEDURE

### 5.1 Imminent Risks to Human Health or Safety

- Project Manager to follow-up with Consultant to understand risk and seek recommendations for any imminent risks to human health or safety contained in Consultant Report.
- Project Manager to immediately communicate to Senior Project Manager/Superintendent (cc Senior Project Manger Continuous Improvement) any imminent risks to human health or safety.
- Senior Project Manager/Superintendent to inform Manager and Director of any imminent risks to human health or safety.
- Manager and Director to provide direction on implementing measures to resolve/mitigate imminent risk to human health or safety.
- Director to disclose imminent risks to human health or safety and associated recommendations to General Manager of Public Works.
- Director to provide Consultant Report and associated documentation to General Manager or City Manager upon written request from Council.

### 5.2 Consultant Report Tracking and Retention

- Project Manager to review final Consultant Report and document all recommendations in Consultant Report Summary Form (Appendix B) (for all Consultant Reports, regardless of whether report contains imminent risk to human health or safety or not).
- Project Manger to notify Senior Project Manager Continuous Improvement of active Consultant Report and expected completion date.
- Senior Project Manager Continuous Improvement to enter Consultant Report information in Consultant Report Tracking Sheet (Appendix C).
- Project Manager and Senior Project Manager/Superintendent (and Manager where necessary) to determine feasibility and impact of implementing recommendations contained in Consultant Report Summary Form.

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*





<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	<b>PW-TOM-P-020-002</b>	<b>Document Level</b>	<b>Level III</b>
<b>Issue #:</b>	<b>02</b>	<b>Issue date</b>	<b>May 2021</b>

- Project Manger to track all recommendations implemented in the Consultant Report Summary Form, including reasons for items recommended but not implemented.
- Project Manager to circulate completed Consultant Report Summary Form to Senior Project Manager/Superintendent.
- Senior Project Manager/Superintendent to review completed Consultant Report Summary Form and circulate to Manager and Director for signature.
- Manager and Director to review and sign completed Consultant Report Summary Form for authorization and send to Senior Project Manager Continuous Improvement for record-keeping.
- Senior Project Manager Continuous Improvement to mark Consultant Report as complete in Consultant Report Tracking Sheet and store completed Consultant Report Summary Form with signatures on the network drive.
- Project Manager to store final Consultant Report and associated documentation to be stored on the network drive.

### 5.3 Monitoring and Control

Any employee who fails to disclose any imminent risks to human health or safety identified by a Consultant will be in violation of the Code of Conduct Policy.

Failure to comply with this procedure may result in appropriate disciplinary measures up to and including dismissal.

The Internal Auditor will monitor compliance to this procedure during planned audit functions of division responsibilities and business practices.

Consultant Report Tracking Sheet (Appendix C) to be added as standing agenda item at monthly TOM Management Team meetings.

### 5.4 Control of Documented Information

Public Works documented records will be maintained as per Public Works Document Control PW-P-010-01. This procedure controls the issue, change and approval of documents that are used by Public Works staff. It is used to ensure staff can access both internal and external controlled documents including but not limited to policies, procedures, guidelines, agreements and forms.

### 5.5 Training

Staff performing work under this procedure must have the appropriate education,

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	<b>PW-TOM-P-020-002</b>	<b>Document Level</b>	<b>Level III</b>
<b>Issue #:</b>	<b>02</b>	<b>Issue date</b>	<b>May 2021</b>

training and experience. Staff may also receive additional training delivered in person or via recorded video. Training and awareness programmes must ensure that all personnel have knowledge of the procedure and the methods used to achieve them.

## 6 EXTERNAL REPORTS

### 6.1 Validating External Reports

Staff that receive a Consultant Report from a group external to the TOM Division (i.e. Engineering Services) where health or safety risks are identified, will review the information to assess the risks, or forward them to the appropriate individuals responsible for the scope of work identified for further assessment.

Once a risk has been confirmed to be valid, the staff member responsible for the scope of work will follow the standard Consultant Report procedure as outlined in Section 5. Upon completion of the required work, a copy of the completed and signed Consultant Report Summary Form shall also be provided to the original external group source.

If the risks brought forward from an external group have been reviewed and deemed to be not applicable, the staff should present and confirm their findings with the next senior level staff members including up to the Manager or Director level.

## 7 ASSOCIATED DOCUMENTS

- [Appendix A - Consultant Report Process Map](#)
- [Appendix B - Consultant Report Summary Form](#)
- [Appendix C - Consultant Report Tracking Sheet](#)
- [Appendix D - Code of Conduct Policy](#)
- [Appendix E - Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety Procedure](#)
- [Level II Sharing of Consultant Reports Procedure](#)
- [Records Retention By-Law](#)

---

*Printed copies (unless noted) are uncontrolled. Do Not Photocopy.*

*Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.*



<b>Title:</b>	<b>Consultant Reports Tracking and Retention - Divisional Procedure</b>		
<b>Document #</b>	PW-TOM-P-020-002	<b>Document Level</b>	Level III
<b>Issue #:</b>	02	<b>Issue date</b>	May 2021

### 8 REVISION HISTORY

Rev. No	Rev. Date	Description of change(s)	Process Owner Name & Position	Reviewer(s)
1	March 2021	Initial Release	Stephen Gagne, Senior Project Manager Continuous Improvement	
2	May 2022	Revised to update the training portion and to include a process for external reports (section 6); added reference to Level II Sharing of Consultant Reports SOP; minor wording additions (highlighted in blue); minor administrative revisions to Appendix A and C.	Robert Albertin, Senior Project Manager Continuous Improvement	Stephen Gagne, Greg Witt

### 9 APPROVAL

Approved By	Date of Approval
Mike Field	May 2022
Peter Sniuolis	April 2022
Kim Wyskiel	April 2022
Peter Locs	April 2022

Printed copies (unless noted) are uncontrolled. Do Not Photocopy.

Note: Text highlighted in **turquoise blue** indicate changes made since the last released revision.