

GOVERNANCE PROCESSES

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| Policy Title | Policy Number |
| Retention of Documents | GP-18 |
| | Date of Approval |
| | May 13, 2015 |
| Responsible Authority | Date of Revisions |
| CMLTM Council | October 19, 2018, June 8, 2022 |
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CMLTM takes seriously its obligations to preserve information relating to the regulation of Medical Laboratory Technologists (MLTs) including registration documents, continuing competency program audits, and investigations/complaints.

The information listed in the retention schedule below is intended as a guideline and may not contain all the records CMLTM may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the Registrar.

From time to time, the Registrar may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the Registrar.

| File Category | Item | Retention Period |
|-----------------------------------|---|-------------------------|
| Corporate Records | Bylaws and Articles of Incorporation | Permanent |
| | Corporate resolutions | Permanent |
| | Council and committee meeting agendas and minutes | Permanent |
| | Conflict-of-interest disclosure forms | 4 years |
| | Annual Reports | Electronic- Permanent |
| | Policies | Electronic- Permanent |
| Finance and Administration | Financial statements (audited) | 7 years |
| | Auditor management letters | 7 years |
| | Payroll records (on-line, Ibex Payroll services) | 7 years |
| | Check register and checks | 7 years |
| | Bank deposits and statements | 7 years |
| | Chart of accounts | 7 years |
| | General ledgers and journals (include bank reconciliations) | 7 years |
| | Investment performance reports | 7 years |

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| | Equipment files and maintenance records | 2 years after disposition |
| | Contracts and agreements | 7 years after all obligations end |
| | Correspondence — general | 3 years |
| Board of Assessors Registration Records | Application forms and documents | 1 month after registration granted, documents to be electronically scanned, electronic documents to be stored permanently. |
| Continuing Competency Program | Audit results | Electronic copies- permanently |
| | Submitted Professional Portfolios | Paper copies- 3 months after audit compliance Electronic- permanent on iMIS |
| Complaints/Inquiry Committee | Complaints, documents, investigation reports, decisions, agreements, and outcomes. | Complaint/Decisions- 5 years Investigation reports and agreements- 1 year after all obligations end (Paper and electronic) |
| Insurance Records | Policies — occurrence type | Permanent |
| | Policies — claims-made type | Permanent |
| | Accident reports | 7 years |
| | Claims (after settlement) | 7 years |
| | Group disability records | 7 years after end of benefits |
| Real Estate | Deeds | Permanent |
| | Leases (expired) | 7 years after all obligations end |
| | Mortgages, security agreements | 7 years after all obligations end |
| Tax | CRA exemption determination and related correspondence | Permanent |
| | CRA income tax forms | 7 years |
| Human Resources | Employee personnel files | Permanent |
| | Retirement plan benefits (plan descriptions, plan documents) | Permanent |
| | Employee orientation and training materials | 7 years after use ends |
| | Employment applications | 3 years |
| Technology | Software licenses and support agreements | 7 years after all obligations end |

1. Electronic Documents and Records.

Electronic scanned copies of documents will become the permanent official copies as if they were the original paper documents. All electronic scanned copies of documents will be maintained permanently. Backup and recovery methods will be tested on a regular basis.

2. Emergency Planning.

CMLTM's records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping CMLTM operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

3. Document Destruction.

The Registrar/CEO is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of documents containing sensitive information (personal, financial) will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

4. Compliance.

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against CMLTM and its employees and possible disciplinary action against responsible individuals. The Registrar and Council Chair will periodically review these procedures with legal counsel or CMLTM's certified public accountant to ensure that they are in compliance with new or revised regulations.