

GOVERNANCE PROCESSES

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
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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in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the Registrar.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

	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.