

A ADMINISTRATION

Includes administrative records of a general nature required for daily operations such as: building facilities and maintenance, security, printing and mailing, computer services, forms, records management, and meetings. Also includes contracts, agreements, warranties, etc.

C CORPORATE

Includes records related to corporate affairs, including Council minutes and activities and all Council Committees and task forces/task groups. Also includes information related to the corporate image, strategic planning, and corporate policies and procedures.

F FINANCE

Records related to financial management and reporting, including accounts payable, accounts receivable, banking, payroll, pension plan, investments, fixed assets and inventory, audit, and budget. Also includes fiscal records for the Chapters, Engineering Dimensions, Foundation for Education/benevolent fund, and CODE.

H HUMAN RESOURCES

Records documenting the personnel functions of the organization, including employee files, pension files, benefit information, recruitment, personnel planning, occupational health and safety and training.

L LEGAL

Includes records regarding the legal affairs of the organization such as: trademarks, copyright, claims and cases. Also includes records related to the investigation of complaints against members and firms and discipline, registration and/or enforcement files. Records regarding the Professional Engineers Act, regulations and by-laws and amendments to them as well as legal opinions are also filed here.

M MEMBER SERVICES

Records related to the services provided by the organization to its members, including awards, annual conferences, and Chapter operations.

O ORGANIZATIONS

Records related to the organizations which interact with PEO, including other provincial engineering associations, other associations and societies, federal, provincial, and municipal government bodies, universities, colleges and schools and other private organizations.

P PUBLICATIONS/PUBLIC RELATIONS

Records related to the publication's activities of the organization, including Engineering Dimensions, Gazette, Annual Report and other PEO publications and the resource information required to support those publications. Also includes public relations and communications activities such as: news releases, speeches, and speaking out.

R REGISTRATION

Includes documentation required to process licenses and certificates granted by the organization, including Certificates of Authorization, Consulting Engineer Designations, Licenses, Temporary Licenses, Limited Licenses and Provisional Licenses. Also includes examinations of candidates.

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| Final Disposition | The final management activity within the lifecycle of the record |
| DESTROY | The record is destroyed and will no longer be accessible. |
| PERMANENT | The record is kept permanently for future reference. |
| SUPERCEDED | The record is maintained until a new version is available |
| Information Security | This standard is used to appropriately classify data and information in order to ensure the confidentiality, integrity, trustworthiness, availability, and protection of privacy of data and information in each record. |
| Public | The public classification relates to records which can be accessed by anyone. |
| Internal | The internal classification relates to records which are private to an organization which can only be accessed by internal staff. |
| Confidential | The confidential classification relates to records which usually contains private information and which can only be accessed by specified and narrowed internal staff. |
| Restricted | The restricted classification is the highest security level given to records which usually contains private information which relates to very sensitive information and which can only be accessed by a very few selected internal executive members. |
| Personal Information Bank (PIB) | The PIB relates to records containing personal information such as an individual's name, number, symbol or other element that identifies the individual. |
| Vital | Vital information relates to company records which are crucial for the business operation. E.g. If a natural disaster were to happen and destroy all records within the organization, which ones would you absolutely need to recover in order to conduct business. |
| Archival Review | Archival review relates is a final disposition step to determine if a record has long term historical value to PEO beyond its stated retention period. |

ADMINISTRATION

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|--------------------------|--|----------------------|---------------------|-----------|----------------|----------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| A00 | Administration – General | Includes: Records of a general nature for which no specific classification exists. | Originator | Active: | C + 1 | Security: | INTERNAL | | A12 |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A01 | Meetings | Includes: Records related to agendas, minutes and background information for staff meetings, departmental meetings, etc. Excludes: Council minutes – C01; Committee minutes – C04; Occupational Health and Safety Committee – H09. | Originator | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A02 | Operational Reporting | Includes: Records relating to departmental activities may include but are not limited to monthly activity reports, and annual activity reports. Excludes: Strategic plans – C06; Business plans/budget – F18; Chapter activity reports – M05. | Originator | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A03 | Security | Includes: Records relating to Security. Records may include but are not limited to access cards, keys, security guards, reports of security breaches, visitor logs, emergency response plan, contingency plans, surveillance, and video recordings. Excludes: Contracts for security services – A14; /fire/emergency procedures – C08; Occupational health and safety/accident reports – H09. | Director, Finance | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|------|---------------------------------|---|--------------------------|---------------------------|-------------------------------------|------------------|----------|--|--|
| A04 | Building Facilities/Maintenance | Includes: Records relating to Buildings and Facilities. Records may include but are not limited to Maintenance and repairs, correspondence with building owners, air conditioning, heating, lighting, parking, recycling, space planning, renovations, and moves. Excludes: Premise leases – A15, A041 - Equipment Manuals | Director, Finance | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A041 | Building Equipment Manuals | Includes: Records containing equipment descriptions and build/maintenance procedures | Director, Finance | Active: | E + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | E = Equipment no longer operational | Vital: | NO | | |
| | | | | Total: | E + 2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

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| A05 | Equipment/Furnishings | <p>Includes: Records related to the evaluation, selection and maintenance of equipment such as multifunctional photocopiers, fax machines, telephones, mailroom equipment, tablets, smart phones, computers, printers, photographic equipment, etc. as well as furnishings such as file cabinets, shelving and storage equipment, vaults, desks and chairs, etc. Also includes equipment manuals.</p> <p>Excludes: Computer hardware/software manuals – A06; Purchase and maintenance contracts/warranties/guarantees – A14; Fixed assets – F20; Building Equipment Manuals - A041, Inventory – F23.</p> | Director, Finance | Active: | C+2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | Final Disposition: | DESTROY | | | | | |
| A06 | Computer Systems | <p>Includes : Records related to computer hardware and software may include but are limited to manuals, white papers, configuration instructions, data architecture, security infrastructure, information system specifications and requirements, LAN administration, etc.</p> <p>Excludes: Purchase and maintenance contracts – A14; Programming assistance contracts – A14; Equipment maintenance – A05.</p> | Director, Information Technology | Active: | E+1 | Security: | CONFIDENTIAL | 13 | A18, A19 |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | E = Superseded, discontinued or obsolete | Vital: | YES | | |
| | | | | Total: | E+6 | AR: | YES | | |
| | | | Final Disposition: | DESTROY | | | | | |

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| A07 | Printing/Mailing | Includes: Records relating to printing and mailing. Record may include but are not limited to printing requests, quotations, postal rates, courier records, and envelope/packaging requirements. Excludes: Payables – F01; Equipment maintenance/repair/manuals – A05; Mailing lists – P16; Purchase and maintenance contracts – A14. | Director, Finance | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A08 | Records Management | Includes: Records relating to Records Management. Records may include but are not limited to Records Retention Schedule, File Plan, Record Retention Schedule Amendment Request Forms, Reviews of future needs, and Record Destruction Authorizations. | Director, Program Management | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| A09 | Vendors & Suppliers | Includes: Records relating to Vendors/Suppliers. Record may include but are not limited to catalogues, brochures, correspondence, and contact information, from vendors and suppliers such as office equipment vendors, photo graphics equipment suppliers, book reviewers, freelance writers/photographers. Excludes: Purchase orders – F01; Purchase and maintenance contracts – A14; Service contracts – A14. | Director, Finance | Active: | C+2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A10 | Travel/Accommodation | Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables – F01. | Director Governance & Corporate Secretary | Active: | E+2 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | E = Relevant Event Completion | Vital: | NO | | |
| | | | | Total: | E+2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

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| A11 | Forms | Includes: Records related to blank forms, letterhead, envelopes, design and revision, production, etc. Excludes: Corporate logo/image- C07; Trademark information - L01. | Director, Communications | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | YES | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |
| A13 | External Printing | Includes: Records relating to printing and mailing. Record may include but are not limited to printing requests, quotations, postal rates, courier records, permissions to reprint and envelope/package requirements. Excludes: Internal printing - A07; Mailing - A07; Payables - F01; Contracts - A14. | Director, Communications | Active: | C+2 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A14 | Simple Contracts | Includes: Simple contracts such as maintenance agreements, purchase contracts, personnel contracts, security agreements, computer software licences, function contracts, permits, etc. Note: Registrar may be required to authorize personnel contracts or other agreements Excludes: Sealed contracts - A15; Trademarks - L01; Claims/cases - L12. | Director, Finance | Active: | E+1 | Security: | CONFIDENTIAL | 20 | |
| | | | | Inactive: | 4 | PIB: | YES | | |
| | | | | Trigger Event: | E = expiry of contract. | Vital: | NO | | |
| | | | | Total: | E + 5 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

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| A15 | Sealed Contracts | Includes: Records related to sealed contracts binding PEO and other party(ies) such as leases, financial agreements, etc. Note: Registrar authorizes all sealed contracts and agreements. Excludes: Simple contracts – A14; Trademarks – L01; Claims/cases – L12. | Director, Finance | Active: | E + 1 | Security: | CONFIDENTIAL | 19, 20 | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | E = expiry of contract. | Vital: | NO | | |
| | | | | Total: | E + 16 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A16 | Staff Correspondance | Includes: Records related to files that are not opened by PEO's document management centre including contact directories (excludes business cards), meeting notebooks, telephone or action logs, status lists, working files, general correspondence files, topical files, research files. | Originator | Active: | C + 1 | Security: | INTERNAL | | A17 |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A20 | System Development | Includes: Records relating to System Development. Records may include but are not limited to design and architecture documentation of systems and databases, technical specifications, research and approvals of systems proposed and in-use, future planning road maps, license and upgrade agreements/schedules, as well as third party software and integration, scope documents and contracts. | Director, Information Technology | Active: | E+3 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | E = System/Database end of life | Vital: | NO | | |
| | | | | Total: | E+3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| A21 | Information Security Management | Includes: Record relating to Information Security Management. Record may include but are not limited to security plans, risk assessments, mitigation strategies, security training, awareness and education planning, legal records, compliance records, standards and policies, and threats assessments. | Director, Information Technology | Active: | S+6 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | S+6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

CORPORATE

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|------------------------------------|---|---|---------------------|------------------------------------|----------------|--------------|-----------|-------|
| | | | | Active: | | Security: | | | |
| C00 | Corporate – General | Includes: Records of a general nature for which no specific classification exists. | Originator | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C02 | Council & Committee Correspondence | Includes: Records related to general correspondence, biographical information, orientation of new councillors, briefings, workshops, etc. Excludes: Council Minutes – C01; Elections – C03; Appointments – C09. | Registrar/Secretariat | Active: | C + 2 | Security: | PUBLIC | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C03 | Elections | Includes: Records relating to Elections. Records may include but are not limited to council elections, potential candidates for election, biographical information, copy of ballot, correspondence with Trust company monitoring election, tabulations, postings, and referendums. Excludes: Appointments – C09. | Registrar/ Chief Legal Officer / Deputy Registrar | Active: | E+2 | Security: | CONFIDENTIAL | 11 | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | E=Election Results are made public | Vital: | YES | | |
| | | | | Total: | E+2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C04 | Council & Committee Minutes | Includes: Records relating to PEO's Council and Committees. Records may include but are not limited to Agendas, meeting minutes, attachments, background information and audiotapes. Excludes: Occupational Health and Safety Committee – H09; Complaints - L05 | Committee Secretary | Active: | C+10 | Security: | PUBLIC | | C01 |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

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|-----|-----------------------------------|---|---|--------------------|------------|-----------|--------------|----|--|
| C05 | Councilors & Committee Membership | Includes: Records relating to Council & Committees Members. Records may include but are not limited to general correspondence, biographical information, background information, applications, resumes, memberships, orientation of new members/councilors, briefings, and workshops. Excludes: Council & Committee Minutes - C04 | Director Governance & Corporate Secretary/ Registrar | Active: | C + 5 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C06 | Strategic Planning | Includes: Records relating to Strategic Planning. Records may include but are not limited to 5 year plans, reviews of organizational effectiveness, organization charts, functional responsibilities, evaluation of programs/projects, PEO's vision, mission, and mandate, statements, Goals and Objectives, business plan, corporate targets, guidelines, and competencies. Excludes: Business plans/budget – F18. | Registrar | Active: | C+5 | Security: | PUBLIC | | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C07 | Corporate Identity | Includes: Logo, seals and other graphic representations of the corporate identity or image of the PEO, strategies/reports to improve/alter corporate image, etc. Excludes: Trademarks – L01; Forms/letterhead production – A11. | Director, Communications | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C08 | Policies & Procedures | Includes: Records relating to Policies and Procedures. Records may include but are not limited to PEO Policies and Procedures Manuals, Employee Information Manual, Chapter Executives Manual, Records Management Program Manual, Election Procedures, Awards Procedures, Discipline Procedures, Applications Procedures, Information technology policies, and Communications Policies. Excludes: Guidelines published by PEO for the benefit of members – P09; Equipment manuals – A05; Computer hardware/software manuals – A06. | Originator | Active: | S | Security: | INTERNAL | 23 | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | S | AR: | YES | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |

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| C09 | Appointments | Includes: Records relating to the appointment of Council Members. Records may include but are not limited to correspondence, Lieutenant Governor-in-Council appointees, Potential Candidates for appointment, and biographical information. Excludes: Elections – C03; Council minutes – C01. | Registrar | Active: | C+3 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 3 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| C10 | Task Forces/Task Groups | Includes: Records relating to Task Forces. Records may include but are not limited to correspondence, meeting minutes, studies, recommendations, reports, regarding internal and/or joint task forces at PEO. Excludes: Government task forces – O03. | Task Force Secretary | Active: | C+5 | Security: | INTERNAL | | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| C11 | President | Includes: Records related to orientation and preparation of president, general correspondence, etc. | Director Governance & Corporate Secretary | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

FINANCE

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|---------------------|---|----------------------|---------------------|--------------|--------------------------------|--------------------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| F00 | Finance – General | Includes: Records of a general nature for which no specific classification exists. | Originator | C + 1 | INTERNAL | | | | |
| | | | | | NO | | | | |
| | | | | | NO | | | | |
| | | | | C + 1 | NO | | | | |
| | | | | DESTROY | | | | | |
| F01 | Accounts Payable | Includes: Records relating to general accounts payable. Records may include but are not limited to invoices, cash receipts, purchase orders, cheque copies, subscription renewals, employee expenses, cheque registers, outstanding cheque reports, disbursement registers, monthly/annual reporting summaries and expense approvals. Excludes: Chapter accounting – F05; Dimensions accounting – F06; Foundation donations – F07; CODE accounting – F22. | Director, Finance | C+1 | CONFIDENTIAL | 1, 4, 5, 6, 12, 14, 15, 16, 17 | F02, F05, F06 | | |
| | | | | 5 | YES | | | | |
| | | | | | YES | | | | |
| | | | | C+6 | NO | | | | |
| | | | | DESTROY | | | | | |
| F03 | Accounts Receivable | Includes: Records relating to general accounts receivable. Records may include but are not limited to correspondence, invoices, cash receipts, a/r summaries, fee remissions, technology reports, ledgers including billing registers, cash receipts, journals, monthly annual summaries/reporting of receivables and billing schedules. Excludes: Chapter accounting – F05; Dimensions accounting – F06; Foundation Donations – F07; CODE accounting – F22. | Director, Finance | C+1 | CONFIDENTIAL | 1, 4, 5, 12, 14, 15, 16, 17 | F04, F05, F06, F22 | | |
| | | | | 5 | YES | | | | |
| | | | | | YES | | | | |
| | | | | C+6 | NO | | | | |
| | | | | DESTROY | | | | | |

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|-----|------------------|--|---------------------------|-----------------------|-------|------------------|--------------|--------------------------------------|--|
| F07 | Donations | Includes: Records relating to Donations. Records may include but are not limited to receipts, donation reports, bank books, and bank statements. Excludes: Foundation for Education/Memorial Scholarships – O04. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | 1, 4, 5, 12, 14, 15, 16, 17 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+6 | AR: | YES | | |
| | | | Final Disposition: | DESTROY | | | | | |
| F08 | Reconciliations | Includes: Records that relate to banking information. Records may include but are not limited to, bank deposit books, bank statements, bank reconciliations, cancelled cheques, and account information. | Director, Finance | Active: | C + 1 | Security: | CONFIDENTIAL | 1, 4, 5, 12, 14, 15, 16, 17 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 6 | AR: | NO | | |
| | | | Final Disposition: | DESTROY | | | | | |
| F09 | Banking | Includes: Records relating to banking information. Records may include but are not limited to, bank deposit books, bank statements, bank reconciliations, cancelled cheques, and account information. Information for Foundations – F07. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | 1, 12, 14, 15, 16, 17 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C+6 | AR: | NO | | |
| | | | Final Disposition: | DESTROY | | | | | |
| F10 | General Journals | Includes: Records relating to General Ledger. Records may include but are not limited to all financial accounts and statements summarizing year over year financial transactions, all books of original and final entry summarizing year over year transactions, chart of accounts, financial reports, receivable ledger, trial balance, sales and purchasing sub ledger, postings to G/L, trial balances, journal entry edit lists, recurring entry edit lists and other subsidiary journals and ledgers. | Director, Finance | Active: | C + 1 | Security: | CONFIDENTIAL | 1, 4, 5, 12, 14, 15, 16, 17 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 6 | AR: | YES | | |
| | | | Final Disposition: | DESTROY | | | | | |

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|-----|----------------|--|----------------------------------|---------------------------|-----------|------------------|--------------|-------------------------------|--|
| F11 | General Ledger | Includes: Records relating to General Ledger. Records may include but are not limited to all financial accounts and statements summarizing year over year financial transactions, all books of original and final entry summarizing year over year transactions, chart of accounts, financial reports, receivable ledger, trial balance, sales and purchasing sub ledger, postings to G/L, trial balances, journal entry edit lists, recurring entry edit lists and other subsidiary journals and ledgers. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | 18 | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | E+2 | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| F12 | Payroll | Includes: Records relating to Payroll. Records may include but are not limited to registers, payroll reporting, statements from bank, adjustments, salary change forms, time sheets, payroll submissions, Employee Health Tax, Notice of Assessment, T4 summary. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | 2, 6, 7, 8, 9, 14, 15, 26, 28 | |
| | | | | Inactive: | 5 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C+6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| F13 | Pension Plans | Includes: Records relating to Pension Plans. Records may include but are not limited to PEO staff pension plan, valuations, calculations, contribution reports, adjustments and reconciliations, plan administrator reports and statements, terminations/withdrawals from plan, and pension investments. Excludes: Individual pension files – H02. | Director, Human Resources | Active: | C + 3 | Security: | CONFIDENTIAL | 25 | |
| | | | | Inactive: | 8 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | NO | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| F14 | T4s | Includes: Records relating to a T4 slip, or Statement of Remuneration Paid issues annually to employees. | Director, Human Resources | Active: | C + 1 | Security: | CONFIDENTIAL | 2, 6, 7, 8, 9, 26 | |
| | | | | Inactive: | 5 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

| | | | | | | | | |
|-----|----------------------|--|--------------------------|---------------------------|-----------|------------------|--------------|--------------------------------------|
| F15 | Investments | Includes: Records relating to investments. Records may include but are not limited to statements of account, itemization of investments purchased, interest rates, copies of certificates, summary of all interest revenue, journal entries for all transactions, transfer of funds authorizations, and bank confirmations. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | 1, 4, 5, 12, 14, 15, 16, 17 |
| | | | | Inactive: | 5 | PIB: | NO | |
| | | | | Trigger Event: | | Vital: | YES | |
| | | | | Total: | C+6 | AR: | NO | |
| | | | | Final Disposition: | DESTROY | | | |
| F16 | Financial Statements | Includes: Records related to Year-end, quarterly and interim statements, audited statements, etc. | Director, Finance | Active: | C + 1 | Security: | CONFIDENTIAL | 1, 4, 5 |
| | | | | Inactive: | P | PIB: | NO | |
| | | | | Trigger Event: | | Vital: | YES | |
| | | | | Total: | P | AR: | YES | |
| | | | | Final Disposition: | PERMANENT | | | |
| F17 | Audit | Includes: Records relating to the function of auditing. Records may include but are not limited to correspondence, audit preparation requirements for all financial accounts and statements summarizing year over year financial transactions, books of original and final entry summarizing year over year transactions, chart of accounts, trial balance, general ledger adjusting journal entries, CRA return, audit working papers, yearly report, the year-end audited financial statements and notes to the statements, engagement letters, and confirmation of any outstanding legal matters. Contract – A14; Committee – C04. | Director, Finance | Active: | C+1 | Security: | CONFIDENTIAL | |
| | | | | Inactive: | 5 | PIB: | YES | |
| | | | | Trigger Event: | | Vital: | YES | |
| | | | | Total: | C + 6 | AR: | YES | |
| | | | | Final Disposition: | DESTROY | | | |
| F18 | Budget | Includes: Records relating to Budgets. Records may include but are not limited to yearly budget files, calculations, accountability reports, revisions, budget by objective, expense analysis by account, budget worksheets, summary of cash flows, business plans, and final approved budgets. | Director, Finance | Active: | C+2 | Security: | CONFIDENTIAL | |
| | | | | Inactive: | P | PIB: | NO | |
| | | | | Trigger Event: | | Vital: | YES | |
| | | | | Total: | P | AR: | YES | |
| | | | | Final Disposition: | PERMANENT | | | |

| | | | | | | | | | |
|-----|--------------------|--|--------------------------|---------------------------|----------------------------|------------------|--------------|--------------------------------|--|
| F19 | Financial Planning | Includes: Records relating to Financial Planning. Records may include but are not limited to projections, calculations, membership statistics, fee increase projections, and cost reduction activities. Excludes: Strategic plans – C06; Program/project evaluation – C06, Fee Referendums – C03. | Director, Finance | Active: | C + 2 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C+6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| F20 | Fixed Assets | Includes: Records relating to Fixed Assets. Records may include but are not limited to itemization of fixed assets, annual additions to fixed assets, copies of invoices, depreciation schedules, serial numbers, evaluations, selections and maintenance of equipment, equipment manuals, inventory numbers, and reports. Inventory of non- capital items – F23. | Director, Finance | Active: | C+2 | Security: | CONFIDENTIAL | 4, 5, 14, 15 | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | E=End of life of the asset | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| F21 | Taxation Issues | Includes: Records relating to Taxation Issues. Records may include but are not limited to income tax exemption, interest income, and corporate information returns. | Director, Finance | Active: | C + 1 | Security: | CONFIDENTIAL | 1, 4, 5, 6, 12, 14, 15, 16, 17 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| F23 | Inventory | Includes: Records relating to non-capital items such as supplies, stationary, calculators, software packages, etc. including inventory numbers, reports, etc. Excludes: Fixed assets – F20. | Director, Finance | Active: | S + 1 | Security: | INTERNAL | 4, 5, 14, 15 | |
| | | | | Inactive: | 5 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S + 6 | AR: | NO | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |

HUMAN RESOURCES

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|----------------------------------|---|---------------------------|---------------------|--|----------------|--------------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| H00 | Human Resources – General | Includes: Records related to PEO personnel functions for which no other suitable classification code exists. Also includes staff newsletter. | Originator | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H01 | Employee Files | Includes: Records related to employee history, applications/resumes, beneficiary information, performance appraisals, position description, salary information, etc. Excludes: Personnel contracts – A14. Pension Plan - F13 | Director, Human Resources | Active: | E + 2 | Security: | CONFIDENTIAL | 7, 8, 9 | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | E = termination of employee. | Vital: | YES | | |
| | | | | Total: | E + 3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H02 | Pensioner/Retiree Employee Files | Includes: Records related to Pensioner/Retiree Employee Files, Pension calculations, adjustments, etc. Excludes: Pension plan/valuation/etc. – F13. | Director, Human Resources | Active: | E | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | 6 | PIB: | YES | | |
| | | | | Trigger Event: | E = until all pension obligations have ceased. | Vital: | YES | | |
| | | | | Total: | E + 6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H03 | Attendance | Includes: Records related to Time sheets and other records of attendance, sick time, leaves of absence, etc. Excludes: Entitlement and individual summary information– H01. | Director, Human Resources | Active: | C + 1 | Security: | CONFIDENTIAL | 7, 8 | |
| | | | | Inactive: | 2 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

HUMAN RESOURCES

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|----------------------|---|---------------------------|---------------------|------------------------------|----------------|--------------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| H04 | Record of Employment | Includes: Record providing information on history of employment , duration, payment and status | Director, Human Resources | Active: | E + 1 | Security: | CONFIDENTIAL | 27, 7 | H05 |
| | | | | Inactive: | E + 2 | PIB: | YES | | |
| | | | | Trigger Event: | E = termination of employee. | Vital: | YES | | |
| | | | | Total: | E + 3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H05 | Benefits | Includes: Records relating to benefits. Records may include but are not limited to employee benefit plans such as medical, employer health tax, dental, mental health and disability. | Director, Human Resources | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | 6 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S+6 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H06 | Recruitment | Includes: Records relating to recruitment. Records may include but are not limited to correspondence, position descriptions, job evaluations, job ratings, appeals, job postings/advertisements, job applications, resumes, applicant evaluation and selection, and interview and reference check questions. Excludes: Billings - F01. | Director, Human Resources | Active: | C+1 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| H07 | Pay Equity | Includes: Records related to position descriptions, job evaluations and ratings, appeals, correspondence, etc. | Director, Human Resources | Active: | S | Security: | CONFIDENTIAL | | H08 |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | S | AR: | NO | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |

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|-----|--------------------------------|---|----------------------------------|---------------------------|------------|------------------|--------------|--------------------|-----|
| H08 | Personnel Planning | Includes: Records related to employment equity plans, succession planning, staff complement, organizational structure/charts, salary scales and industry comparisons, etc. | Director, Human Resources | Active: | S | Security: | CONFIDENTIAL | | H09 |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | S | AR: | NO | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |
| H09 | Occupational Health and Safety | Includes: Records relating to occupational health and safety. Records may include but are not limited to occupational health and safety issues, first aid, inspections, joint occupational health and safety committee, committee recommendations, and accident reports. Excludes: Emergency/fire/safety procedures – CO8; security - A03. | Director, Human Resources | Active: | C+2 | Security: | INTERNAL | 10, 20, 21, 22, 24 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C+5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

LEGAL

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|-----------------------|--|---|--------------------------|-----------|----------------|------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| L00 | Legal – General | Includes: Records of a general Legal nature for which no specific classification exists. | Originator | C + 1 | INTERNAL | | | | |
| | | | | | NO | | | | |
| | | | | | NO | | | | |
| | | | | C + 1 | NO | | | | |
| | | | | DESTROY | | | | | |
| L01 | Intellectual Property | Includes: Records relating to Trademark Registrations. Record may include but are not limited to registration documentation for PEO seals, logo or other identifying marks, trademark searches, legal correspondence, copyright publications/documents, permissions to reprint trademarks/logo, etc. Excludes: Claims/cases – L12; Permission to reprint Engineering Dimensions articles - P18. | Director Investigations & Prosecutions | P | INTERNAL | 3 | | | |
| | | | | | NO | | | | |
| | | | | | YES | | | | |
| | | | | P | YES | | | | |
| | | | | PERMANENT | | | | | |
| L02 | Insurance | Includes: Records relating to Insurance. Records may include but are not limited to correspondence, applications, renewal notices, premium statements, and certificates. Excludes: Premium payments- F01; Claims/cases – L12; Member insurance – M07. | Director Governance & Corporate Secretary | E+1 | PUBLIC | 20 | | | |
| | | | | 15 | NO | | | | |
| | | | | E = expiry of insurance. | YES | | | | |
| | | | | E+16 | YES | | | | |
| | | | | DESTROY | | | | | |

| | | | | | | | | | |
|-----|---------------------------------|---|---|---------------------------|---|------------------|------------|----|--|
| L03 | Preliminary Enforcement Files | Includes: Records relating to Letter of inquiry, correspondence to the inquirer, and general background information. Enforcement Files - L07. | Director Investigations & Prosecutions | Active: | E+5 | Security: | RESTRICTED | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed or file reviewed by Legal Counsel; if latter, file becomes Enforcement File – L07. | Vital: | YES | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| L04 | Preliminary Investigation Files | Includes: Records related to letter of complaint, correspondence, summary of events, reports from investigators, copy of licence/C of A application, etc. | Director Investigations & Prosecutions | Active: | E + 5 | Security: | RESTRICTED | 20 | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed or official form of complaint signed; if latter, file becomes Complaint File – L05. | Vital: | YES | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|-----|-------------|--|--|---------------------------|--|------------------|------------|----------------|--|
| L05 | Complaints | Includes: Records related to Complaints. Records may include but are not limited to Form of Complaint, background documentation, investigation documentation, and copy of licence / CofA application. Excludes: Discipline File – L06. | Director Investigations & Prosecutions | Active: | E+5 | Security: | RESTRICTED | 20, 32, 34 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed and all appeals exhausted or complaint proceeds to hearing | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| L06 | Discipline | Includes: Records relating to the Discipline process. Records may include but are not limited to Form of complaint, Summary of events, Background documentation, List of exhibits, Copy of licence / C of A application, Legal Correspondence, Expert opinions, Letter of advice, Decision and reasons of Complaints Committee, Checklist for disciplinary hearing, Summary of hearing, Notice of appeals, Affidavit of service. | Director Investigations & Prosecutions | Active: | E+5 | Security: | RESTRICTED | 20, 32 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = File Closed (Final decision taken, all appeals exhausted) | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| L07 | Enforcement | Includes: Records relating to the Enforcement process. Records may include but are not limited to related correspondence, form of complaint, letter of inquiry, any related background documentation, Affidavits, Copies of licence / C of A application, Statements, Transcripts, Supporting documentation, Certificate of conviction. | Director, Investigations & Prosecutions | Active: | E+5 | Security: | RESTRICTED | 20, 30, 31, 32 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = File Closed (Final decision taken, all appeals resolved) | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

| | | | | | | | | | |
|-----|---|--|---|---------------------------|-----------|------------------|--------------|--------------------|-----|
| L08 | Legal Issues | Includes: Records related to studies, reports, statistics, correspondence and other documentation regarding issues about complaints, discipline, registration or enforcement matters. Also includes correspondence for Court Reporters & Recording Secretaries. | Director Investigations & Prosecutions | Active: | C + 5 | Security: | RESTRICTED | | |
| | | | | Inactive: | 5 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 10 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| L09 | Legal Publications | Includes: Records include general legal opinions as published in legal firm newsletters on upcoming legislation, current issues, etc. Excludes: Legal opinion on the Professional Engineers Act, regulations and by-laws – L10. | Director Investigations & Prosecutions | Active: | C + 1 | Security: | PUBLIC | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| L10 | Professional Engineers Act, Regulations and By-Laws | Includes: Records related to Copy of Ontario Act, provincial, Federal Acts regulations and by-laws, revisions/amendments, legal opinion re sections of the Act/regulations/by-laws, legal correspondence, lobbying for changes, etc. Also includes Building Codes, Fire Code, etc. | Chief Legal Officer / Deputy Registrar | Active: | P | Security: | CONFIDENTIAL | | L11 |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| L12 | Claims | Includes: Records relating to claims by or against PEO. Records may include but are not limited to breach of contract, insurance claims, human rights complaints, legal correspondence, hearings, transcripts, background documentation, affidavits, summonses, judgements, and appeals. Excludes: Enforcement files - L07. | Director Investigations & Prosecutions | Active: | P | Security: | RESTRICTED | 20, 30, 31, 32, 34 | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

| | | | | | | | | | |
|-----|--------------------|---|---|---------------------------|--|------------------|--------------|----|--|
| L13 | Registration Files | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. | Director Investigations & Prosecutions | Active: | E + 5 | Security: | CONFIDENTIAL | 20 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed (hearing completed and all appeals exhausted). | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

MEMBER SERVICES

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|----------------------------|--|---|---------------------|-------------------------------|----------------|----------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| M00 | Member Services - General | Includes: Records of a general nature for which no specific classification exists. | Originator | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| M01 | Award Winners | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. | Director Governance & Corporate Secretary | Active: | C + 5 | Security: | PUBLIC | | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | P | AR: | NO | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| M011 | Unsuccessful Award Winners | Includes: Records related to unsuccessful member award winners | Director Governance & Corporate Secretary | Active: | C + 1 | Security: | PUBLIC | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| M02 | Awards Night | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables - F01; Mailing/printing - A07. | Director Governance & Corporate Secretary | Active: | E+2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | E = Relevant Event Completion | Vital: | NO | | |
| | | | | Total: | E+5 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| M03 | Chapter Files | | | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | + 5 | PIB: | NO | | |

MEMBER SERVICES

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. | |
|-------------|---------------------|--|--|---------------------|---------|--------------------|-----------|-----------|-------|-----|
| | | | | Trigger Event: | Total: | Final Disposition: | Vital: | | | AR: |
| | | Includes: Records related to chapter minutes and reports, newsletters, copies of invoices for newsletter production, and general correspondence. Excludes: Payables - F01; Chapter allotments - F05. | Director Governance & Corporate Secretary | Trigger Event: | | Final Disposition: | Vital: | NO | | |
| | | | | Total: | C + 5 | | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | | |
| M04 | Regional Congresses | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables - F01. | Director Governance & Corporate Secretary | Active: | C + 2 | Final Disposition: | Security: | INTERNAL | | |
| | | | | Inactive: | 3 | | PIB: | NO | | |
| | | | | Trigger Event: | | | Vital: | NO | | |
| | | | | Total: | C + 5 | | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | | |
| M05 | Chapter Promotion | Includes: Records related to employer Recognition Program, Special Chapter events and Recognition Awards, Executive Recognition, annual report of Chapter activities, and other Chapter related documentation. | Director Governance & Corporate Secretary | Active: | C + 2 | Final Disposition: | Security: | INTERNAL | | |
| | | | | Inactive: | 3 | | PIB: | NO | | |
| | | | | Trigger Event: | | | Vital: | NO | | |
| | | | | Total: | C + 5 | | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | | |

| | | | | | | | | | |
|-----|-----------------------|--|--|---------------------------|-------------------------------|------------------|--------------|----|--|
| M06 | Annual Conference | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables - F01; Mailing/printing - A07, Award Winners - M01 | Director Governance & Corporate Secretary | Active: | E+2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | E = Relevant Event Completion | Vital: | NO | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| M07 | Member Insurance/RRSP | Includes: Records related to correspondence, insurance plans, benefit plans, insurance and RRSP brochures/mailings to members, coverage information, CCPE National Insurance Committee meetings, reports and recommendations, valuation reports, member correspondence, etc. | Director Governance & Corporate Secretary | Active: | E + 1 | Security: | CONFIDENTIAL | 20 | |
| | | | | Inactive: | 15 | PIB: | YES | | |
| | | | | Trigger Event: | E = expiry of plan/policy | Vital: | YES | | |
| | | | | Total: | E + 16 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

ORGANIZATIONS

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|-------------------------------------|---|----------------------|---------------------|-----------|----------------|----------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| O00 | Organizations - General | Includes: Records for which no other suitable classification code exists. | Originator | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| O01 | Provincial Engineering Associations | Includes: Records related to other provincial engineering associations including standards, guidelines, policies, procedures, publicity and public relations information, invitations, reports and studies, etc. Excludes: Acts/regulations pertaining to other engineering associations - L11. | Originator | Active: | C + 3 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| O02 | Other Associations/Societies | Includes: Records related to other associations/societies such as CCPE, OSPE, OACETT, CSPE, CEHRB, CCWEST, ESSCO, etc. Includes guidelines, policies, procedures, reports and studies, minutes, correspondence, committee meetings and activities, etc. Also includes the Joint Practice Board of PEO/OAA. Excludes: CCPE National Insurance Committee – M07; CODE accounting - F22; CODE general records - O04. | Originator | Active: | C + 3 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 3 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|-----|---|---|-------------------------------------|---------------------------|---------|------------------|----------|--|--|
| O03 | Federal/Provincial/Municipal Government | Includes: Records relating to Stakeholders. Records may include but are not limited to correspondence, proposals, position papers, briefing papers, reports, issues, awareness campaigns and background information created in conjunction with federal, provincial and/or municipal government agencies, boards, commissions, task forces, ministries, programs that promote awareness of the Engineer's Profession, organizations and companies in the private sector, Universities, Colleges, and Schools. Excludes: PEO Speaking Out/responses to government programs/plans - P15. | Originator | Active: | C + 3 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| O04 | Universities/Colleges/Schools | Includes: Records relating to Stakeholders. Records may include but are not limited to correspondence, proposals, position papers, briefing papers, reports, issues, awareness campaigns and background information created in conjunction with federal, provincial and/or municipal government agencies, boards, commissions, task forces, ministries, programs that promote awareness of the Engineer's Profession, organizations and companies in the private sector, Universities, Colleges, and Schools. Excludes: Career Information Program - P14; CODE Accounting files - F22. | Director, External Relations | Active: | C+3 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| O05 | Private Sector Organizations/Companies | Includes: Records relating to Stakeholders. Records may include but are not limited to correspondence, proposals, position papers, briefing papers, reports, issues, awareness campaigns and background information created in conjunction with federal, provincial and/or municipal government agencies, boards, commissions, task forces, ministries, programs that promote awareness of the Engineer's Profession, organizations and companies in the private sector, Universities, Colleges, and Schools. | Originator | Active: | C+3 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+3 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |

PUBLICATIONS/PUBLIC RELATIONS

| Class. Code | Secondary | Description | Responsible Position | Retention Lifecycle | | Classification | | Citations | Prev. |
|-------------|---|--|--------------------------|---------------------|-----------|----------------|----------|-----------|-------|
| | | | | Active: | Inactive: | Security: | PIB: | | |
| P00 | Publications/Public Relations - General | Includes: Records of a general nature for which no specific classification exists. Excludes: PEO publications, are classified under Member Services - M03 | Originator | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | Final Disposition: | DESTROY | | | | | |
| P01 | Engineering Dimensions Issue Files | Includes: Records related to background information, correspondence, story notes, drafts, galleys, copies of issues, indexes to magazine, audiotapes, etc. Excludes: Subscriptions - P17. | Director, Communications | Active: | C + 1 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | Final Disposition: | DESTROY | | | | | |
| P011 | Engineering Dimension Publication | Includes: Publication of Engineering Dimensions releases Excludes: P01 - Engineering Dimensions Issue Files | Director, Communications | Active: | C + 1 | Security: | PUBLIC | 20 | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | | | |
| | | | Final Disposition: | PERMANENT | | | | | |
| P02 | Engineering Dimensions Production | Includes: Records related to production schedules, printing quotes, distribution information, copies of postal receipts, circulation audits by BPA International/CLB Media, etc. Excludes: Payables - F01; Subscriptions - P17. | Director, Communications | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | 2 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 3 | AR: | NO | | |
| | | | Final Disposition: | DESTROY | | | | | |

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|-----|-------------------------------------|--|-------------------------------------|---------------------------|------------|------------------|----------|----|-------------|
| P03 | Gazette | Includes: Records related to correspondence, drafts, background information, galleys, etc. | Director, Communications | Active: | C + 1 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P04 | Publications & Promotional Material | Includes: Records relating to promotional material and publications such as Engineer Dimensions, Annual Report, Registrar's Report, Salary Surveys, Directories, Public Guidelines, etc. Records may include but are not limited to correspondence, background information, research and reference materials, story notes, drafts, revisions, preparation, production and distribution documents, production schedules, printing quotes, advertising schedule, advertising clients, copies of postal receipts, copies of advertising invoices, circulation audits, lectures, video productions, audiotapes, and sales of publications. Excludes: Receivables - F03. | Director, Communications | Active: | C + 1 | Security: | INTERNAL | | P05, P15 |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P05 | Research Files | Includes: Records related to research/reference materials including newspaper articles, magazine articles, news releases, booklets, brochures, government reports, studies, etc. on various topics and issues. | Director, Communications | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P06 | Photo Files | Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. | Director, Communications | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | YES | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |

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|------|----------------------------|---|-------------------------------------|---------------------------|-------------------|------------------|----------|----|--|
| P07 | Graphics Design and Photos | Includes: Records relating to Graphic Design. Record may include but are not limited to layouts, designs, illustrations, pictures which serve as resources for graphic design and production. | Director, Communications | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P08 | Annual Report | Includes: Records related to the preparation of annual report, drafts, layout, design and production as well as distribution. Excludes: P081 - Published Annual Report | Director, Communications | Active: | C + 2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P081 | Published Annual Report | Includes: Publication of the Annual Report Excludes: Records related to the preparation of annual report, drafts, layout, design and production as well as distribution. - P08 - Annual Report | Director, Communications | Active: | C+1 | Security: | PUBLIC | 20 | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| P09 | Other PEO Publications | Includes: Records related to the development and content, design, production, revision and inventory of other PEO publications such as brochures, guidelines and directories (PEO Directory, Professional Practice guidelines, Licensing Guide, etc.). This also includes past editions of salary surveys. Excludes: Awards Night - M02; Annual Conference – M06., P091 - PEO Publications | Director, Communications | Active: | E + 1 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | E = last revision | Vital: | NO | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|------|--------------------------|--|-------------------------------------|---------------------------|-------------------------------|------------------|----------|----|--|
| P091 | PEO Publications | Includes: Records related to the final publication of information from PEO Excludes: Records related to the development and content, design, production, revision and inventory of other PEO publications such as brochures, guidelines and directories (PEO Directory, Professional Practice guidelines, Licensing Guide, etc.). This als | Director, Communications | Active: | C + 1 | Security: | PUBLIC | 20 | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| P10 | News Releases/Interviews | Includes: Records related to press and news releases, interviews with PEO staff, television coverage, etc. | Director, Communications | Active: | C + 2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P11 | Clippings/News Services | Includes: Records related to newspaper and magazine clippings, news services and wire services information and responses to requests, etc. on PEO and various other topics/issues. | Director, Communications | Active: | C + 2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P12 | Speeches | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables – F01. | Director, Communications | Active: | E+2 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | E = Relevant Event Completion | Vital: | NO | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|-----|------------------------------|--|-------------------------------------|---------------------------|-------------------------------|------------------|----------|----|-------------|
| P13 | Engineering Week | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Payables – F01. | Director, Communications | Active: | E+2 | Security: | INTERNAL | | |
| | | | | Inactive: | 3 | PIB: | NO | | |
| | | | | Trigger Event: | E = Relevant Event Completion | Vital: | NO | | |
| | | | | Total: | E + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P14 | Career/Educational Promotion | Includes: Records related to promoting engineering as course of study amongst students, including the Career Information Program, Innovators in the Schools, School Outreach, Engineers in training program, P.Eng. Lectures, and video productions. Excludes: University/college/school curricula, reports, studies, correspondence, etc. - O04. | Director External Relations | Active: | C + 1 | Security: | INTERNAL | 20 | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P17 | Subscribers | Includes: Records relating to Subscribers. Record may include but are not limited to list of subscribers / mailing list for the Engineering Dimensions, other PEO publications, renewal information, containing the subscriber's preferred method of delivery. Excludes: Payments - F01. | Director, Communications | Active: | S | Security: | INTERNAL | | P16, P18 |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | NO | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |
| P19 | Speakers Bureau | Includes: Records that relate to planning, logistics and management of events, conferences, and ceremonies. Records may include but are not limited to meeting minutes, registration forms, speeches, scripts, list of speakers, speakers training, travel arrangements, accommodation arrangements, photo files and award winners. Excludes: Speeches - P12. | Director Communications | Active: | S | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | S | AR: | NO | | |
| | | | | Final Disposition: | SUPERCEDED | | | | |

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|-----|----------------------------|---|--|---------------------------|---------|------------------|----------|--|--|
| P20 | Government Contact Program | Includes: Records relating to Stakeholders. Records may include but are not limited to correspondence, proposals, position papers, briefing papers, reports, issues, awareness campaigns and background information created in conjunction with federal, provincial and/or municipal government agencies, boards, commissions, task forces, ministries, programs that promote awareness of the Engineer's Profession, organizations and companies in the private sector, Universities, Colleges, and Schools. | Director Governance & Corporate Secretary | Active: | C+3 | Security: | INTERNAL | | |
| | | | | Inactive: | 0 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C+3 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| P21 | Registrar's Report | Includes: Records related to correspondence, drafts, background information, etc. Excludes: Published Registrar Report P091 | Registrar | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | 4 | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

REGISTRATION

| Class. Code | Secondary | Description | Responsible Position Retention Lifecycle | | | Classification | | Citations | Prev. |
|-------------|---------------------------------|--|--|--------------------|---|----------------|--------------|-----------|-------|
| | | | Originator | Active: | Inactive: | Security: | INTERNAL | | |
| R00 | Registration - General | Includes: Records of a general nature for which no specific classification exists. | | Active: | C + 1 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 1 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| R01 | Certificate of Authorizations | Includes: Records that relate to applications. Record may include but are not limited to PEng licenses, limited licenses, provisional licenses, temporary licenses, certificates of authentication, Consulting Engineer Designation. Excludes: Complaints/discipline/ enforcement/registration files - L03-L07, L13. | Deputy Registrar, Licensing and Registration | Active: | E + 1 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed. *Note: File is scanned for permanent retention. | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| R02 | Consulting Engineer Designation | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. Excludes: Complaints/discipline/ enforcement/registration files - L03-L07, L13. | Director, Licencing | Active: | E + 1 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = file closed.. | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

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|-----|--------------------------|---|---|---------------------------|---|------------------|--------------|----|-----|
| R03 | Applications for Licence | Includes: Records relating to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, ongoing education PEAK, and any documentation regarding issues or claims relating to applications and registration. Excludes: Complaints/discipline/ enforcement/registration files - L03-L07, L13. | Deputy Registrar, Licensing and Registration | Active: | E + 1 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E = Licencing designation granted or file closed. | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| R04 | Examinations | Includes: Records relating to examinations. Records may include but are not limited to professional practice exams, fees/payment copies and applicant examination results. | Director, Licencing | Active: | P | Security: | CONFIDENTIAL | 29 | R05 |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| R05 | Completed Exams | Includes: All examination papers completed by candidates. | Deputy Registrar, Licensing and Registration | Active: | E + 1 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | E = licence granted (all information received and files have been approved by the Deputy Registrar) or file closed. | Vital: | NO | | |
| | | | | Total: | E + 1 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |

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|-----|--------------------|--|---|--------------------|----------------------|-----------|--------------|----|--|
| R06 | Examination Files | Includes: Records related to recommended texts, examination schedules, location arrangements, invigilators/examiners correspondence, examiners report of results, summary sheets, invigilators attendance records, copies of fees/payments, etc. Excludes: Payments - F01. | Director, Licencing | Active: | C + 1 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | C + 5 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| R07 | Temporary Licences | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. Excludes: Complaints/discipline/ enforcement/registration files - L03-L07, L13. | Deputy Registrar, Licensing and Registration | Active: | E+3 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E= Expiry of License | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| R08 | Limited Licences | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. Excludes: Complaints/discipline/ enforcement/registration files - L03-L07, L13. | Deputy Registrar, Licensing and Registration | Active: | E+3 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E= Expiry of License | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

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|-----|----------------------------------|---|---------------------|--------------------|-----------|-----------|--------------|----|--|
| R09 | Certificates & Stamps Production | Includes: Records relating to the production of the certificates and stamps. Records may include but are not limited to new certificate and stamp production list generated from the Register, licence certificate replacement forms and attached documentation, return copies of certificates/stamps. Excludes: Cost of production - F01; Printing/production correspondence - A13. | Deputy Registrar | Active: | C + 2 | Security: | INTERNAL | | |
| | | | | Inactive: | | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | YES | | |
| | | | | Final Disposition: | DESTROY | | | | |
| R10 | Register | Includes: Records relating to the register. Records may include but are not limited to PEO's Official list of all new licensees, revocations, suspensions, cancellations, and terminations registered annually and terms, conditions, and limitations. | Deputy Registrar | Active: | S + 2 | Security: | PUBLIC | 29 | |
| | | | | Inactive: | P | PIB: | NO | | |
| | | | | Trigger Event: | | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |
| R11 | Admissions/Registration Issues | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. Excludes: Task forces/task groups - C10; Committees - C04. | Director, Licencing | Active: | C + 5 | Security: | CONFIDENTIAL | | |
| | | | | Inactive: | 5 | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 10 | AR: | NO | | |
| | | | | Final Disposition: | DESTROY | | | | |
| R12 | Liability Insurance | Includes: Records related to general correspondence, company lists, background on insurance companies as well as correspondence from engineers regarding eligibility. Excludes: Member Insurance – M07; Issues regarding C of A requirements - R11. | Director, Licencing | Active: | C + 2 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | | PIB: | YES | | |
| | | | | Trigger Event: | | Vital: | NO | | |
| | | | | Total: | C + 2 | AR: | NO | | |
| | | | | Final Disposition: | PERMANENT | | | | |

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|-----|----------------------|---|---|-------------------------------|-------------------------|------------------|--------------|----|--|
| R13 | Provisional Licences | Includes: Records that relate to applications and registrations. Records may include but are not limited to PEng licence application documents, limited licence registration documents, provisional licence application documents, temporary licence registration documents, certificates of authentication registration documents, Consulting Engineer Designation registration documents, and any documentation regarding issues relating to applications and registration. | Deputy Registrar, Licensing and Registration | Active: | E+3 | Security: | CONFIDENTIAL | 29 | |
| | | | | Inactive: | P | PIB: | YES | | |
| | | | | Trigger Event: | E= Expiry of License | Vital: | YES | | |
| | | | | Total: | P | AR: | YES | | |
| | | | | Final Disposition: | PERMANENT | | | | |

**PROFESSIONAL
ENGINEERS
ONTARIO**

Tab: Records Classification System and Standards

02-01-22

Section: System Documentation

Page: 41

Subject: Scope Notes/Retention Schedule

Date: 12/22

| Primary | Code | Primary | Code |
|--------------------------------------|-------------|---|-------------|
| Administration – General | A00 | Occupational Health and Safety | H09 |
| Meetings | A01 | Training & Development | H10 |
| Operational Reporting | A02 | Legal – General | L00 |
| Security | A03 | Intellectual Property | L01 |
| Building Facilities/Maintenance | A04 | Insurance | L02 |
| Building Equipment Manuals | A041 | Preliminary Enforcement Files | L03 |
| Equipment/Furnishings | A05 | Preliminary Investigation Files | L04 |
| Computer Systems | A06 | Complaints | L05 |
| Printing/Mailing | A07 | Discipline | L06 |
| Records Management | A08 | Enforcement | L07 |
| Vendors & Suppliers | A09 | Legal Issues | L08 |
| Travel/Accommodation | A10 | Legal Publications | L09 |
| Forms | A11 | Professional Engineers Act, Regulations and By-Laws | L10 |
| Chronological Files | A12 | Other Acts/Regulations | L11 |
| External Printing | A13 | Claims | L12 |
| Simple Contracts | A14 | Registration Files | L13 |
| Sealed Contracts | A15 | Member Services - General | M00 |
| Staff Correspondance | A16 | Award Winners | M01 |
| Staff Electronic Files and Databases | A17 | Unsuccessful Award Winners | M011 |
| LicensEase Database | A18 | Awards Night | M02 |
| Sharepoint Database | A19 | Chapter Files | M03 |
| System Development | A20 | Regional Congresses | M04 |
| Information Security Management | A21 | Chapter Promotion | M05 |
| Help Desk Operations | A22 | Annual Conference | M06 |
| Issue Resolution | A23 | Member Insurance/RRSP | M07 |
| Corporate – General | C00 | Organizations - General | O00 |
| Council Minutes | C01 | Provincial Engineering Associations | O01 |
| Council & Committee Correspondence | C02 | Other Associations/Societies | O02 |
| Elections | C03 | Federal/Provincial/Municipal Government | O03 |
| Council & Committee Minutes | C04 | Universities/Colleges/Schools | O04 |
| Councilors & Committee Membership | C05 | Private Sector Organizations/Companies | O05 |
| Strategic Planning | C06 | Publications/Public Relations - General | P00 |
| Corporate Identity | C07 | Engineering Dimensions Issue Files | P01 |
| Policies & Procedures | C08 | Engineering Dimension Publication | P011 |
| Appointments | C09 | | |

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| Primary | Code | Primary | Code |
|----------------------------------|-------------|-------------------------------------|-------------|
| Task Forces/Task Groups | C10 | Engineering Dimensions Production | P02 |
| President | C11 | Gazette | P03 |
| Finance – General | F00 | Publications & Promotional Material | P04 |
| Accounts Payable | F01 | Research Files | P05 |
| Payables Reporting | F02 | Photo Files | P06 |
| Accounts Receivable | F03 | Graphics Design and Photos | P07 |
| Receivables Reporting | F04 | Annual Report | P08 |
| Chapter Allotments/Accounting | F05 | Published Annual Report | P081 |
| Dimensions Accounting | F06 | Other PEO Publications | P09 |
| Donations | F07 | PEO Publications | P091 |
| Reconciliations | F08 | News Releases/Interviews | P10 |
| Banking | F09 | Clippings/News Services | P11 |
| General Journals | F10 | Speeches | P12 |
| General Ledger | F11 | Engineering Week | P13 |
| Payroll | F12 | Career/Educational Promotion | P14 |
| Pension Plans | F13 | Speaking Out/Lobbying | P15 |
| T4s | F14 | Mailing Lists | P16 |
| Investments | F15 | Subscribers | P17 |
| Financial Statements | F16 | Permissions to Reprint | P18 |
| Audit | F17 | Speakers Bureau | P19 |
| Budget | F18 | Government Contact Program | P20 |
| Financial Planning | F19 | Registrar's Report | P21 |
| Fixed Assets | F20 | Registration - General | R00 |
| Taxation Issues | F21 | Certificate of Authorization Files | R01 |
| CODE Accounting Files | F22 | Consulting Engineer Designation | R02 |
| Inventory | F23 | Applications for Licence | R03 |
| Human Resources – General | H00 | Examinations | R04 |
| Employee Files | H01 | Completed Exams | R05 |
| Pensioner/Retiree Employee Files | H02 | Examination Files | R06 |
| Attendance | H03 | Temporary Licences | R07 |
| Record of Employment | H04 | Limited Licences | R08 |
| Benefits | H05 | Certificates & Stamps Production | R09 |
| Recruitment | H06 | Register | R10 |
| Pay Equity | H07 | Admissions/Registration Issues | R11 |
| Personnel Planning | H08 | Liability Insurance | R12 |
| | | Provisional Licences | R13 |

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Summary

The Citation Table provides all the relevant legislative citations which apply to the secondary classifications identified in the Scope Notes/Retention Schedule. The Citation Table has four columns:

No.: The number assigned to the citation which appears in the Cite Table column of the Scope Notes/Retention Schedule.

Statute/Regulation Citation: The full reference to the statute or regulation including chapter and section number.

Retention Period: The retention period as defined in the legislation. If no specific period is identified, this column will indicate "retention not specified".

Remarks: Additional remarks such as identifying conditional events connected to the retention of documents.

Jurisdictions Covered

In researching the legislative requirements for the organization's records, Federal and Ontario statutes and regulations were reviewed. This review is current up to August 2022. The following abbreviations are used in the citations:

R.S.C. – Revised Statutes of Canada

S.C. – Statutes of Canada

C.R.C. – Consolidated Regulations of Canada

SOR – Standing Order and Regulations (Canada)

R.S.O. – Revised Statutes of Ontario

S.O. – Statutes of Ontario

Citations

| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|--|---|--|
| 1 | <i>Not-for-Profit Corporations Act, 2010</i> , SO 2010, c 15, ss. 92(1), 92.1, 97(1), 98, 165 ["ONCA"]. Note: ONCA provisions are incorporated under <i>Professional Engineers Act</i> , RSO 1990, c P.28, s. 49, <i>General</i> , RRO 1990, Reg 941 made under <i>Professional Engineers Act</i> , s. 80(1). | Accounting documents and financial records to be kept for 6 years (subject to longer requirements under other acts), other records kept indefinitely while the corporation is in existence and for 5 years after dissolution or as otherwise determined in accordance with ONCA at dissolution. | Constituting documents, resolutions, meeting minutes, registers of officers, directors and members, accounting records on a quarterly basis and financial documents, register of ownership interest in land and directors' consents. |
| 2 | <i>Canada Pension Plan</i> , RSC 1985, c C-8, ss. 24, 90(2) ["CPP"]. | 6 years from the end of the year that the records pertain to or until written permission obtained for prior disposal (CPP records & books of account) | Limitations period under the CPP is 5 years after minister becomes aware of subject-matter. |
| 3 | <i>Copyright Act</i> , RSC 1985, c C-42, ss. 6, 9, 12, 14.2, 26, 42(4), 43.1. <i>Trademarks Act</i> , RSC 1985, c T-13, ss. 45, 46. | Term of copyright is life of author plus 50 years. Summary offence criminal infringement limitation is 2 years (no limitation for non-summary offences). Limitation period for civil remedies for infringement is 3 years after infringement. Use of registered trademarks as trademarks should be kept for at least 3 years. Registered Trademarks must be renewed every 10 years. | Records of authorship/ownership of materials may be required for enforcement. |
| 4 | <i>Corporations Tax Act</i> , RSO 1990, c. C.40, ss. 94. | Until permission for disposal given by Minister. | Corporations Act provides that records are kept until written consent is obtained from the minister. Note that the limitations period is 6 years under note 5. |
| 5 | <i>Corporations Tax Act</i> , RSO 1990, c. C.40, s. 97. | 6 years from time when matter of information arose. | Limitation for laying an information for an offence under the Act |
| 6 | <i>Employer Health Tax Act</i> , RSO 1990, c E.11, ss. 6, 12, 13, 37. | Until permission for disposal given by Minister (records & books of account). | Returns must be delivered within 4 years, and limitations period is 6 years. |
| 7 | <i>Employment Standards Act</i> , 2000, SO 2000, c. 41, ss. 12, 15(1)-(5). | 3 years after employee ceased to be employed – | |

| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|---|--|--|
| | | name & address, date began employment. 3 years after day/week to which information relates - # of hours worked each day & each week. 3 years after statement given to employee – wage statement. | |
| 8 | <i>Employment Standards Act, 2000</i> , SO 2000, c. 41, s. 15(7). | 3 years after pregnancy/parental/emergency/etc leave expired – notices, certificates, correspondence & documents given to or produced by employer re: leave. | |
| 9 | <i>Employment Standards Act, 2000</i> , SO 2000, c. 41, ss. 15.1(1), (5), 36. | 5 years after records were made for records pertaining to vacation time accrual and vacation time used/vacation pay/vacation wages. | |
| 10 | <i>First Aid Requirements</i> , RRO 1990, Reg 1101, s.5 [“First Aid Regulations”]. <i>First Aid Regulations made under Workplace Safety and Insurance Act, 1997</i> , SO 1997, c 16, Sch A, s. 183. | Indefinite (accident by worker including 1st aid treatment) | |
| 11 | <i>General</i> , RRO 1990, Reg 941, s. 23(2)[“PEO Regs”]. PEO Regs made under <i>Professional Engineers Act</i> , RSO 1990, c P.28 s. 7(1). | Until receipt of notice of election results (destruction of ballots) | |
| 12 | <i>Excise Tax Act</i> , RSC 1985, c E-15, s. 286. Canada Revenue Agency, GST Memorandum 15-1, “General Requirements for Books and Records”. | 6 years after end of year to which they relate or until written permission obtained for prior disposal. | Keep until appeal or objection finally disposed of. |
| 13 | GST Memorandum 15-2, “Computerized Records”. | 6 years after end of year to which they relate | This is an interpretive memorandum for the <i>Excise Tax Act</i> . This citation should be merged with 12. |
| 14 | <i>Income Tax Act</i> , RSC 1985, c 1 (5th Supp), ss. 230, 230.1. | 6 years from end of last taxation year to which records | Keep until appeal or objection disposed of. |

| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|---|---|--|
| | <p>Canada Revenue Agency, Information Circular IC78- 10R5, "Books and Records Retention / Destruction".</p> <p>Canada Revenue Agency, Information Circular IC05-1R1, "Electronic Record Keeping".</p> | <p>relate unless written permission for prior disposal obtained.</p> | |
| 15 | <p><i>Income Tax Act</i>, RSC 1985, c. 1 (5th Supp.), s. 244(4), 244.7.</p> | <p>8 years from time when matter of information or complaint arose.</p> | <p>Limitation for summary conviction proceedings for offences under the <i>Income Tax Act</i>.</p> |
| 16 | <p><i>Income Tax Act</i>, RSO 1990, c I.2, s. 39.</p> | <p>Incorporates the same retention period as under the federal <i>Income Tax Act</i> by reference (6 years from end of last taxation year to which records relate unless written permission for prior disposal obtained).</p> | <p>Keep until disposal is permitted for purposes of federal Income Tax Act.</p> |
| 17 | <p><i>Income Tax Act</i>, RSO 1990, c. I.2, s. 48(3).</p> | <p>8 years from time when subject matter of information or complaint arose</p> | <p>Limitation for proceedings under the <i>Provincial Offences Act</i> for offences under the Ontario <i>Income Tax Act</i>.</p> |
| 18 | <p><i>Income Tax Regulations</i>, CRC, c 945, s. 5800(1) ["Income Tax Regulations"].</p> <p>Income Tax Regulations made under <i>Income Tax Act</i>, RSC 1985 c 1 (5th Supp), s. 221.</p> | <p>2 years from dissolution of corporation for minutes of meetings of directors, members, general ledgers and supporting documents for same.</p> | |
| 19 | <p><i>Real Property Limitations Act</i>, RSO 1990, c L.15, s. 4, 17.</p> | <p>6 years after rent due or after acknowledgement in writing has been given; 10 years for other matters.</p> | |

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| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|--|---|--|
| 20 | <i>Limitations Act, 2002</i> , SO 2002, c 25, Sch B, ss. 4, 15, 16. | 2 years after the claim was discovered – basic limitation period. 15 years after the act/omission on which claim is based took place – ultimate limitation period; No limitation period on certain enumerated matters. | |
| 21 | <i>Occupational Health and Safety Act</i> , RSO 1990, c O.1, s. 9(22). <i>Industrial Establishments</i> , RRO 1990, Reg 851, s. 51. [Elevator Regs] Elevator Regs made under s. 70 of the <i>Occupational Health and Safety Act</i> . <i>Technical Standards and Safety Act, 2000</i> , SO 2000, c 16, ss. 20, 33, 34, 37; <i>Elevating Devices</i> , O. Reg 209/01, ss. 20, 33, 34, 37, 38 made under <i>Technical Standards and Safety Act</i> . | Indefinite (minutes of a joint health and safety committee). Records pertaining to elevator inspections to be held for 1 year, or longer if required to ensure that two most recent records are kept. Log book of elevator maintenance required to be kept and maintained for 5 years after last entry. | <i>Technical Standards and Safety Act</i> and regulations made under that act may contain other record keeping requirements depending on facilities and equipment maintained by PEO. |
| 22 | <i>Occupational Health and Safety Act</i> , RSO 1990, c O.1, s. 12. | Retention not specified (annual summary from Workplace Safety and Insurance Board). | |
| 23 | <i>Occupational Health and Safety Act</i> , RSO 1990, c. O.1, s. 25(2). | Retention not specified (health/safety postings). | |
| 24 | <i>Occupational Health and Safety Act</i> , RSO 1990, c O.1, s. 69. | 1 year after last act or default upon which prosecution is based. | Limitation for proceedings under the <i>Occupational Health and Safety Act</i> . |

| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|---|--|---|
| 25 | <p><i>Pension Benefits Act</i>, RSO 1990, c P.8, ss. 25, 29, 30, 98.</p> <p><i>General</i>, R.R.O. 1990, Reg. 909, s. 45 ["Pension Plan Regulations"].</p> <p>Pension Plan Regulations made under s. 115 of the <i>Pension Benefits Act</i>.</p> | Indefinite (records to be kept by administrator of pension plan) | |
| 26 | <i>Employment Insurance Act</i> , SC 1996, c 23, s. 87. | 6 years after the year for which they are kept or until written permission obtained for prior disposal (records & books of account) | Keep until appeal or ruling disposed of |
| 27 | <p><i>Employment Insurance Regulations</i>, SOR/96-332, s. 19(4) ["EI Regs"].</p> <p>EI Regs made under s. 108 of the <i>Employment Insurance Act</i>.</p> | 52 weeks since record of employment was completed (5 days after interruption of earnings or employer becomes aware of interruption of earnings) or until record of employment is requested by the Commission or employee, whichever is earlier | |
| 28 | <p><i>Workplace Safety and Insurance Act, 1997</i>, SO 1997, c 16, Sch A, s. 80 ["WSIA"]</p> <p><i>General</i>, O. Reg 175/98 s. 183, Schedule 1.</p> <p><i>General</i> made under s. 100 of the WSIA.</p> | Indefinite (accurate record of all wages paid to workers). | |
| 29 | <i>Professional Engineers Act</i> , RSO 1990, c P.28, s. 21, 37. | Indefinite (PEO registers). Records pertaining to suspended or cancelled licenses must be kept need to be kept for at least 2 years after suspension. | |

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| No. | Statute/Regulation Citation | Retention Period | Remarks |
|-----|--|---|---|
| 30 | <p><i>Professional Engineers Act</i>, RSO 1990, c P.28, s. 40(7).</p> <p><i>Statutory Powers Procedures Act</i>, RSO 1990, c S.22, s. 25, 25.1; <i>Judicial Review Procedure Act</i>, s. 5; <i>Professional Engineers Act</i>, RSO 1990, c P. 28, s. 31.</p> | <p>2 years from date of offence.</p> <p>Records should be kept until all appeals resolved.</p> | <p>Limitation for proceedings for offences under the <i>Professional Engineers Act</i> (unauthorized practice / obstruction of investigator).</p> |
| 31 | <p><i>Professional Engineers Act</i>, RSO 1990, c P.28, s. 41(3).</p> <p><i>Statutory Powers Procedures Act</i>, RSO 1990, c S.22, s. 25, 25.1; <i>Judicial Review Procedure Act</i>, s. 5; <i>Professional Engineers Act</i>, RSO 1990, c P. 28, s. 31.</p> | <p>2 years from date of offence.</p> <p>Records should be kept until all appeals resolved.</p> | <p>Limitation for proceedings for offences under the <i>Professional Engineers Act</i> (falsification / false representation re: license etc.).</p> |
| 32 | <p><i>Personal Information Protection and Electronic Documents Act</i>, SC 2000, c 5, s. 7, 10.1-10.3, 12.1, 18</p> | <p>Indefinite record keeping for reports of breach of security safeguards.</p> | <p>PIPEDA has rules on collection, retention and use of personal information and reporting and record keeping requirements for breaches of obligations.</p> |
| 33 | <p><i>Environmental Protection Act</i>, RSO 1990, c E. 19; <i>Waste Audits and Waster Reduction Work Plans</i>, O. Reg 102/94, s. 5.</p> | <p>Waste reduction work plans and reports of waste audits must be retained for at least 5 years.</p> | |
| 34 | <p><i>Human Rights Code</i>, RSI 1990 c H. 19, s. 34.</p> | <p>1 year after an incident or series of incidents occurred.</p> | |
| 35 | <p><i>Charities Accounting Act</i>, RSO 1990, c C.10, ss. 4.1, 5.1; <i>Approved Acts of Executors and Trustees</i>, O. Reg 4/01, s. 1(3), 3(5)-(6).</p> | <p>Business records, books, accounts, and financial statements, and remuneration paid to any persons to be kept indefinitely.</p> | <p>Charitable donations.</p> |