

Policy Title: Record Management, Retention and Destruction

Category:	<input type="checkbox"/> Institutional - Board <input type="checkbox"/> Academic - Administrative <input checked="" type="checkbox"/> Institutional - Administrative <input type="checkbox"/> Employment - Administrative		
Approved by:	<input type="checkbox"/> Board <input checked="" type="checkbox"/> President		
Date approved:	May 23, 2024	Effective date:	May 23, 2024
Policy Sponsor:	Vice President, Administration & Finance	Date last reviewed:	May 23, 2024
Date of Mandatory Review (expiry date):	May 2029	Date of last revision of Procedures:	May 23, 2024

1. POLICY

1. CMCC records are the property of the institution and will be retained to meet statutory, fiscal, contractual, and operational requirements. Employees are responsible for being aware of and adhering to the Records Retention Schedule, as set out in Schedule A to this policy. It is acknowledged that there may be changes to statutory and/or regulatory obligations relating to the maintaining of records, and that the Records Retention Schedule shall be amended from time to time to reflect compliance with ongoing statutory and or regulatory obligations.
2. Records with enduring evidential or historical value will be preserved as part of CMCC's archives, paper or digital, or digitally on CMCC's document management system.
3. Convenience copies of records should be securely destroyed when they no longer have business value.
4. Electronic documents will be retained as if they were paper documents. If there are electronic version of paper documents, the paper documents may be appropriately destroyed.
5. Any paper records that contain personal information should be classified as confidential and shredded to protect the privacy of employees, students, customers, patients and other appropriate and/or relevant individuals.
6. CMCC's records, whether onsite or off-site, will be stored in a safe, secure, confidential and accessible manner. Documents and financial files that are

essential to keeping CMCC operating in an emergency will be duplicated or backed up at least every week and maintained offsite or be remotely accessible.

7. Electronic records will be migrated to a digital archive or document management system that can provide secure access for regulatory, legal or future business purposes.
8. The President may identify specified records to be placed on a legal hold, suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations or similar proceedings. In such case, no records specified in any legal hold may be destroyed even if the scheduled destruction date has passed, until the legal hold is withdrawn by the President, in writing.
9. Records that have met the required retention period will be securely destroyed in a manner that ensures the protection of personal, confidential, and proprietary institutional information.

2. PURPOSE

To identify the institutional parameters for the management, storage and destruction of CMCC's documents and records, regardless of their form.

3. SCOPE

All records created, received or maintained by CMCC employees in the course of carrying out the activities of the institution, regardless of: physical form; guidelines for how long certain documents should be kept both for legislated and archival purposes; and how records should be permanently deleted or destroyed.

4. INFORMATION AND COMPLIANCE PLANS (not a comprehensive list)

Records may exist in any form, including text, numeric, graphic, and sound, or a combination of these, and on any medium, such as paper, magnetic media (e.g., hard disks, floppy disks, flash memory devices, magnetic computer tapes, audio and videotapes), optical media (e.g., CDs, DVDs, optical jukeboxes), and micro media (microfilm or microfiche).

The following is a list which is not necessarily comprehensive of statutes, regulations or policies relating to the obtaining, maintaining and destruction of business records.

- *Anatomy Act – RRO 1990, Regulation 21, Section 2*
- *Business Corporations Act of Ontario – Part XI: Books and Records*
- *Canada Revenue Agency Income Tax Information Circular # IC78-10R5: Books and Record Retention/Destruction*
- *College of Chiropractors of Ontario Standard of Practice S002 – Record Keeping*
- *Electronic Commerce Act of Ontario*

- *Employment Standards Act* – Part VI: Records
- *Personal Health Information Protection Act (PHIPA)* – Part II: Practices To Protect Personal Health Information
- *Personal Information and Electronic Documents Act (PIPEDA)* – Principle 5: Limiting Use, Disclosure, and Retention
- *Postsecondary Education Choice and Excellence Act – Ontario Regulation 279/02: Transcript Standards*
- Requirements for the Approval of Private Institutions Providing Postsecondary Education Programs in Ontario for the Purposes of Ontario Student Grants and Ontario Student Loans and for the Administration of the Ontario Student Assistance Program by Approved Private Institutions (The “Performance Requirements”) – Version 11, June 2017; Appendix 3: OSAP Administrative Procedures; Appendix 4: Confidentiality Requirements

5. RELATED POLICIES (not a comprehensive list)

- Privacy

6. DEFINITIONS

Archives are records that are likely to have continuing historical or evidential value. The originating unit will transfer custody and control of the records in their entirety to the Archives Librarian or save them in CMCC's document management system.

An electronic image is defined as a digital representation of a CMCC record, regardless of the original format or medium.

An electronic record is a CMCC record, including a record created or received in a digital image format, which requires a computer or other digital device to read, perceive, or hear.

Documents refer to paper or electronic.

Records defines information, regardless of format or medium, which is created, received, and maintained by CMCC and which provides evidence of its transactions or activities.

Records management is defined as an efficient, orderly, and systematic approach to the creation, receipt, use, and disposition of records, including processes for capturing and maintaining evidence and information about activities and transactions in the form of records.

A Records Retention Schedule is a comprehensive instruction to ensure that records are retained for as long as necessary based on their operational, fiscal, legal, and historical value, and are disposed of in an authorized manner at the end of the retention period.

New Policy Approved (date):	Retention of Records - July 2004
Policy Revision History (dates):	Record Management, Retention and Destruction – December 8, 2016

-----**END OF POLICY**-----

7. PROCEDURES

1. Draft documents should be disposed of as soon as they have been superseded by an official version unless there shall be a specific purpose for the maintaining of the draft document as, for example, in the case of contractual negotiations, if appropriate.
2. The Director of Facilities, Safety & Security and the Director of Information Technology shall establish and maintain adequate procedures to ensure security and control over the authorized access to, maintenance of, and destruction of the respective records entrusted to them for safekeeping. A log will be maintained by the Director of Facilities, Safety & Security which sets out the nature, content and timing of the destruction of records.
3. The Chief Privacy Officer will review such procedures on a regular basis to ensure that they are in keeping with best practices identified in relevant privacy legislation.
4. The Director of Facilities, Safety & Security, for paper records, and the Director of Information Technology, for electronic records, are responsible for the identification of records that have met the required retention period for their destruction.
5. The Director of Human Resources will ensure that management staff are directed to and understand their obligations for the retention and destruction of institutional records under their control, in accordance with current policy and procedures.
6. Employees in a management capacity will ensure that employees working with them understand (being consistent with Procedure #5) their obligations with respect to the management of institutional records they work with in the normal course of their employment.

New Procedure Approved (date):	Retention of Records - July 2004
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8. ATTACHMENTS

Records Retention Schedule

