



# Classification Structure and Retention Schedule

## Overview

The records classification and retention structure is a valuable tool to manage the records and information created or received by the College of Denturists of Ontario (CDO) and as such, it is an important strategic business resource. The systematic application of managing information through a classification structure allows for the control of information assets throughout its lifecycle – from cradle to grave. By consistently identifying information, regardless of where it is held, the structure removes barriers to access (assuming appropriate permissions) while also protecting privacy and allows information to be available in a timely fashion to those who need it. This access is essential for supporting decision-making and sharing the knowledge developed through collaboration efforts. Such a system also supports accountability and good governance, protects personal and confidential information captures and preserves the corporate memory and the history of CDO while improving organization efficiencies and mitigating risk.

CDO's Classification and Retention Schedule is the official policy for the management of records at CDO. It provides staff with the authority to manage records in accordance with relevant policies, legislation and regulations. CDO has adopted the ISO 15489 standard of a functionally based classification structure to provide a hierarchical framework for the organization and description of records. This standard is endorsed by the Ontario Government through the Archives of Ontario. The structure is based on the content of the document and applies to all records, regardless of whether they are in paper, digital, image, audio or video format. Each classification category is accompanied by a retention timeframe that reflects applicable legislation and business need. The main reasons for a functional approach are as follows:

- Eliminates duplication of records because all records related to a specific function are grouped together rather than split up among departments. For example, all agreements and contracts would be in under the GOVERNANCE/LEGAL function;
- Provides integrity and thus reliability when searching for information within the central repository because all "like" things are filed together rather than "classified" under different departments or programs;
- Business functions are independent of organizational structure. Changes in organizational structure do not affect the classification scheme. It doesn't have to be "re-invented";
- Department names change but functions remain constant;
- Reduces silos of information.

The functions of the CDO are as follows:

- Administration
- Communications & Stakeholder Relations
- Employee Management
- Financial Management
- Governance/Legal
- Membership Management



## Definitions

**RECORD** – The International Organization for Standardization (ISO) defines a record as “recorded information in whatever physical format created, collected or received in the initiation, conduct or completion of an activity which has content, context and structure, is authoritative and reliable, provides evidence of decision-making”. Records can include books, papers, maps, electronic documents, digital, video, voice recordings, web pages, etc.

**TRANSITORY RECORD** is useful for only a short time and has minor importance. When its use is over it should be deleted or destroyed. A transitory record can be destroyed at any time before the retention period of the original document as the official or original document is held by the originator/primary area of accountability and subject to the approved retention period. Examples of transitory records include the following:

- personal messages
- general notices and announcements
- copies of documents and emails
- cc, bcc, or FYI emails kept only for convenience
- drafts and working documents to prepare final records with a few exceptions such as agreements/contracts, drafts in developing legislation.

**NON-RECORD** has no bearing on the organization’s functions, operations, or mandate. A non-record may be a general distribution item, reference book, published legislation from other stakeholders or government agencies as examples. A non-record is typically used, if ever, only for a very limited period of time. It does not have to be collected and maintained. This document is not required to be retained and therefore does not appear on a records retention schedule.

When applying the retention schedule to CDO records, the above definitions of a record, transitory and non-record, determine what should be classified and focus on core business documents generated by the originator or the primary area of accountability.

However, notwithstanding the above definition of a non-record, it is recommended that convenience copies and drafts be subject to classification if they are to be kept for some reason.

## Classification and Retention Schedule Headings

### Record Series and Filing Methodology

Record Series are defined as a group of related records that have the same form and function, are filed as a unit and are maintained together for retention scheduling purposes. Record series are destroyed as a unit when the retention period is up unless there is a litigation or audit hold on the record series. The record series are grouped into broad organizational functions, then by the activities that take place within each function. Activities are created based on the roles and responsibilities of staff who partake within that activity. Within each activity are the records that are created through that activity – it is the evidence of a business transaction – these are the record series where retention is applied. The types of documentation described within a record series is referred to as a scope note.



## Accountability

This classification scheme identifies the Office of Accountability – the business unit or program who is accountable for ensuring that the official record is managed throughout its lifecycle. This is the business area that has primary interest or ownership of the records. They are considered to be the official holder of the original records. When accountability refers to the “ALL” it applies if all business units and programs within CDO involved in creating and saving records for that record series. There is no one department/program accountable. Everyone is accountable for their own records.

## Retention

The column labelled “**Total Retention**” specifies the length of time records must be kept. An event such as the termination of an agreement or project close may be used to indicate when the retention calculation begins. Retention periods are reviewed and approved by the Office of Accountability and Registrar. The retention schedule has been approved by the College’s Legal firm of Steinecke Maciura LeBlanc.

## Disposition

The column labelled “**Disposition**” refers to how the records are disposed of at the end of their lifecycle. Once the records have reached the end of their total retention period they may be totally destroyed/expunged, or all or part of the record series may be designated as archival selection or archival which means the entire record series is kept for future generations. Records identified in the classification structure and retention schedule can only be destroyed/disposed of in accordance with CDO’s records destruction procedures and in conjunction with approval from Director/Manager of the Program and/or Business Unit. All destroyed records should be documented by a certificate of destruction as proof of final disposition. The certificate of destruction is kept permanently as proof that destruction took place, what records were destroyed and when they were destroyed as promulgated by the Electronic Record as Documentary Evidence from the Canadian Standards Board CAN/CGSB-72.34-2017.

## Security Classification

In order to protect the confidentiality, integrity and availability of CDO’s data, each record series is assigned a security classification, being public, internal or confidential. *(See legend for definitions –pg.4)*

## Citations and Comments

The Citation/Comments column provides the cross-reference identifier to the legislative citations that are recommended as applicable for each category of records. FED refers to the Federal legislation and ONT refers to Ontario legislation.



## Legend for Retention Terms

CODE	DEFINITION	DESCRIPTION
A	Archival	Record Series which has been assessed to have historic significance. Archival documents are retained for 10 years at which point they are appraised again for historic importance and possibly archived for another 10 years. Every 10 years they are reviewed for historical significance. For electronic records, they are reviewed to determine if these will continue to be migrated.
AS	Archival Selection Before Destruction	Refers to reviewing the records series before destruction to see whether they have historic significance prior to destruction. This is different from archival because in the case of an archival designation the entire records series is kept for posterity, whereas, in archival selection before destruction, records are "selected" for potential historic significance. The entire record series is not kept.
CY	Current Year	Refers to January 1 <sup>st</sup> to December 31 <sup>st</sup> .
FY	Current Fiscal Year	Refers to April 1 <sup>st</sup> to March 31 <sup>st</sup> .
D	Destroy	Requires that upon expiration of the retention period the document is destroyed – shredded, recycled, deleted (expunged).
S/O	Superseded or Obsolete	Refers to the replacement of a document once it has been updated or revised. The new document supersedes the previous version.
T/E	Event Trigger for termination or close of an event or activity	Refers to a record being retained until it has been closed or terminated, typically used for case-based or project records where the retention refers to the case being closed or the transaction being completed. For example, this retention applies to an employee file and is triggered at the point at which the employee leaves the organization. These records are usually maintained until the case or transaction or employee record is closed/terminated plus a pre-defined number of years, e.g. T/E+3 means retained until the case is closed plus 3 more years.
PI	Personal Information	Refers to records of individuals who have personal information with the College and needs to be protected on a need-to-know basis.
	Permanent	Kept for the life of the organization.
LOC	Life of Corporation	Refers to records that are designated by legislation to keep for the life of the organization + a specific number of years. General ledgers are an example.



## Security Classification Levels

**Public:** This classification applies to information in the public domain. The information is fit for distribution via public channels such as email and websites. Disclosure of *Public* information is not expected to adversely impact CDO employees, its stakeholders, its business partners, and/or its members.

**Internal:** This classification applies to general information intended or appropriate for any internal audience or a restricted external audience such as stakeholders. Internal access is unrestricted, but external access is based on a business need-to know basis.

**Confidential:** This classification applies to the most sensitive business information that is intended for a limited audience. Its unauthorized disclosure could seriously and adversely impact CDO, its employees, its stakeholders, its business partners, and/or its members. Records, which are designated as confidential, are accessible only by a defined sub-group of CDO. Access permissions may be given to staff based on their membership to a specific group or individually as CDO management deems appropriate.

## Revision Control

VERSION	EFFECTIVE DATE	SUMMARY OF CHANGE	AUTHOR(S)	APPROVER
1.0	2018-12-05	Created	RIM Services Inc.	Council
2.0	2021-12-24	Accountability (staff titles) and Citations updated, and Records Series added: <ul style="list-style-type: none"> <li>• ADMINISTRATION – Internal Support – Technical User Manuals</li> <li>• ADMINISTRATION – Information Technology – Computer System Maintenance &amp; Reports</li> <li>• ADMINISTRATION – Information Technology – Service Tickets</li> <li>• GOVERNANCE/LEGAL – Legal – Insurance Policies</li> <li>• GOVERNANCE/LEGAL – Strategic Planning – Strategic Plan</li> <li>• MEMBER MANAGEMENT – Registration-Member Management – Members’ Public Register</li> <li>• MEMBER MANAGEMENT – Registration-Member Management - Registration – Equivalency</li> </ul>	RIM Services Inc.	Registrar and CEO
2.1	2021-01-17	Accountability updated (staff titles), and Record Series updated: <ul style="list-style-type: none"> <li>• MEMBER MANAGEMENT – Registration-Member Management - Registration – Equivalency</li> </ul>	RIM Services Inc.; Manager, Council & Corporate Services	Acting Registrar and CEO



## Table of Contents: Summary of Functions / Activities and Record Series

ADMINISTRATION	COMMUNICATION & STAKEHOLDER RELATIONS	EMPLOYEE MANAGEMENT	FINANCIAL MANAGEMENT	GOVERNANCE/LEGAL	MEMBER MANAGEMENT
<p><a href="#">Correspondence Management</a></p> <ul style="list-style-type: none"> <li>Administrative Office Records</li> </ul> <p><a href="#">Internal Support</a></p> <ul style="list-style-type: none"> <li>Logs</li> <li>Policies &amp; Procedures – Administrative</li> <li>Reference Resources</li> <li>Technical User Manuals</li> <li>Templates &amp; Forms -Blank</li> </ul> <p><a href="#">Meetings Management</a></p> <ul style="list-style-type: none"> <li>Meetings &amp; Committees – Internal</li> </ul> <p><a href="#">Project Management</a></p> <ul style="list-style-type: none"> <li>Projects</li> </ul> <p><a href="#">Information Technology</a></p> <ul style="list-style-type: none"> <li>Computer System Access &amp; Controls</li> <li>Computer</li> </ul>	<p><a href="#">Communications Support</a></p> <ul style="list-style-type: none"> <li>Branding</li> <li>Contact Lists</li> <li>Published Program/Promotional Materials</li> <li>Website/Social Media Content Management &amp; Analytics</li> </ul> <p><a href="#">Education &amp; Outreach</a></p> <ul style="list-style-type: none"> <li>Events</li> </ul> <p><a href="#">Media</a></p> <ul style="list-style-type: none"> <li>Media Relations</li> <li>Photos</li> <li>Presentations &amp; Speeches</li> </ul> <p><a href="#">Stakeholder Relations</a></p> <ul style="list-style-type: none"> <li>Government/ Intergovernmental Relations &amp; Regulatory Bodies</li> <li>Universities/ Colleges &amp; Organizations</li> </ul>	<p><a href="#">Recruiting &amp; Selecting</a></p> <ul style="list-style-type: none"> <li>Job Descriptions</li> <li>Staff positions</li> </ul> <p><a href="#">Staff Management</a></p> <ul style="list-style-type: none"> <li>Accessibility for Ontarians with Disabilities Act</li> <li>Employee Files</li> </ul> <p><a href="#">Training &amp; Skills Development</a></p> <ul style="list-style-type: none"> <li>Training &amp; Development Courses</li> </ul>	<p><a href="#">Accounting Administration</a></p> <ul style="list-style-type: none"> <li>Accounts Payable</li> <li>Accounts Receivable (Renewals)</li> <li>Banking Transactions &amp; Investments Reconciliation</li> <li>General Ledger</li> <li>Month-end Closing &amp; Analysis</li> </ul> <p><a href="#">Financial Planning &amp; Investments</a></p> <ul style="list-style-type: none"> <li>Budget</li> <li>Forecasting</li> </ul> <p><a href="#">Financial Reporting</a></p> <ul style="list-style-type: none"> <li>Financial Statements – Audited</li> <li>Council &amp; Executive Reports</li> <li>Journal Entries</li> <li>Delegation of</li> </ul>	<p><a href="#">Governance</a></p> <ul style="list-style-type: none"> <li>Enabling Legislation, Incorporation &amp; By-laws</li> <li>Council &amp; Committee members’ records (includes non-council appointments)</li> <li>Professional Members &amp; Working Groups</li> <li>Council Meeting Records</li> <li>Council meeting Records –In camera</li> <li>Policies &amp; Procedures - Governance</li> <li>Position Statements</li> <li>Reports to Council</li> <li>Statutory, Standing &amp; Ad Hoc Committees</li> </ul>	<p><a href="#">Advice</a></p> <ul style="list-style-type: none"> <li>Practice Advice</li> </ul> <p><a href="#">Registration</a></p> <ul style="list-style-type: none"> <li>Applications –In Progress</li> <li>Applications-Closed</li> <li>Applications-Refused</li> <li>Applications-Clinic Name</li> <li>Applications-Health Profession Corporation</li> </ul> <p><a href="#">Registration-Membership Management</a></p> <ul style="list-style-type: none"> <li>Member Files</li> <li>Members’ Public Register</li> <li>Registration – Equivalency</li> </ul> <p><a href="#">Qualifying Examination</a></p> <ul style="list-style-type: none"> <li>Potential Candidate Files</li> <li>Candidate Files</li> </ul>



ADMINISTRATION	COMMUNICATION & STAKEHOLDER RELATIONS	EMPLOYEE MANAGEMENT	FINANCIAL MANAGEMENT	GOVERNANCE/LEGAL	MEMBER MANAGEMENT
<p>System Maintenance &amp; Reports</p> <ul style="list-style-type: none"> <li>• Service Tickets</li> </ul>			<p>Authority</p> <p><u>Audit</u></p> <ul style="list-style-type: none"> <li>• Year End Audit – Working Papers</li> <li>• Year End Audit – Final Submission to Auditor</li> </ul> <p><u>Payroll Administration</u></p> <ul style="list-style-type: none"> <li>• Time &amp; Attendance Reporting</li> <li>• Payroll Processing</li> <li>• Payroll Remittances</li> </ul> <p><u>Tax Management</u></p> <ul style="list-style-type: none"> <li>• Tax Returns/Federal &amp; Provincial – Final Filed</li> </ul> <p><u>Procurement</u></p> <ul style="list-style-type: none"> <li>• Supplier Contract Management</li> </ul>	<ul style="list-style-type: none"> <li>• Standards of Practice</li> </ul> <p><u>Elections Management</u></p> <ul style="list-style-type: none"> <li>• Elections</li> </ul> <p><u>Legal</u></p> <ul style="list-style-type: none"> <li>• Agreements/ Contract &amp; Leases</li> <li>• Insurance Policies</li> <li>• Legal Advice &amp; Opinions</li> <li>• Strategic Planning</li> <li>• Strategic Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Qualifying Exam –Administration</li> <li>• Qualifying Exam – Development</li> <li>• Qualifying Exam-Appeals</li> </ul> <p><u>Professional Conduct</u></p> <ul style="list-style-type: none"> <li>• Complaints Inquiries</li> <li>• Conduct Concerns</li> <li>• Discipline Committee</li> <li>• Fitness to Practice</li> <li>• Reports</li> <li>• Registrar’s Investigations</li> <li>• Unauthorized Practice</li> <li>• Professional Conduct Appeals</li> </ul> <p><u>Quality Assurance</u></p> <ul style="list-style-type: none"> <li>• Random Selection</li> <li>• QA Program Development</li> <li>• Assessment - Administration</li> </ul>



<b>ADMINISTRATION</b>	<b>COMMUNICATION &amp; STAKEHOLDER RELATIONS</b>	<b>EMPLOYEE MANAGEMENT</b>	<b>FINANCIAL MANAGEMENT</b>	<b>GOVERNANCE/LEGAL</b>	<b>MEMBER MANAGEMENT</b>
					<ul style="list-style-type: none"><li>• Continuing Professional Development Compliance</li><li>• Self Assessment Tool Compliance</li><li>• Refresher &amp; Remediation Courses</li></ul>





## Classification and Retention Schedules

### Administration

Records relating to administrative function of departments and programs such as records relating to general office information such as, office administration records, internal and staff committee meetings, minutes, agendas, project management, templates and forms, library and reference materials and includes information technology activities.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Correspondence Management</b>						
<b>Administrative Office Records</b> Records relating to daily or regular (routine) operational activities including business processes, annual recurring activities, general work plans, calendars where no other subject-specific record series already exists.	By topic or subject	All	CY + 3	Destroy	Internal	
<b>Internal Support</b>						
<b>Logs</b> Records relating to keeping track of mail sent or received by the College including mail and evidentiary logs.	By date	All	CY + 3	Destroy	Internal	
<b>Policies &amp; Procedures-Administrative</b> Records relating to the production and authorization of prescribed organization wide and departmental focused policies, procedures and business processes within CDO.	By function, then by subject. For example: <ul style="list-style-type: none"> <li>• Qualifying Exams</li> <li>• Registration</li> <li>• QA</li> <li>• Operational</li> </ul>	Registrar	S/O +1	Destroy	Internal	
<b>Reference Resources</b> Records relating to the management of external publications such as library material used for reference purposes, fee guides,	By name of publication	All	S/O	Destroy	Internal	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<p>newspaper clippings. Also includes the management of office subscriptions, books, and digital publications purchased by staff or Departments/Programs. This includes subscriptions for professional newsletters, printed and electronic journals, business and news periodicals, and book orders.</p>						
<p><b>Technical User Manuals</b> Records relating to operating instructions and manuals such as Trodat Numbering machine, coffee maker, postage meter, printer/photocopier, website content management and SharePoint Configuration.</p>	<p>By name of device</p>	<p>All</p>	<p>S/O S/O = when equipment is retired or updated</p>	<p>Destroy</p>	<p>Internal</p>	
<p><b>Templates &amp; Forms - Blank</b> Records relating to CDO business where a blank master document provides a standard format for data collection and formatting or provides a best practice format for document creation. Records may include employee and volunteer forms, vacation, lieu and personal days templates, house monthly timesheet templates and honoraria/expense forms to mention a few.</p>	<p>By function and then name of template Alphabetical by topic</p> <p><i>Administrative</i></p> <ul style="list-style-type: none"> <li>• Records Management Forms</li> </ul> <p><i>Communications</i></p> <ul style="list-style-type: none"> <li>• PowerPoint template</li> </ul> <p><i>Finance</i></p> <ul style="list-style-type: none"> <li>• Expenses Claim Form</li> </ul> <p><i>Human Resources</i></p> <ul style="list-style-type: none"> <li>• Benefits claim forms</li> </ul>	<p>All</p>	<p>S/O</p>	<p>Destroy</p>	<p>Internal</p>	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
	<p><i>Registration</i></p> <ul style="list-style-type: none"> <li>• Certificate of Professional Conduct</li> <li>• Application forms (Forms A, B, C, D, checklist; professional corporation; renewals)</li> </ul>					
<b>Meetings Management</b>						
<p><b>Meetings &amp; Committees-Internal</b></p> <p>Records relating to staff meetings and committees of CDO staff that are not related to council or committees of council. Documents may include meeting agendas, terms of reference, membership list, minutes for such committees, etc.</p> <p><b>FOR: <a href="#">Statutory/Standing &amp; Ad Hoc Committees</a></b></p> <p><b>FOR: <a href="#">Council Meetings</a></b></p>	By name of meeting	All	CY+3	Destroy	Internal	
<b>Project Management</b>						
<p><b>Projects</b></p> <p>Records relating to staff projects and research activities such as research for various regulatory programs, policies, competency</p>	By name of project	All	<p>T/E + 6 years</p> <p>T/E = when project</p>	Archival Selection before destruction	Internal	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
profiles, etc. Records may include project charter and scope, terms of reference, project plan, project timelines or schedules, feasibility studies, progress reports, case studies, cost information, correspondence, working notes, and final project report as examples.			completed			
<b>Information Technology</b>						
<p><b>Computer System Access &amp; Controls</b> Records relating to the security and confidentiality of CDO’s online information resources located in the User Authentication System, Network Drives, and specific application/system configuration. Includes information about computer security practices and tools. Documents may include, computer security records, security audit report and passwords.</p>	<p>By name of system/Subject</p> <ul style="list-style-type: none"> <li>passwords</li> </ul>	<p>Manager, Council and Corporate Services</p>	S/O+3	Destroy	Confidential	
<p><b>Computer System Maintenance &amp; Reports</b> Records relating to the maintenance of CDO’s information technology systems and hardware. Documents may include device inventory, website maintenance and support from service provider, and system reports.</p>	<p>By name of report/Subject</p> <ul style="list-style-type: none"> <li>Device Inventory</li> <li>Patch Compliance Report</li> <li>Managed Services/Health Report</li> <li>Asset Summary Report</li> </ul>	<p>Manager, Council and Corporate Services</p>	CY+3	Destroy	Internal	
<b>Service Tickets</b>	BY type of issue	Manager,	CY+1	Destroy	Internal	



**Records and Information Management Program**

*Classification Structure and Retention Schedule*

<b>RECORD SERIES</b>	<b>FILING METHODOLOGY</b>	<b>ACCOUNTABILITY</b>	<b>TOTAL RETENTION</b>	<b>DISPOSITION</b>	<b>SECURITY CLASSIFICATION</b>	<b>CITATIONS/ COMMENTS</b>
Records (tickets) relating to tracking computer end-user problems and requests (including access requests) and the action taken to resolve the problems.		Council and Corporate Services				



## Communications & Stakeholder Relations

The function of managing communications at the College of Denturists of Ontario including media, public, and stakeholder relationships and event planning and logistics. Records include branding, media relations, and the coordination of print and electronic publications such as those on websites, video and social media forums.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Communications Support</b>						
<b>Branding</b> Records relating to the planning, development and administration of the corporate identity. Records may relate to design elements, logos, wordmarks, letterhead design, branding and visual identity guidelines. Includes approved logo masters used to create corporate documents and signs and plain language resources.	Alphabetical by subject	Manager, Council and Corporate Services	S/O	Archival Selection before destruction	Public	
<b>Contact Lists</b> Listing of contacts and/or mailing lists of individuals who are employees or have dealings with CDO.	Alphabetical by name of organization  Employees  Media contact lists	All	S/O	Destroy	Internal	
<b>Published Program/Promotional Materials</b> Records relating to the production of print or digital CDO publications including the development, design, and editing of books, pamphlets, articles, guides, newsletters, social media, E-blasts, posters, pins, business cards, calendars, Contact Update, and other publications, as well as revised versions.	By name of Promotional Material	Manager, Council and Corporate Services	S/O +1	Archival Selection	Public	Note: CDO should ensure that a master copy of printed publications is retained or converted to PDF/A.
<b>Website/Social Media Content Management &amp; Analytics</b>	Alphabetical by type of topic	Manager, Council and	Supersede d/	Archival Selection	Public	Note: CDO should ensure that a



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
Records relating to the management of the web and social media through source files and web analytics including web postings, the measurement, collection, analysis and reporting of Internet data for the purposes of understanding and optimizing Web usage and social media. Analytics may study the habits and behaviour of users, stakeholders, partners and trends. Records may also include approved material copy, registrar’s review of copy, working copies and major website updates and Frequently Asked Questions (FAQs).		Corporate Services	Obsolete +1			master copy of major changes either in content or design is retained for historic purposes.  ON-37
<b>Education &amp; Outreach</b>						
<p><b>Events</b> Records relating to the logistics of events, meetings, training, orientations, etc. The records document administrative arrangements (e.g. logistics, planning, advertising). Records may include but are not limited to records, invitations, venue bookings, catering, sign-in sheets arrangements, accommodation and transport arrangements, participant registrations, and related background material. May also include correspondence with third-party vendors.</p> <p>Events include webinars, committee and member training, etc.</p>	<p>Alphabetical by name of event type then coordination activity:</p> <ul style="list-style-type: none"> <li>• Speaker coordination</li> <li>• Material preparation</li> <li>• Expenses tracking</li> <li>• Results</li> <li>• Dietary requests</li> <li>• Catering</li> <li>• Invitations</li> <li>• Facility &amp; Room bookings</li> </ul>	All	<p>T/E+2</p> <p>T/E = Completion of the event</p>	Archival Selection before destruction	Internal	
<b>Media</b>						



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<p><b>Media Relations</b> Records relating to the fostering of positive and ongoing relationships with news media, government and members and the promotion of the CDO and its role in fostering standards and positive community relations. Records may include background information such as key message development material and media response, media kits, correspondence, press releases, news clippings, briefing notes and media announcements.</p>	Alphabetical by subject	Manager, Council and Corporate Services	CY+6	Archival Selection before destruction	Public	
<p><b>Photos</b> Photographs relating to CDO events, staff and stakeholders (i.e. iStock). Includes consent release forms.</p>	Alphabetical by subject	Manager, Council and Corporate Services	CY+6	Archival Selection before destruction	Public	
<p><b>Presentations &amp; Speeches</b> Records relating to presentations and speeches prepared and/or delivered by staff or Council and committee members to external parties at special events, conferences and other public events.</p>	Alphabetical by Subject, then by Event Name, then by Date	All	CY+6	Archival Selection before destruction	Public	
<b>Stakeholder Relations</b>						
<p><b>Government / Intergovernmental Relations &amp; Regulatory Bodies</b> Records relating to federal, provincial, municipal government departments, commissions, boards, regulatory bodies, authorities and related agencies whose functions may impact on, or be involved with CDO's administration and operations. Subjects may include consultations on initiatives,</p>	By name of government body  CIHI  HPDB  HPRO (Health Profession Regulators)	All	CY+6	Destroy	Internal	ON-34





RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<p>government requested feedback on submissions, reports, etc, the exchange of information, routine notifications and inquiries and offers of service.</p>	<p>of Ontario)</p> <p>OFC (Office of the Fairness Commissioner</p> <p>MOHLTC</p> <p>Regulatory Colleges</p> <ul style="list-style-type: none"> <li>• College of Dental Technologists</li> </ul>					
<p><b>Universities, Colleges &amp; Organizations</b> Records relating to the relationships and formal partnerships with universities, associations and other external organization whose functions may impact on, or are involved with CDO. Records may include agendas, minutes, presentations, mentorship programs, research projects, student placements, etc.</p>	<p>By name of University/College/ Organization</p> <p><b>Colleges</b></p> <ul style="list-style-type: none"> <li>• George Brown</li> <li>• Oxford</li> <li>• Georgian</li> </ul> <p><b>Organizations</b></p> <ul style="list-style-type: none"> <li>• Denturists Association of Ontario (DAO)</li> <li>• Denturist Group of Ontario (DGO)</li> <li>• Denturist Association</li> </ul>	All	CY+6	Destroy	Internal	



**Records and Information Management Program**

*Classification Structure and Retention Schedule*

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
	of Canada (DAC)					



## Employee Management

The function of managing the College of Denturists of Ontario’s employees and their relationship with the organization. Activities included defining the organization through organization charts and job descriptions, recruitment, benefits administration, and employee training and skills development.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Recruiting &amp; Selecting</b>						
<b>Job Descriptions</b> Records relating to identifying the positions within CDO and detailing job specifications, duties and responsibilities and performance expectation levels.	By name of position	Registrar	S/0 +1	Destroy when superseded or obsolete	Public	
<b>Staff Positions</b> Records relating to staffing positions. Includes resumes, job applications, requisite approvals to begin the search, position descriptions, internal and external job postings/ advertisements, etc. May include interview formats and questions, rating and ranking materials, candidates’ written consent to check references, reference check information, applications for employment and rejection letters where applicable.	By job title	Registrar	CY+1	Destroy	Confidential	PI  Successful candidate information moves into employee file
<b>Staff Management</b>						
<b>Accessibility for Ontarians with Disabilities Act</b> Records include compliance letters, contract inquiries, correspondence, accessibility audits and employment standards.	By date	All	CY+2	Destroy	Internal	ON-7
<b>Employee Files</b> Records relating to the work history of employees. Records may include performance	Alphabetically by employee last name	Registrar	T/E+ 3 T/E = terminatio	Destroy	Confidential	PI ON-18, On-19, ON-20



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
appraisals, employee application, exit interview, certificates for the completion of training, and group insurance enrolment forms, Workplace Safety and Insurance Board (WSIB) information, return to work or employment accommodation plans, disciplinary letters, accident information, grievance and appeal information and return to work documents.			n of employment			
<b>Training &amp; Skills Development</b>						
<p><b>Training and Development Courses</b>            Records relating to staff training and development for staff or program contractors, including the planning and funding of training, conferences and seminars, includes employee onboarding, etc.</p>	Alphabetically by type of training and name of person ORAC workshop Quality Assessor Item Writing Materials workshop	All	CY + 2	Destroy	Internal	ON-40, ON-42



## Financial Management

The function of managing the financial resources of College of Denturists of Ontario through the execution of financial transactions and accounting processes including the receipt, control, and expenditure of funds and the reporting and auditing of results.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Accounting Administration</b>						
<b>Accounts payable</b> Records relating to the processing of payables and payments made by CDO. Records may include cheque requisitions, purchase requisitions, purchase order and payment approvals, cheque copies, vendor, council, assessor and other invoices, credit card statements, travel expense claims, employee expenses, petty cash and contract instalment payments.	By fiscal year, then alphabetical by vendor name	Manager, Council and Corporate Services	FY+6	Destroy	Confidential	PI  FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16
<b>Accounts Receivable (Renewals)</b> Records relating to the processing of receivables mainly those of registrants at annual renewal, professional corporation renewals, and certificates of professional conduct. Records may include invoices, a copy of the cheque received, batch deposit details and summaries, daily payment journals and reports and other backup information.	By fiscal year, then alphabetical by vendor name	Manager, Council and Corporate Services	FY+6	Destroy	Confidential	PI  FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16
<b>Banking Transactions &amp; Investments Reconciliation</b> Records relating to banking and account reconciliation such as the reconciliation of bank statements and investment accounts. Records may include electronic funds/wire transfers, confirmations, stop payments, bank	By fiscal year, then banking institution/ account number	Manager, Council and Corporate Services	FY+6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
statements, cancelled cheques and bank reconciliations, Quick book deposit register and payment journal.						
<b>GENERAL LEDGER</b> Records relating to all financial accounts and statements summarizing year over year financial transactions. Records include all books of original and final entry summarizing year over year transactions. Also includes the chart of accounts.	By fiscal year	Manager, Council and Corporate Services	LOC+2	Destroy	Internal	FD-10
<b>Month End Closing &amp; Analysis</b> Records relating to month end close. Records include month-end process checklist, statement of financial position, statement of operations, expense analysis, and accrued liability schedule and adjustments.	By fiscal year, then month	Manager, Council and Corporate Services	FY+6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16
<b>Financial Planning &amp; Investments</b>						
<b>Budget</b> Records relating to the creation of budgets for CDO cost centre. Records include the Budget performance (BP) and expense analysis by account (ED) reports, and budget analysis. Also includes budget change requests, budget worksheets, quarter over budgets & reports and the approved budget.	By fiscal year, then cost centre	Manager, Council and Corporate Services	FY +6	Destroy	Confidential	
<b>Forecasting</b> Records relating to checking CDO's cash positions and ensuring that the required liquidities are available to meet upcoming transactions. Records relating to tracking financial reserves, including investments,	By fiscal year	Manager, Council and Corporate Services	FY+2	Destroy	Internal	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
reconciliations and cash flows in order to monitor the existing cash balance including liquid cash reserves. Records include cash management daily reports, cash position forecasting and supporting documentation.						
<b>Financial Reporting</b>						
<b>Financial Statements – Audited</b> Records relating to the final, audited year-end financial statements. Records include the year end audited financial statements and notes to the statements.	By fiscal year	Registrar	p	Permanent	Public	ON-5
<b>Council &amp; Executive Reports</b> Records relating to financial reporting to Executive and Council. Records include balance sheets, budgets, annual investment reports.	By fiscal year and then by type of document	Registrar	FY + 6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, ON-13, ON-16
<b>Journal Entries</b> Records relating to accounting information for business transactions. Entries are made in a journal and then posted to the ledger. May include completed journal voucher forms, all background documentation used to substantiate journal entries, journal entry detail reports, and year end journal entries.	By fiscal year	Manager, Council and Corporate Services	FY + 6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16
<b>Delegation of Authority</b> Records relating to the reviewing, notification and acceptance of individuals to be awarded delegation responsibilities assigned by corporate policy. Records related to sub-delegations and revocations.	By document type: <ul style="list-style-type: none"> <li>Banking authorities</li> <li>Powers of Attorney</li> <li>Signing Authority</li> </ul>	Registrar	S/O+1  S/O= when delegation of authority is changed	Destroy	Internal	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Audit</b>						
<b>Year-end audit – working papers</b> Records relating to all financial accounts and statements summarizing year over year financial transactions. Records include all books of original and final entry summarizing year over year transactions. Also includes the chart of accounts.	By fiscal year	Manager, Council and Corporate Services	FY+6	Destroy	Confidential	
<b>Year-end audit – final submission to auditor</b> Records relating to finalized CDO audit by the external auditor for the annual report.	By fiscal year	Registrar	FY+6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16, ON-32
<b>Payroll Administration</b>						
<b>Time &amp; Attendance Reporting</b> Records relating to vacation/sick days taken by CDO staff. It may include attendance records timesheets, and schedules.	By year, then pay run date	Manager, Council and Corporate Services	CY+6	Destroy	Confidential	PI ON-24
<b>Payroll Processing</b> Records relating to the regular entry, posting and reconciliation of employee payroll, committee members, professional members and working groups such as payroll audit reports, payroll stub confirmation, Records of Employment (ROE), TD1, T4, T4A, payroll transfers, timesheets, Canada Savings Bonds and relevant Statistics Canada reports. This includes the production of an employee record detailing deductions including family support (garnishments), pay and termination of pay at the end of employment. Includes the payroll register.	By year, then alphabetically by document type and date	Manager, Council and Corporate Services	CY+6	Destroy	Confidential	PI FD-1, FD-2, FD-3, FD-5, FD-6, FD-9, ON-13, ON-22





RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<p><b>Payroll – Remittances</b> Records relating to the annual summaries of year-end reporting to government (reconciliation for the year) such as to Canada Revenue Agency (CRA), Workers’ Compensation, Employee Health Tax.</p>	By year	Manager, Council and Corporate Services	CY+6	Destroy	Confidential	FD-1, FD-2, FD-3, FD-5, FD-6, ON-16, ON-17
<b>Tax Management</b>						
<p><b>Tax returns/federal &amp; provincial - final filed</b> Records relating to the preparation and submission of statutory income tax filings. Includes tax filings and returns, assessment notices, notice of objections, working papers, reconciliations and supporting schedules.</p>	By fiscal year	Registrar	FY+6	Destroy	Internal	FD-1, FD-2, FD-3, FD-12, FD-16, ON-13, ON-16
<b>Procurement</b>						
<p><b>Supplier Contract Management</b> Records relating to the negotiation of contracts and the management of the engagement with bidders whether successful, unsuccessful, cancelled or abandoned. Records include RFPs, RFQs, RFIs responses, bid submission documents, evaluation matrices, business cases, Q&amp;A’s, purchase justification, draft contract correspondence, purchase order change requests and related documentation.</p> <p>For: Executed contract Agreements <b>SEE:</b> <a href="#">Agreements/Contracts/Leases-Executed</a></p>	By RFP (RFI, RFQ) number	Manager, Council and Corporate Services	T/E +6  T/E= contract completed or termination	Destroy	Confidential	



## Governance/Legal

Records relating to the ways in which CDO is governed and regulated to ensure accountability, transparency, and compliance with statutory requirements. Records include bylaws, statutory and sub-committee agendas and minutes, reports to council and legal records such as agreements and contracts and legal opinions and advice.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Governance</b>						
<b>Enabling legislation &amp; Incorporation &amp; by-laws</b> Records relating to approved by-laws and regulations set by council. Also includes the College's incorporation documentation	By name of by-law/regulation & number	Registrar	Permanent	Permanent	Public	ON-4
<b>Council &amp; Committee Members' Records (includes non-council appointments)</b> Records relating to information created, received, and used to document board members' records including applications, advertising vacancies, receiving nominations for board membership and facilitating appointments, instituting board member files containing profiles biographies, reference letters, conflict of interest, correspondence, board member mailings, attendance, honoraria, public appointment letters to MOHLTC, Thank you letters of appreciation, , etc. Also includes orientating new directors to their roles and responsibilities.	Alphabetical by Committee member name	Registrar	CY+3	Destroy	Confidential	PI FD-1, FD-2, FD-3, FD-5, FD-6, ON-13, ON-22, ON-28
<b>Professional Members &amp; Working Groups</b> Records relating to staffing other positions such as mentors, Peer Assessors, clinical exam evaluators, Peer Circle facilitators, Peer/Practice assessors, etc. Includes resumes,	By Group Name/then alphabetical by member name	Registrar	CY+3	Destroy	Confidential	PI FD-1, FD-2, FD-3, FD-5, FD-6, ON-13, ON-22, ON-28



job applications, requisite approvals to begin the search, position descriptions, tests, internal and external job postings/ advertisements, tests, etc. May include interview formats and questions, rating and ranking materials, candidates' written consent to check references, reference check information, applications for employment and rejection letters where applicable.						
<b>Council Meeting Records</b> Records relating to council meetings including teleconferences such as terms of reference, council structure and term dates, member listing and attendance, consultations such as advertising and conflict of interest, agenda, minutes, action lists & motions, attachments, council highlights, briefing notes, backgrounders, council packages and annual report and orientation packages. Also includes any Special General Meetings.	By date	Registrar	Permanent	Permanent	Internal	ON-5, ON-28
<b>Council Meeting Records – In-Camera</b> Records relating to minutes taken during a closed session.	By date	Registrar	Permanent	Permanent	Confidential	ON-5, ON-28
<b>Policies &amp; Procedures – Governance</b> Records relating to College wide governance and regulatory policies used to guide the decisions and actions of CDO. May include working drafts and background information.	By name of policy Governance process Executive Limitations Council-Registrar delegation policies Remuneration	Registrar	Archival	Archival	Internal	ON-4
<b>Position Statements</b> Records relating to CDO ministry submissions and responses including stakeholder feedback	By topic	Registrar	AS	Archival Selection before	Public	



<p>to government and other health care professionals and the public in the form of submissions, briefs, discussion papers.</p>				destruction		
<p><b>Reports to Council</b> Records relating to all reports to council such as Registrar’s report, annual report, insurance audit, audit report, legal audit, security audit, monitoring reports for financial condition, evaluation reports, etc.</p>	<p>By name of committee Executive Registration Quality Assurance Inquiries, Complaints &amp; Reports Discipline Fitness to Practice Patient Relations Examinations (Qualifying and Appeals)</p>	Registrar	Archival	Archival	Internal Public for annual report, strategic plan, evaluation reports, President and Registrar’s reports	ON-5
<p><b>Statutory, Standing &amp; Ad Hoc Committees</b> Records relating to terms of reference, agenda, minutes of meetings, attachments, briefing notes, action lists, orientation packages, pre-meeting notes, teleconferences, attendance register, and orientation packages</p>	<p>By name of Committee or sub-committee then document type</p> <ul style="list-style-type: none"> <li>• Discipline</li> <li>• Executive</li> <li>• Fitness to Practise</li> <li>• Inquiries, Complaints &amp; Reports</li> <li>• Patient Relations</li> <li>• Quality Assurance</li> <li>• Qualifying Examination</li> </ul>	All	Permanent	Permanent	Internal  PUBLIC – Agenda and minutes of statutory committees available upon request.	ON-5, ON-9, ON-28



	<ul style="list-style-type: none"> <li>• Qualifying Examination Appeals</li> <li>• Registration</li> </ul>					
<p><b>Standards of Practice</b>            Records relating to official CDO standards of practice, guides, guidelines and essential competencies. May include working drafts and background information.</p>	By name	Registrar	Archival Selection	Archival = Standards of practice, guides, guidelines and essential competencies  Archival Selection for background information	Public: Standards of practice, guides, guidelines and Essential Competencies  Internal: Working drafts and background information	ON-4, ON-36
<b>Elections Management</b>						
<p><b>Elections</b>            Records relating to calls for non council nominations, slate of candidates, nomination letter, nomination forms, notice of elections, voting packages, biographies, ballot counts, and resumes of candidates, statements of intent, post-election letters , (congratulations &amp; decline letters), acclamation letters, election results and complaints.</p>	By year and then by district	Registrar	CY+4	Destroy	Internal	
<b>Legal</b>						
<b>Agreements / Contracts/Leases-Executed</b>	Agreement of	Registrar	T/E+6	Destroy	Confidential	PI



Records relating to agreements between CDO and its partners and stakeholders.	Internal Trade Assessor contracts Confidentiality Agreements ICRC Investigators IT Licencing Letters of Understanding Vendor Agreements		T/E= when agreement terminated or cancelled			ON-1
<b>Insurance Policies</b> Records relating to insuring CDO against risk and fiscal exposure. Records include insurance policies such as general liability, umbrella liability, cyber liability, employee insurance policies such as dental, etc., and other miscellaneous policies. Also includes insurance statement of values applications, insurance policy renewals, CDO's certificates of insurance and related information.	By type of insurance	Registrar	T/E + 3 years  T/E= expiry of policy and no further liability outstanding	Destroy	Confidential	ON-1, ON-43, ON-44
<b>Legal Advice &amp; Opinions</b> Records relating to opinions and advice provided by legal counsel to document the specific legal opinion or advice provided.	By topic  Council Conduct Professional Corporations Registration	All	Permanent	Permanent	Confidential	
<b>Strategic Planning</b>						
<b>Strategic Plan</b> Records relating to strategic planning designed to assess and adjust CDO's direction and to determine its visions and future objectives with the final product being the	By year	Registrar	CY+10 years	Archival Selection before destruction	Public	



strategic plan.						
<b>Records &amp; Document Management</b>						
<p><b>Records Classification and Retention Schedules</b>            Records relating to the Records Classification and Retention Schedule (RCRS) used to identify CDO's records. Records may include the current and past versions of the RCRS, important materials about the development and approval of the RCRS, applicable legislation, and all supporting correspondence.</p>	By year updated	Manager, Council and Corporate Services	S/O + 1 year S/O = when updated	Destroy	Public	ON-9
<p><b>Records Destruction Certificates</b>            Records relating to records destruction certificates, which attest to the destruction of records on any media such as paper, microform and electronic records, in accordance with the RCRS. Records may include records destruction certificates, applications for records destruction, destruction notices, and records destruction statistics and reports.</p>	First by year, then by series	Manager, Council and Corporate Services	E+5 years  E = Date of dissolution of Professional Corporation	Destroy	Public	ON-9



## Member Management

Programs are responsible for ensuring that Denturists provide dental services in a safe, professional and ethical manner from registering new members, to investigating complaints, and ensuring their continuing education including refresher and remediation courses. Records relate to the services provided by the College including renewal education sessions, examinations, assessments, registration, investigating complaints and disciplining members.

RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Advice</b>						
<b>Practice Advice</b> Records relating to questions from members regarding a broad range of topics such as advertising, incorporation, education, employment, professional designation, patient records, registration, to name a few.	By topic	Manager, Professional Conduct	CY+3	Destroy	Internal	
<b>Registration</b>						
<b>Applications – In Progress</b> Records relating to applications and supporting documentation for registration which includes copy of birth certificate, character affidavit, filing fee forms with photo, education credentials, transcripts, professional liability insurance, regulatory history form.	By status then surname, first name Applicants	Manager, Registration & Qualifying Examinations	Permanent	Permanent	Confidential	PI ON-10, ON-26, ON-33
<b>Applications – Closed</b> Records relating to applications and supporting documentation for registration which includes copy of birth certificate, character affidavit, filing fee forms with photo, education credentials, transcripts, professional liability insurance, regulatory history form, WES reports received with no application, etc.	By status then surname, first name Potential Candidates Candidates Applicants	Manager, Registration & Qualifying Examinations	CY + 6	Return to Applicant	Confidential	PI ON-10, ON-33  This retention period is for applicants who did not pursue registration or who submitted an incomplete application.





RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<b>Applications – Refused</b> Records relating to applications and supporting documentation of applicants who were refused registration.	By surname, first name	Manager, Registration & Qualifying Examinations	Permanent	Permanent	Confidential	PI ON-10, ON-33
<b>Applications – Clinic Name</b> Records relating to applicants applying for a clinic name to be approved by the Executive Committee. Includes clinic name tracker.	By Clinic Name	Manager, Council and Corporate Services	Permanent	Permanent	Confidential	PI ON-10
<b>Applications – Health Profession Corporations</b> Records relating to completed application forms and relating documentation such as articles of incorporation, corporation profile, notice of change forms and renewal information. Includes COA Tracker.	By COA #	Manager, Council and Corporate Services	Resignation of member + 60 years	Destroy	Internal	PI ON-10
<b>Registration – Membership Management</b>						
<b>Member Files</b> Records relating to include general registration information, education records, obtain consent (dental equipment requests), clinical competency exam documentation, insurance policies, registrar review and registration committee decision related to the application, decisions letters from any of the committees, HPARB appeals, case summary, undertakings and any correspondence related to Terms, Conditions and Limitations (TCL) also includes change of status reinstatements. Also includes records in in1touch	By registration #, surname, first name and status Active Resigned Suspended Deceased Revoked Expired	Manager, Registration & Qualifying Examinations	Permanent	Destroy	Confidential	PI ON-10, ON-33
<b>Members’ Public Register</b>	By Member name	Manager,	E+ 100 years	Destroy	Public	ON-26



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
Records relating to the online members' public register that provides registration status, discipline history, if any and employer contact information.		Registration & Qualifying Examinations	E= + 100 years (Event = Record created; no longer private).			
<b>Registration – Equivalency</b> Records relating to academic equivalency or academic program accreditation, including records related to process development, for determining equivalency to the Registration requirement that the applicant must have a diploma in denture therapy or denturism from George Brown College of Applied Arts and Technology.	By process name	Manager, Registration & Qualifying Examinations	CY +50	Destroy	Internal	
<b>Qualifying Examination</b>						
<b>Potential Candidate Files</b> Records relating to requests for academic assessments including credential reports, transcripts, diplomas, course outlines, initial application, payment information, affidavits, file summaries and Registration Committee decisions and reasons.	By surname, first name	Manager, Registration & Qualifying Examinations	Permanent	Permanent	Permanent	PI
<b>Candidate Files</b> Records relating to applications for writing exams which includes examination registration forms, application fee payment, performance reports, letters to candidates, result letters, and successful/unsuccessful candidates, etc.	By surname, first name	Manager, Registration & Qualifying Examinations	Permanent	Permanent	Confidential	PI
<b>Qualifying Exam – Administration</b> Records relating to the administration of the	By date of exam/summer/winte	Manager, Registration &	CY+10	Destroy	Confidential	



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
examination including specific cases/questions for that administration. The examination schedule, QE assessor assignments; exam instructions, marking sheets and exam booklets specific to that administration; scanned candidate checklists.	r	Qualifying Examinations				
<b>Qualifying Exam – Development</b> Records relating to the development of exams and clinical exam materials such as OSCE case materials, MCQ materials, physical models, research, concerns with previous exams, etc.	By date of exam	Manager, Registration & Qualifying Examinations	CY+10	Destroy	Internal	
<b>Qualifying Exam – Appeals</b> Records relating to appeals which include a written submission and payment fee for those who feel they were treated unfairly or if there were any other significant irregularities in the examination process.	By surname, first name	Manager, Registration & Qualifying Examinations	Permanent	Permanent	Confidential	PI
<b>Professional Conduct</b>						
<b>Complaints</b> Records relating to complaints initiated against a Denturist such as the letter of complaint, acknowledgement letter informing Denturist of complaint, investigation materials, response from Denturist. May also include resolution of complaint including panel decisions and reasons. Also includes undertakings, agreements to resign, mandatory reports and Specified Continuing Educational or Remediation Program (SCERP) and oral cautions.	By registration #, surname, first name Correspondence Record of Investigation Privilege	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-6, ON-9, ON-25, ON-35
<b>Inquiries</b>	By registration #,	Manager,	Permanent	Permanent	Confidential	PI



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
Records relating to member capacity and competence inquiries	surname, first name Correspondence Record of Investigation	Professional Conduct				ON-6, ON-9, ON-25
<b>Conduct Concerns</b> Records relating to concerns expressed about a member’s conduct where no complaint is filed. Intake is not completed, and information does not establish reasonable and probable grounds for Registrar Investigation. Records relating to reports received from the public addressing issues such as advertising where a Denturist is involved. These matters are handled informally by the Registrar.	By registration #, surname, first name	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI
<b>Discipline Committee</b> Records relating to ICRC referrals to the Discipline Committee dealing with allegations of professional misconduct or incompetence for registrants. Also includes reinstatement hearing documentation for Certificates of Registration that have been revoked for conduct. Includes Hearing and Exhibits that are the result of a discipline hearing, such as Agreed Statements of Fact, Joint Submissions on Penalty, Written Pleas, Notices of Hearing and Affidavits of Service, and any other evidence tendered and accepted as an exhibit by the Discipline Committee in a hearing. Hearing documents include the Decision and Reasons, transcripts of the proceeding, as well as Orders of the committee.	By registration #, surname, first name Hearings/Exhibits Disclosures (investigation)	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-3, ON-6, ON-9, ON-25, ON-39, ON-41
<b>Fitness to Practice</b>	By registration #,	Manager,	Permanent	Permanent	Confidential	PI



<b>RECORD SERIES</b>	<b>FILING METHODOLOGY</b>	<b>ACCOUNTABILITY</b>	<b>TOTAL RETENTION</b>	<b>DISPOSITION</b>	<b>SECURITY CLASSIFICATION</b>	<b>CITATIONS/ COMMENTS</b>
Records relating to ICRC referrals to Fitness to Practice Committee concerning Denturists who may be suffering from a physical or mental incapacity.	surname, first name	Professional Conduct				ON-6, ON-9, ON-25
<b>Reports</b> Records related to registrar reports and others. Records could include investigator’s report, anonymous reports (if there are reasonable and probable grounds for an investigation), self-declarations of criminal offences or unauthorized practice, mandatory reports from employers, and matters that come to the attention of the ICRC.	By registration #, surname, first name	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-6, ON-9, ON-25, ON-41
<b>Registrar’s Investigations</b> Records relating to Registrar’s investigations when an investigator is appointed,	By registration #, surname, first name	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-6, ON-25
<b>Unauthorized Practice</b> Records relating to non-registrants working as a Denturist, or using the College’s protected titles or abbreviations, or holding themselves out as a denturist. Cease and desist letters are sent for those unauthorized to practise.	By surname, first name Correspondence Record of Investigation Privilege	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-6
<b>Professional Conduct Appeals</b> Records relating to HPARB appeals connected to complaints matters. Matters that have been appealed to the appellate courts (Divisional Court, Court of Appeal of Ontario and the Supreme Court of Canada). Records relating to discipline appeals and fitness to practice appeals (Divisional Court, Court of Appeal of Ontario and the Supreme	By registration #, surname, first name	Manager, Professional Conduct	Permanent	Permanent	Confidential	PI ON-6



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
<p>Court of Canada).</p> <p>For Registration Appeals  <b>SEE:</b> <a href="#">Registration-Member Records</a></p>						
<b>Quality Assurance</b>						
<p><b>Random Selection</b>  Records relating to the selection letter providing notice to participant informing them of the requirement to participant in a competency review assessment.</p> <p>FOR: Allegations to ICRC  <b>SEE:</b> <a href="#">Reports</a></p>	By registration #, surname, first name	Manager, Regulatory Programs	CY+2	Destroy	Confidential	QA records that may be disclosed— <i>i.e.</i> , if the member knowingly gave false information (see s. 83(2) of the Code) or the QAC refers allegations to the ICRC (see s. 80.2(1)(4))—should be maintained permanently.
<p><b>Quality Assurance (QA) Program Development</b>  Records relating to the development of the Quality Assurance program including environmental scans, drafts of content, updates to report templates, briefing notes.</p>	By Program Component	Registrar	CY + 10	Destroy	Confidential	
<p><b>Assessments – Administration</b>  Records relating to Quality Assurance program assessments containing assessor practice reports (ongoing, on hold) and peer reports, member submissions, clinic assessment lists, questionnaire results, and correspondence.</p>	By registration #, surname, first name	Manager, Regulatory Programs	Permanent	Permanent	Confidential	PI



RECORD SERIES	FILING METHODOLOGY	ACCOUNTABILITY	TOTAL RETENTION	DISPOSITION	SECURITY CLASSIFICATION	CITATIONS/ COMMENTS
Include remediation.						
<p><b>Continuing Professional Development (CPD) Compliance</b> Records related to monitoring and compliance of annual and cycle CPD requirements.</p>	By Annual and/or Cycle, then by Registration #, surname, first name	Manager, Regulatory Programs	Permanent	Permanent	Confidential	PI
<p><b>Self-Assessment Tool (SAT) Compliance</b> Records related to monitoring and compliance of self-assessment requirements</p>	By Cycle, then by Registration #, surname, first name	Manager, Regulatory Programs	Permanent	Permanent	Confidential	PI
<p><b>Refresher &amp; Remediation Courses</b> Records relating to remediation and refresher courses designed for those who require additional support for the purpose to correct or improve deficient skills in a specific subject area to help denturists graduates and practising denturists to meet the same standard as that prescribed qualification for entry to practice. Records include course submissions and approvals, course outline and descriptions, list of course facilitators with credentials.</p>	By name of course	Registrar	CY+5	Destroy	Internal	