

**PROFESSIONAL
ENGINEERS
ONTARIO**

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Subject: Scope Notes/Retention Schedule

Date: November/04

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, warrantees, 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.

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P PUBLICATIONS/PUBLIC RELATIONS

Records related to the publications 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 licences and certificates granted by the organization, including Certificates of Authorization, Consulting Engineer Designations, Licences, Temporary Licences, Limited Licences and Provisional Licences. Also includes examinations of candidates.

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ADMINISTRATION

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A00	Administration – General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
A01	Meetings <u>Includes:</u> Agendas, minutes and background information for staff meetings, departmental meetings, etc. <u>Excludes:</u> Council minutes – C01; Committee minutes – C04; Occupational Health and Safety Committee – H09.	Orig.	C + 2	-	C + 2	May be maintained in electronic form only.	
A02	Activity Reports <u>Includes:</u> Departmental activity reports, monthly and annual summaries of activities, etc. <u>Excludes:</u> Strategic plans – C06; Business plans/budget – F18; Chapter activity reports – M05.	Orig.	C + 2	-	C + 2	May be maintained in electronic form only.	
A03	Security <u>Includes:</u> Building security, access cards, keys, security guards, reports of security breaches, etc. <u>Excludes:</u> Contracts for security services – A14; Security/fire/emergency procedures – C08; Occupational health and safety/accident reports – H09.	Director, Administrative Services	S	-	S	Note: Superseded records are retained for an indefinite period of time until replaced with a new record.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A04	<p>Building Facilities/Maintenance</p> <p><u>Includes:</u> Maintenance and repair, correspondence with building owners, air-conditioning, heating, lighting, parking, recycling, etc. Also includes space planning, renovations, moves, etc.</p> <p><u>Excludes:</u> Premise leases – A15.</p>	Director, Administrative Services	C + 2	-	C + 2		
A05	<p>Equipment/Furnishings</p> <p><u>Includes:</u> Records related to the evaluation, selection and maintenance of equipment such as photocopiers, fax machines, telephones, mailroom equipment, 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><u>Excludes:</u> Computer hardware/software manuals – A06; Purchase and maintenance contracts/warranties/guarantees – A14; Fixed assets – F20; Inventory – F23.</p>	Director, Administrative Services/ Director, Information and Technology Services/ Director, Policy and Communications/ Supervisor, Mailroom/ Facilities	C + 2	-	C + 2	Note: Equipment manuals to be retained as long as equipment operational.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A06	<p>Computer Systems</p> <p><u>Includes:</u> Computer hardware and software manuals, mainframe and pc programming information, system specifications and requirements, LAN administration, etc.</p> <p><u>Excludes:</u> Purchase and maintenance contracts – A14; Programming assistance contracts – A14; Equipment maintenance – A05.</p>	Director, Information and Technology Services	E + 1	5	E + 6	E = until dated from discontinued program is no longer required (consult this schedule for specific retention requirements by data type).	13
A07	<p>Printing/Mailing</p> <p><u>Includes:</u> Internal printing, postal rates, courier records, envelope/packaging requirements, etc.</p> <p><u>Excludes:</u> Payables – F01; Equipment maintenance/repair/manuals – A05; Mailing lists – P16; Purchase and maintenance contracts – A14.</p>	Supervisor, Mailroom/Facilities	C + 1	-	C + 1		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A08 (was A09)	Records Management <u>Includes:</u> File classification scheme, records retention schedule, records destruction authorizations, reports/reviews of future needs, etc.	Director, Administrative Services	S	P	P	Note: Retention schedules and destruction authorizations must be retained; other information may be disposed of earlier.	
A09 (was A10)	Vendors/Suppliers <u>Includes:</u> Catalogues, brochures, correspondence, contact information, etc. from vendors, suppliers of services and equipment; for example, office equipment vendors, photo graphics equipment suppliers, book reviewers, freelance writers/photographers, etc. <u>Excludes:</u> Purchase orders – F01; Purchase and maintenance contracts – A14; Service contracts – A14.	Manager, Purchasing/ Facilities/ Director, Communications Managing Editor/ Senior Graphic Designer	C + 2	-	C + 2		
A10 (was A11)	Travel/Accommodation <u>Includes:</u> Itineraries, hotel bookings, travel arrangements, car rental information, etc. <u>Excludes:</u> Payables – F01.	Orig.	C + 1	-	C + 1		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A11 (was A12)	Forms <u>Includes:</u> Blank forms, letterhead, envelopes, design and revision, production, etc. <u>Excludes:</u> Corporate logo/image – C07; Trademark information – L01.	Senior Graphic Designer	S	-	S	Note: Departments may wish to maintain small quantities of regularly used forms for easy reference. Director, Policy and Communications is not responsible for maintaining stock of forms.	
A12 (was A13)	Chronological Files <u>Includes:</u> Chronological correspondence files or day files.	Orig.	C + 1	-	C + 1	Note: These correspondence copies are maintained for ease of access only – all records should also be filed according to the appropriate classification code.	
A13 (was A14)	External Printing <u>Includes:</u> Records related to external printing of PEO publications/documentation including printing requests, quotations, proofs, original artwork, etc. <u>Excludes:</u> Internal printing – A07; Mailing – A07; Payables – F01; Contracts – A14.	Manager, Purchasing/ Facilities/ Senior Graphic Designer	C + 1	-	C + 1		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A14 (was A15)	<p>Simple Contracts</p> <p><u>Includes:</u> Simple contracts such as maintenance agreements, purchase contracts, personnel contracts, security agreements, computer software licences, function contracts, permits, etc.</p> <p><u>Excludes:</u> Sealed contracts – A15; Trademarks – L01; Claims/cases – L12.</p>	Director, Administrative Services	E + 1	4	E + 5	<p>E = expiry of contract.</p> <p>Note: Copies may reside elsewhere as needed.</p> <p>Registrar may be required to authorize personnel contracts or other agreements.</p>	20
A15 (was A16)	<p>Sealed Contracts</p> <p><u>Includes:</u> Sealed contracts binding PEO and other party(ies) such as leases, financial agreements, etc.</p> <p><u>Excludes:</u> Simple contracts – A14; Trademarks – L01; Claims/cases – L12.</p>	Director, Administrative Services	E + 1	15	E + 16	<p>E = expiry of contract.</p> <p>Note: Copies may reside elsewhere as needed.</p> <p>Registrar authorizes all sealed contracts and agreements.</p>	19, 20

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
A16	Staff Paper Files <u>Includes:</u> Paper 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.	Orig.	C + 1	4	C + 5	Staff from Originating Department review their paper files annually with the privacy office and destroy paper files that are no longer necessary to keep. For paper files that are necessary to keep, send them to storage for 4 years.	
A17	Staff Electronic Files and Databases <u>Includes:</u> Electronic files/databases that are not part of PEO's centralized computer network including contact directories, telephone or action logs, status lists, emails stored locally on the computer, PEO documents stored on desktop computer, PEO files stored on laptop computer, Volunteer Databases. Note: Files should be reviewed prior to destruction for records of historical/archival interest.	Orig.	C + 1	4	C + 5	Staff from Originating Department review their electronic files and databases annually with the privacy office and destroy files/databases that are no longer necessary to keep. For files/databases that are necessary to keep, transfer them to Sharepoint for 4 years.	
A18	LicensEase Database	Director, Information and Technology Services	P	-	P		
A19	Sharepoint Database	Director, Information and Technology Services	C + 5	-	C + 5		

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CORPORATE

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
C00	Corporate – General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
C01	Council Minutes <u>Includes:</u> Agenda, meeting minutes, attachments, background information and audiotapes. <u>Excludes:</u> Committee minutes – C04.	Registrar/ Secretariat	C + 10	P	P*	*Note: Paper version should be maintained in the library for general access. Electronic version may be maintained to enhance access. Other copies can be destroyed after the current year. Audiotapes are destroyed once minutes are verified.	
C02	Council Records <u>Includes:</u> General correspondence, biographical information, orientation of new councillors, briefings, workshops, etc. <u>Excludes:</u> Council Minutes – C01; Elections – C03; Appointments – C09.	Registrar/ Secretariat	C + 2	-	C + 2	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	
C03	Elections <u>Includes:</u> Council elections, potential candidates for election, biographical information, copy of ballot, correspondence with Trust company monitoring election, tabulations, postings, etc. Also includes Referendums. <u>Excludes:</u> Appointments – C09.	Registrar/ Secretariat/ Chief Elections Officer	C + 2	-	C + 2	Note: File should be reviewed prior to destruction for records of historical/archival interest.	11

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
C04	<p>Committee Minutes</p> <p><u>Includes:</u> Agenda, meeting minutes, attachments, background information and audiotapes for all legislated, regulated and appointed committees of the PEO, such as Academic Requirements Committee, Admissions Review Councillor, Advisory Committee on Committees, Audit Committee, Central Nominating Committee, Communications Committee, Complaints Committee, Complaints Review Councillor, Consulting Engineer Designation Committee, Discipline Committee, Education Committee, Enforcement Committee, Environment Committee, Executive Committee, Experience Requirements Committee, Fees Mediation Committee, Finance Committee, Government Affairs Committee, Equity and Diversity Committee, PEO-OACETT Liaison Committee, Joint Practice Board, Professional Engineers Awards Committee, Professional Standards Committee, Regional Councillors Committee, Regional Nominating Committees, Registration Committee, etc.</p> <p><u>Excludes:</u> Occupational Health and Safety Committee – H09; External Committees – see under appropriate organization, O.</p>	Committee Secretary/ Director, Information and Technology Services	C + 5	P	P*	<p>*Note: Electronic version may be maintained to enhance access. Attachments pertaining to the Complaints Committee Minutes should not include documents already present in Complaint Files – L05.</p> <p>Audiotapes are destroyed once minutes are verified.</p>	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
C05	<p>Committee Records</p> <p><u>Includes:</u> Correspondence, applications, resumes, committee membership, report/recommendation development, background information, etc.</p> <p><u>Excludes:</u> Committee minutes – C04.</p>	Committee Secretary/ Manager, Volunteer Management	C + 5	-	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	
C06	<p>Strategic Planning</p> <p><u>Includes:</u> Strategic plans, 5 year plans, reviews of organizational effectiveness, organization charts, functional responsibilities, evaluation of programs/projects, etc.</p> <p><u>Excludes:</u> Business plans/budget – F18.</p>	Registrar	C + 5	P	P	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	

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C07	<p>Corporate Identity</p> <p><u>Includes:</u> Logo, seals and other graphic representations of the corporate identity or image of the PEO, strategies/reports to improve/alter corporate image, etc.</p> <p><u>Excludes:</u> Trademarks – L01; Forms/letterhead production – A11.</p>	Director, Policy and Communications	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	
C08	<p>Policies/Procedures</p> <p><u>Includes:</u> All PEO policies and procedures, including PEO Policies and Procedures Manual, Employee Information Manual, Chapter Executives Manual, Records Management Program Manual, election procedures, awards procedures, discipline procedures, applications procedures, etc.</p> <p><u>Excludes:</u> Guidelines published by PEO for the benefit of members – P09; Equipment manuals – A05; Computer hardware/software manuals – A06.</p>	Director, Policy and Communications/ Director, Human Resources/ Deputy Registrar, Regulatory Compliance/ Deputy Registrar, Licensing and Registration	S	-	S	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	23
C09	<p>Appointments</p> <p><u>Includes:</u> Records relating to the appointment of Council members including Lieutenant Governor-in-Council appointees, potential candidates for appointment, correspondence, biographical information, etc.</p> <p><u>Excludes:</u> Elections – C03; Council minutes – C01.</p>	Registrar	C + 3	-	C + 3	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	

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C10	<p>Task Forces/Task Groups</p> <p><u>Includes:</u> Minutes, correspondence, studies, recommendations, reports, etc. regarding internal and/or joint task forces/task groups.</p> <p><u>Excludes:</u> Government task forces – 003.</p>	Task Force/ Task Group Secretary	C + 5	P	P		
C11	<p>President</p> <p><u>Includes:</u> Orientation and preparation of president, general correspondence, etc.</p>	Registrar/ Secretariat/ Director, Human Resources	C + 2	-	C + 2		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
F00	Finance – General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
F01	Accounts Payable <u>Includes:</u> Source documents such as invoices, purchase orders, approvals, cheque copies, correspondence, etc. Also includes employee expenses, Council, committee and Chapter member expenses and approvals. Also includes OSPE and CCPE accounting. <u>Excludes:</u> Chapter accounting – F05; Dimensions accounting – F06; Foundation donations – F07; CODE accounting – F22.	Manager, Financial Services	C + 1	5	C + 6	Note: Benefits billings and pension payments are responsibility of the Manager, Financial Services.	1, 4, 5, 6, 12, 14, 15, 16, 17
F02	Payables Reporting <u>Includes:</u> Computer reports and ledgers including purchase register, cheque registers, outstanding cheque reports, disbursement registers, and other monthly/annual summaries/reporting or payables.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17

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F03	<p>Accounts Receivable</p> <p><u>Includes:</u> Source documents such as invoices, cash receipts, correspondence, a/r summaries for P. Eng., C of A, EIT, Limited Licence, Temporary Licence, Provisional Licence, Consulting Engineer Designation, fee remissions for Parental Leave, Health Remission, Unemployment, Post Graduate and Retirees etc. Also includes OSPE accounting.</p> <p><u>Excludes:</u> Chapter accounting – F05; Dimensions accounting – F06; Foundation Donations – F07; CODE accounting – F22.</p>	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17

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F04	Receivables Reporting <u>Includes:</u> Computer reports and ledgers including billing registers, cash receipts journals, and other monthly/annual summaries/reporting of receivables.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F05	Chapter Allotments/Accounting <u>Includes:</u> Records including allotments, approvals, cheque copies, receipts, etc. Also includes financial statements, budgets, etc. <u>Excludes:</u> Expenses – F01.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F06	Dimensions Accounting <u>Includes:</u> Source documents including advertising invoices, subscription renewals, cash receipts, etc. <u>Excludes:</u> Advertising activities and accounts receivable follow-up – P04.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F07	Foundation Donations <u>Includes:</u> Receipts, donation reports, bank books, bank statements, etc. for Foundation for Education/benevolent fund, Memorial Foundation, etc. <u>Excludes:</u> Foundation for Education/Memorial Scholarships – O04.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F08	Reconciliations <u>Includes:</u> Reconciliations to g/l.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
F09	Banking <u>Includes:</u> Bank deposit books, bank statements, bank reconciliations, cancelled cheques, account information, etc. <u>Excludes:</u> Banking information for Foundations – F07.	Manager, Financial Services	C + 1	5	C + 6		1, 12, 14, 15, 16, 17
F10	General Journals <u>Includes:</u> Computer reports such as postings to G/L, trial balances, journal entry edit lists, recurring entry edit lists and other subsidiary journals and ledgers.	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F11	General Ledger	Manager, Financial Services	C + 1	P	P		18
F12	Payroll <u>Includes:</u> Payroll registers, payroll reporting. Also includes statements from bank, adjustments, etc.	Director, Human Resources/ Manager, Financial Services	C + 1	5	C + 6		2, 6, 7, 8, 9, 14, 15, 26, 28
F13	Pension Plan <u>Includes:</u> PEO staff pension plan, valuations, contribution reports, adjustments and reconciliations, plan administrator reports and statements, terminations/withdrawals from plan, pension investments, etc. <u>Excludes:</u> Individual pension files – H02.	Director, Human Resources	C + 3	P	P		25
F14	T4s	Director, Human Resources	C + 1	5	C + 6		2, 6, 7, 8, 9, 26

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F15	Investments <u>Includes:</u> Statements of account, itemization of investments purchased, interest rates, copies of certificates, etc.	Director, Administrative Services/ Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F16	Financial Statements <u>Includes:</u> Year-end, quarterly and interim statements, audited statements, etc.	Manager, Financial Services	C + 1	P	P		1, 4, 5
F17	Audit <u>Includes:</u> Audit plan, audit working papers, yearly report, correspondence, etc. <u>Excludes:</u> Contract – A14; Audit Committee – C04.	Manager, Financial Services	C + 1	5	C + 6	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	
F18	Budget <u>Includes:</u> Yearly budget files and calculations, accountability reports, revisions, budget by objective, business plans, etc.	Director, Administrative Services	C + 2	P	P		
F19	Financial Planning <u>Includes:</u> Projections and calculations, membership statistics, fee increase projections, cost reduction activities, etc. <u>Excludes:</u> Strategic plans – C06; Program/project evaluation – C06, Fee Referendums – C03.	Director, Administrative Services/ Manager, Financial Services	C + 2	4	C + 6		
F20	Fixed Assets <u>Includes:</u> Itemization of fixed assets, annual additions to fixed assets, copies of invoices, depreciation schedules, serial numbers, etc. <u>Excludes:</u> Inventory of non-capital items – F23.	Director, Administrative Services/ Manager, Financial Services	C + 2	P	P		4, 5, 14, 15

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F21	<p>Taxation Issues</p> <p><u>Includes:</u> Records related to taxes payable including GST, PST, etc. Also includes documents related to taxation issues such as income tax exemption, interest income, corporate information returns, etc.</p>	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 6, 12, 14, 15, 16, 17
F22	<p>CODE Accounting Files</p> <p><u>Includes:</u> Accounting documentation associated with the Committee of Ontario Deans of Engineering including all accounts receivables, payables, ledgers, etc.</p>	Manager, Financial Services	C + 1	5	C + 6		1, 4, 5, 12, 14, 15, 16, 17
F23	<p>Inventory</p> <p><u>Includes:</u> Records relating to non-capital items such as supplies, stationary, calculators, software packages, etc. including inventory numbers, reports, etc.</p> <p><u>Excludes:</u> Fixed assets – F20.</p>	Manager, Purchasing/Facilities	S + 1	5	S + 6		4, 5, 14, 15

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
H00	Human Resources – General <u>Includes:</u> Records related to PEO personnel functions for which no other suitable classification code exists. Also includes staff newsletter.	Orig.	C + 1	-	C + 1		
H01	Employee Files <u>Includes:</u> Employee history, applications/resumes, beneficiary information, performance appraisals, position description, salary information, etc. <u>Excludes:</u> Personnel contracts – A14.	Director, Human Resources	E + 2	1	E + 3	E = termination of employee. Pension Plan component will be separated from Employee Files prior to storage for permanent retention – F13.	7, 8, 9
H02	Pensioner/Retiree Employee Files <u>Includes:</u> Pension calculations, adjustments, etc. <u>Excludes:</u> Pension plan/valuation/etc. – F13.	Director, Human Resources	E	6	E + 6	E = until all pension obligations have ceased.	
H03	Attendance <u>Includes:</u> Time sheets and other records of attendance, sick time, leaves of absence, etc. <u>Excludes:</u> Entitlement and individual summary information – H01.	Director, Human Resources	C + 1	2	C + 3		7, 8

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
H04 (was H05)	Record of Employment	Director, Human Resources	E + 1	-	E + 1	E = termination of employee.	27
H05 (was H06)	Benefits <u>Includes:</u> Benefit plans provided to employees, including medical, employer health tax, dental, disability, etc. <u>Excludes:</u> Benefit deductions -H01, F12; billings/remittances - F01.	Director, Human Resources	S	6	S + 6		
H06 (was H07)	Recruitment <u>Includes:</u> Resumes, job postings/advertisements, job applications, headhunter correspondence, copies of headhunter billings, applicant evaluation and selection, etc. <u>Excludes:</u> Billings - F01.	Director, Human Resources	C	-	C		
H07 (was H08)	Pay Equity <u>Includes:</u> Position descriptions, job evaluations and ratings, appeals, correspondence, etc.	Director, Human Resources	S	-	S		
H08 (was H09)	Personnel Planning <u>Includes:</u> Employment equity plans, succession planning, staff complement, organizational structure/charts, salary scales and industry comparisons, etc.	Director, Human Resources	S	-	S	Note: Management Team is responsible for personnel planning decisions; however, Director, Human Resources maintains records.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
H09 (was H10)	Occupational Health and Safety <u>Includes:</u> Occupational health and safety issues, first aid, inspections, joint occupational health and safety committee, committee recommendations, accident reports, etc. Also includes fire/emergency tests and drills. <u>Excludes:</u> Emergency/fire/safety procedures – CO8; security - A03.	Director, Human Resources/ Committee Secretary Director, Administrative Services	C + 2	3	C + 5	Note: If accident involves a minor, retention period does not begin until age 18.	10, 20, 21, 22, 24
H10 (was H11)	Training/Development <u>Includes:</u> Internal and external training courses, staff awards, correspondence, seminars, workshops, conferences, course calendars, including technical skills as well as lifestyle (i.e. pre-retirement planning, sexual harassment, etc.). <u>Excludes:</u> Councillor orientation - C02.	Director, Human Resources	C	-	C	Note: Record of completed courses to be included in employee file. Note: Management Team is responsible for staff training/development decisions; however, key information should be filed with the Director, Human Resources.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
L00	Legal – General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
L01	Trademarks/Copyright <u>Includes:</u> Trademark registration for PEO seals, logo or other identifying marks, trademark searches, legal correspondence, copyright publications/documents, permissions to reprint trademarks/logo, etc. <u>Excludes:</u> Claims/cases – L12; Permission to reprint Engineering Dimensions articles - P18.	Manager, Appeals and Prosecutions	P	-	P		3
L02	Insurance <u>Includes:</u> Correspondence, applications, renewal notices, premium statements, certificates, etc. for various insurances for PEO and Chapters, including general liability, comprehensive mercantile, slander, libel, publishers error & omissions, etc. <u>Excludes:</u> Premium payments - F01; Claims/cases – L12; Member insurance – M07.	Director, Administrative Services	E + 1	15	E + 16	E = expiry of insurance.	20

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
L03	<p>Preliminary Enforcement Files</p> <p><u>Includes:</u> Letter of inquiry, correspondence to the inquirer, and general background information.</p> <p><u>Excludes:</u> Enforcement Files - L07.</p>	Manager, Appeals and Prosecutions	E + 3	2	E + 5	E = file closed or file reviewed by Legal Counsel; if latter, file becomes Enforcement File – L07.	
L04	<p>Preliminary Investigation Files</p> <p><u>Includes:</u> Letter of complaint, correspondence, summary of events, reports from investigators, copy of licence/C of A application, etc.</p>	Manager, Complaints and Discipline	E + 5	-	E + 5	E = file closed or official form of complaint signed; if latter, file becomes Complaint File – L05.	20
L05	<p>Complaint Files</p> <p><u>Includes:</u> Form of complaint, letter of complaint, correspondence, summary of events, background documentation, copy of licence/C of A application, exhibits, expert opinions, decision and reasons of Complaints Committee, letter of advice, etc.</p>	Manager, Complaints and Discipline	E + 5	P	P	<p>E = file closed and all appeals exhausted or complaint proceeds to hearing; if latter, file becomes Discipline File – L06.</p> <p>Note: Files should be reviewed prior to any destruction for records of historical/archival interest.</p> <p>Complaint file is scanned after E + 5 and maintained separately.</p>	20

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
L06	Discipline Files <u>Includes:</u> Checklist for disciplinary hearing, list of exhibits, affidavit of service, notice of appeals, summary of hearing, decisions and reasons, transcripts, legal correspondence, etc.	Deputy Registrar, Regulatory Compliance	E + 5	P	P*	E = file closed (hearing completed and all appeals exhausted). *Note: Decision and reasons together with form of complaint and penalty imposed should be scanned and included in member's file.	20
L07	Enforcement Files <u>Includes:</u> Legal correspondence, affidavits, copies of licence/C of A application, statements, transcripts, supporting documentation, certificate of conviction, etc.	Manager, Appeals and Prosecutions	E + 5	P	P	E = file closed and all appeals exhausted. Includes both criminal trials and civil injunctions, sections 39 and 40 of the <i>Professional Engineers Act</i> .	20, 30, 31
L08	Legal Issues <u>Includes:</u> Studies, reports, statistics, correspondence and other documentation regarding issues about complaints, discipline, registration or enforcement matters. Also includes correspondence for Court Reporters & Recording Secretaries.	Deputy Registrar, Regulatory Compliance	C + 5	5	C + 10		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
L09	<p>Legal Publications</p> <p><u>Includes:</u> General legal opinions as published in legal firm newsletters on upcoming legislation, current issues, etc.</p> <p><u>Excludes:</u> Legal opinion on the <i>Professional Engineers Act</i>, regulations and by-laws – L10.</p>	Manager, Appeals and Prosecutions	C + 1	-	C + 1		
L10	<p><i>Professional Engineers Act</i>, Regulations and By-Laws</p> <p><u>Includes:</u> Copy of Ontario Act, regulations and by-laws, revisions/amendments, legal opinion re sections of the Act/regulations/by-laws, legal correspondence, lobbying for changes, etc.</p>	Manager, Legal Regulatory Affairs	P	-	P		
L11	<p>Other Acts/Regulations</p> <p><u>Includes:</u> Other provincial and federal Acts and regulations, amendment/revisions, legal opinion re sections of Acts/regulations, legal correspondence regarding them, lobbying for changes, etc. Also includes Building Codes, Fire Code, etc.</p> <p><u>Excludes:</u> Ontario <i>Professional Engineers Act</i>, regulations and by-laws - L10.</p>	Manager, Legal Regulatory Affairs/ Director, Human Resources	P	-	P		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
L12	<p>Claims/Cases</p> <p><u>Includes:</u> Records related to claims/cases by or against the PEO for breach of contract, insurance claims, human rights complaints, registration and discipline committee appeals, etc. including legal correspondence, hearings/transcripts, background documentation, affidavits, summonses, judgements, appeals, etc.</p> <p><u>Excludes:</u> Enforcement files - L07.</p>	Deputy Registrar, Regulatory Compliance	P	-	P		20, 30, 31
L13	<p>Registration Files</p> <p><u>Includes:</u> Notice requesting hearing, correspondence, summary of events, background documentation, notice of proposal to refuse, notice of hearing, affidavit of service, copy of licence etc. application, statements, exhibits, decision and reasons of Registration Committee, transcripts, etc.</p>	Manager, Appeals and Prosecutions	E + 5	P	P	E = file closed (hearing completed and all appeals exhausted).	20

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MEMBER SERVICES

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
M00	Member Services - General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
M01 (was M05)	Award Winners <u>Includes:</u> Award winners, including Sons of Martha, nomination form, resume/c.v., photographs, correspondence, etc. for PEO awards winners and external honours.	Professional Engineers Awards Committee Secretary	C + 5	P	P	Note: Unsuccessful candidate nominations can be destroyed after C + 1.	
M02 (was M06)	Awards Night <u>Includes:</u> Arrangements for awards night, news releases and publicity, ceremony planning, scripts, program production, etc. <u>Excludes:</u> Payables - F01; Mailing/printing - A07.	Manager, Programs and Events	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	20
M03 (was M07)	Chapter Files <u>Includes:</u> Chapter minutes and reports, newsletters, copies of invoices for newsletter production, and general correspondence. <u>Excludes:</u> Payables - F01; Chapter allotments - F05.	Manager, Chapters	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
M04 (was M08)	Regional Congresses <u>Includes:</u> Agenda, meeting minutes, planning and arrangements (room bookings, copies of function contracts, etc.), correspondence, copies of invoices, expenses, etc. <u>Excludes:</u> Payables - F01.	Manager, Chapters	C + 2	3	C + 5		
M05 (was M09)	Chapter Promotion <u>Includes:</u> Employer Recognition Program, Special Chapter events and Recognition Awards, Executive Recognition, annual report of Chapter activities, and other Chapter related documentation.	Manager, Chapters/ Director, Human Resources	C + 2	3	C + 5		
M06 (was M10)	Annual Conference <u>Includes:</u> Correspondence, meeting minutes, conference planning, registration forms, budget, host Chapter information, arrangements for Order of Honour ceremony, scripts, publicity, press releases, and conference brochures, etc. <u>Excludes:</u> Payables - F01; Mailing/printing - A07.	Manager, Programs and Events	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	20
M07 (was M11)	Member Insurance/RRSP <u>Includes:</u> 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.	Human Resources Coordinator	E + 1	15	E + 16	E = expiry of plan/policy	20

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ORGANIZATIONS

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
O00	Organizations - General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
O01	Provincial Engineering Associations <u>Includes:</u> Records related to other provincial engineering associations including standards, guidelines, policies, procedures, publicity and public relations information, invitations, reports and studies, etc. <u>Excludes:</u> Acts/regulations pertaining to other engineering associations - L11.	Orig.	C + 3	-	C + 3		
O02	Other Associations/Societies <u>Includes:</u> 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. <u>Excludes:</u> CCPE National Insurance Committee – M07; CODE accounting - F22; CODE general records - O04.	Orig.	C + 3	-	C + 3	Note: Files should be reviewed prior to destruction for records of historical/ archival interest. Note: A separate appendix should be creating indicating which department holds information on these organizations.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
O03	<p>Federal/Provincial/Municipal Government</p> <p><u>Includes:</u> Records related to federal, provincial and/or municipal government agencies, boards, commissions, task forces and ministries, including Industry Canada, Ministry of Education, Ontario Roundtable, etc.</p> <p><u>Excludes:</u> PEO Speaking Out/responses to government programs/plans - P15.</p>	Orig.	C + 3	-	C + 3		
O04	<p>Universities/Colleges/Schools</p> <p><u>Includes:</u> Correspondence, reports, studies and other information related to programs, curriculum, competitions, etc. at universities, colleges and schools. Also includes CODE general records.</p> <p><u>Excludes:</u> Career Information Program - P14; CODE Accounting files - F22.</p>	Deputy Registrar, Licensing and Registration/ Manager, Prelicensing Programs	C + 3	-	C + 3		
O05	<p>Private Sector Organizations/Companies</p> <p><u>Includes:</u> Correspondence, proposals, reports and information from organizations and companies in the private sector including Boards of Trade, Conference Board of Canada, Ontario Science Centre, etc.</p>	Orig.	C + 3	-	C + 3		

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PUBLICATIONS/PUBLIC RELATIONS

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P00	Publications/Public Relations - General <u>Includes:</u> Records for which no other suitable classification code exists. Chapter newsletters, although PEO publications, are classified under Member Services - M03.	Orig.	C + 1	-	C + 1		
P01	Engineering Dimensions Issue Files <u>Includes:</u> Background information, correspondence, story notes, drafts, galleys, copies of issues, indexes to magazine, audiotapes, etc. <u>Excludes:</u> Subscriptions - P17.	Managing Editor	C + 1	4	C + 5*	Note: Five copies of every issue and indexes should be kept permanently. *Note: Each issue is scanned for permanent retention. Note: Files should be reviewed prior to destruction for records of historical/archival interest. Audiotapes are destroyed after two years.	20
P02	Engineering Dimensions Production <u>Includes:</u> Production schedules, printing quotes, distribution information, copies of postal receipts, circulation audits by BPA International/CLB Media, etc. <u>Excludes:</u> Payables - F01; Subscriptions - P17.	Managing Editor	C + 1	2	C + 3		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P03	Gazette <u>Includes:</u> Correspondence, drafts, background information, galleys, etc.	Manager, Complaints and Discipline/ Managing Editor	C + 1	4	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	20
P04	Publications Advertising/Sales <u>Includes:</u> Advertising schedule, advertising clients, space reservations, copy instructions, copies of advertising invoices, follow-up on accounts receivable, correspondence, ad copy, etc. Also includes sales of publications. <u>Excludes:</u> Receivables - F03.	Managing Editor	C + 1	-	C + 1		
P05	Research Files <u>Includes:</u> Research/reference materials including newspaper articles, magazine articles, news releases, booklets, brochures, government reports, studies, etc. on various topics and issues.	Managing Editor	C + 2	-	C + 2	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	
P06	Photo Files <u>Includes:</u> Photographs, correspondence, reproduction, etc. <u>Excludes:</u> Award winner photographs - M01.	Senior Graphic Designer	S	-	S	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	
P07	Graphics Design Files <u>Includes:</u> Illustrations, pictures, photographs, magazine clippings, etc. which serve as resources for graphic design and production.	Senior Graphic Designer	S	-	S		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P08	Annual Report <u>Includes:</u> Preparation of annual report, drafts, layout, design and production as well as distribution.	Director, Communications	C + 2	3	C + 5	Note: Five copies of published Annual Report should be kept permanently. Note: Files should be reviewed prior to destruction for other records of historical/archival interest.	20
P09	Other PEO Publications <u>Includes:</u> 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. <u>Excludes:</u> Awards Night - M02; Annual Conference – M06.	Orig./ Manager, Practice and Standards/ Senior Graphic Designer/ Director, Communications	E + 1	4	E + 5	E = last revision. Note: Development and content of information resides with Originating Department. Note: Files should be reviewed prior to destruction for records of historical/archival interest. Note: Five copies of published PEO publications should be kept permanently.	20
P10	News Releases/Interviews <u>Includes:</u> Press and news releases, interviews with PEO staff, television coverage, etc.	Media Specialist	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	20

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P11	Clippings/News Services <u>Includes:</u> Newspaper and magazine clippings, news services and wire services information and responses to requests, etc. on PEO and various other topics/issues.	Media Specialist	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	20
P12	Speeches <u>Includes:</u> Speeches delivered by PEO staff at PEO functions and by invitation at other functions and events. <u>Excludes:</u> Awards night speeches - M02; Annual conference speeches – M06; Speakers Bureau - P19.	Media Specialist	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	20
P13	Engineering Week <u>Includes:</u> Records related to the Festival of Engineering/Engineering Week promoting awareness of engineering.	Director, Communications	C + 2	3	C + 5	Note: Files should be reviewed prior to destruction for records of historical/ archival interest.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P14	<p>Career/Educational Promotion</p> <p><u>Includes:</u> 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.</p> <p><u>Excludes:</u> University /college/school curricula, reports, studies, correspondence, etc. - 004.</p>	Manager, Prelicensing Programs	C + 5	-	C + 5	<p>Note: Files should be reviewed prior to destruction for records of historical/ archival interest.</p> <p>Note: Five copies of published versions should be kept permanently.</p>	20
P15	<p>Speaking Out/Lobbying</p> <p><u>Includes:</u> Correspondence, studies, position papers, briefing papers, background information and other records related to PEO's effort to lobby the government for action or promote awareness on relevant issues such as access to the profession, self-governance, women in engineering, environment, continuing education, whistleblowing, etc.</p>	Manager, Government Affairs	E + 2	3	E + 5	<p>E = resolution of issue or issues are redundant.</p> <p>Note: Files should be reviewed prior to destruction for records of historical/ archival interest.</p>	20

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P16	<p>Mailing Lists</p> <p><u>Includes:</u> Mailing lists for Engineering Dimensions distribution, Gazette distribution, and other publication distributions. Also includes mailing lists for other information dissemination.</p>	Managing Editor	S	-	S	<p>Files may be maintained in electronic form only.</p> <p>Note: Specialized mailing lists maintained by other departments should be noted in a separate appendix.</p>	
P17	<p>Subscriptions</p> <p><u>Includes:</u> Subscribers to Engineering Dimensions, Gazette and other PEO publications, renewal information, etc.</p> <p><u>Excludes:</u> Payments - F01.</p>	Managing Editor	S	-	S	Maintained in electronic form only.	
P18	<p>Permissions to Reprint</p> <p><u>Includes:</u> Correspondence and requests for reprints from Engineering Dimensions and other PEO publications.</p>	Director, Communications	C + 2	-	C + 2		

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
P19	Speakers Bureau <u>Includes:</u> Records related to Speakers Bureau activities such as lists of speakers, speakers training, etc. <u>Excludes:</u> Speeches - P12.	Media Specialist	S	-	S		
P20	Government Contact Program <u>Includes:</u> Records related to programs that promote awareness of the Profession such as MPP - Chapter Contact Program, PEO staff contacts. <u>Excludes:</u> Lobbying the Gov't for changes or action on issues such as Access to Professions and Trades - P15.	Manager, Government Affairs	S + 1	-	S + 1	S = Superseded or "Issues" are no longer current or relevant. Note: Files should be reviewed prior to destruction for records of historical/archival interest.	
P21	Registrar's Report <u>Includes:</u> Correspondence, drafts, background information, etc.	Registrar	C + 1	4	C + 5	Note: Five copies of every report should be kept permanently. Note: Files should be reviewed prior to destruction for records of historical/archival interest.	20

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REGISTRATION

Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
R00	Registration - General <u>Includes:</u> Records for which no other suitable classification code exists.	Orig.	C + 1	-	C + 1		
R01	Certificate of Authorization Files <u>Includes:</u> Application, correspondence, notices for fee payment, renewal applications, proof of liability insurance, etc. <u>Excludes:</u> Complaints/discipline/enforcement/registration files - L03-L07, L13.	Manager, Registration	E + 1	P	P*	E = file closed. *Note: File is scanned for permanent retention.	
R02	Consulting Engineer Designation <u>Includes:</u> Correspondence, application for designation/redesignation as Consulting Engineer, resume, reference letters, etc. <u>Excludes:</u> Complaints/discipline/enforcement/registration files - L03-L07, L13.	Manager, Registration	E + 1	P	P*	E = file closed. *Note: File is scanned for permanent retention.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
R03	<p>Applicants for Licence</p> <p><u>Includes:</u> Applications, both accredited and non-accredited, and may include application for licence, correspondence, transcripts, referral letters, course curriculum, immigration papers, birth certificates, citizenship/permanent resident documentation, examination results, assessments, videotapes, engineer-in-training information, etc. Includes applications awaiting further information, exam candidates, candidates required to write PPE or thesis, etc.</p> <p><u>Excludes:</u> Complaints/discipline/enforcement/registration files - L03-L07, L13.</p>	Deputy Registrar, Licensing and Registration	E* + 1	P*	P*	<p>E = licence granted (all information received and files have been approved by the Deputy Registrar) or file closed.</p> <p>*Note: Selected documents are scanned during the application process for permanent retention; after E, paper file is destroyed.</p> <p>Videotapes are destroyed after two years.</p>	
R04	<p>Examinations</p> <p><u>Includes:</u> Examination papers set for each of technical exams and professional practice exams.</p>	Deputy Registrar, Licensing and Registration	C + 5	P	P*	*Note: Exams are scanned for permanent retention.	
R05	<p>Completed Exams</p> <p><u>Includes:</u> All examination papers completed by candidates.</p>	Deputy Registrar, Licensing and Registration	E + 1	-	E + 1	E = licence granted (all information received and files have been approved by the Deputy Registrar) or file closed.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
R06	<p>Examination Files</p> <p><u>Includes:</u> Recommended texts, examination schedules, location arrangements, invigilators/examiners correspondence, examiners report of results, summary sheets, invigilators attendance records, copies of fees/payments, etc.</p> <p><u>Excludes:</u> Payments - F01.</p>	Deputy Registrar, Licensing and Registration	C + 5	-	C + 5	Note: Files should be reviewed prior to destruction for records of historical/archival interest.	
R07	<p>Temporary Licences</p> <p><u>Includes:</u> Applications for temporary licence, applications for certificates of authorization for firms connected with engineers granted temporary licences, correspondence, checklist, resume, transcripts, record of fees paid, confirmations from other licensing bodies, collaborator consents, etc. for licences granted on a project basis to engineers outside of Ontario.</p> <p><u>Excludes:</u> Complaints/discipline/enforcement/registration files - L03-L07, L13.</p>	Manager, Registration	E + 3	P	P*	E = expiry of temporary licence. *Note: Files should be scanned for permanent retention.	

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
R08	<p>Limited Licences</p> <p><u>Includes:</u> Records relating to the issue of limited licences and may include application, correspondence, transcripts, referral letters, course curriculum, immigration papers, birth certificates, citizenship/permanent resident documentation, examination results, assessments, videotapes, etc. Includes applications awaiting further information, exam candidates, candidates required to write PPE or thesis, etc.</p>	Manager, Registration	E + 3	P	P*	<p>E = expiry of limited licence.</p> <p>*Note: Files should be scanned for permanent retention.</p> <p>Videotapes are destroyed after two years.</p>	
R09	<p>Licence/Certificate/Seal</p> <p><u>Includes:</u> Production of licences, certificates, seals, stamps, etc., returned copies, etc.</p> <p><u>Excludes:</u> Cost of production - F01; Printing/production correspondence - A13.</p>	Deputy Registrar, Licensing and Registration/ Manager, Chapters/ Senior Graphic Designer	C + 2	-	C + 2		
R10	<p>Register</p> <p><u>Includes:</u> Official PEO Register, list of all new licensees, etc. registered by the PEO annually. Also includes terms, conditions and limitations, revocations, suspensions, cancellations and terminations.</p>	Registrar/ Director, Administrative Services/ Deputy Registrar, Standards and Regulations	C + 2	P	P*	<p>Note: Official Register maintained in electronic format.</p> <p>*Note: List should be scanned for permanent retention.</p>	

Codes: C = Current Year; S = Superseded; P = Permanent; E = Event Required Before Calculating Retention

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Code	Record Series/Scope Note	Responsible Position(s)	Active	Inactive	Total Retention	Remarks	Cite Table
R11	Admissions/Registration Issues <u>Includes:</u> General correspondence, studies, statistics, reports and memos generated or collected by PEO regarding admissions, registration, examination and licensing issues. <u>Excludes:</u> Task forces/task groups - C10; Committees - C04.	Deputy Registrar, Licensing and Registration	C + 5	5	C + 10		
R12	Liability Insurance <u>Includes:</u> General correspondence, company lists, background on insurance companies as well as correspondence from engineers regarding eligibility. <u>Excludes:</u> Member Insurance – M07; Issues regarding C of A requirements - R11.	Manager, Registration	C + 2	-	C + 2		
R13	Provisional Licences <u>Includes:</u> Records relating to the issue of provisional licences and may include application, correspondence, transcripts, referral letters, course curriculum, immigration papers, birth certificates, citizenship/permanent resident documentation, examination results, assessments, videotapes, engineer-in-training information, etc. Includes applications awaiting further information, exam candidates, candidates required to write PPE or thesis, etc.	Manager, Licensure	E + 3	P	P*	E = expiry of provisional licence. *Note: Files should be scanned for permanent retention. Videotapes are destroyed after two years.	

Codes: C = Current Year; S = Superseded; P = Permanent; E = Event Required Before Calculating Retention

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Access to the Profession	P15	Committee Minutes	C04
Accommodation/Travel	A10	Committee Records	C05
Accounting/Allotments, Chapter	F05	Companies/Organizations, Private Sector	O05
Accounting, Dimensions	F06	Complaint Files	L05
Accounting Files, CODE	F22	Completed Exams	R05
Accounts Payable	F01	Computer Systems	A06
Accounts Receivable	F03	Conference, Annual	M06
Act, Regulations and By-Laws, <i>Prof. Eng.</i>	L10	Congresses, Regional	M04
Activity Reports	A02	Consulting Engineer Designation	R02
Acts/Regulations, Other	L11	Contracts, Sealed	A15
Administration - General	A00	Contracts, Simple	A14
Admissions/Registration Issues	R11	Copyright/Trademarks	L01
Advertising/Sales, Publications	P04	Corporate - General	C00
Allotments/Accounting, Chapter	F05	Corporate Identity	C07
Annual Conference	M06	Council Minutes	C01
Annual Report	P08	Council Records	C02
Applicants for Licence	R03	Council Workshops	C02
Appointments	C09	Database, LicensEase	A18
Assets, Fixed	F20	Database, Sharepoint	A19
Associations, Provincial Engineering	O01	Design Files, Graphics	P07
Associations/Societies, Other	O02	Designation, Consulting Engineer	R02
Attendance	H03	Development/Training	H10
Audit	F17	Dimensions Accounting	F06
Authorization Files, Certificate of	R01	Dimensions Issue Files, Engineering	P01
Award Winners	M01	Dimensions Production, Engineering	P02
Awards Night	M02	Discipline Files	L06
Banking	F09	Donations, Foundation	F07
Benefits	H05	Educational Promotion, Career or	P14
Benevolent Fund	F07	EIT Program	P14
Budget	F18	Elections	C03
Building Codes	L11	Electronic Files and Databases (Staff)	A17
Building Facilities/Maintenance	A04	Employee Files	H01
Bureau, Speakers	P19	Employee Files, Pensioner/Retiree	H02
Career/Educational Promotion	P14	Employment, Record of	H04
Cases/Claims	L12	Enforcement Files	L07
Certificate/Licence/Seal	R09	Enforcement Files, Preliminary	L03
Certificate of Authorization Files	R01	Engineer Designation, Consulting	R02
Chapter Allotments/Accounting	F05	Engineering Associations, Provincial	O01
Chapter Files	M03	Engineering Dimensions Issue Files	P01
Chapter Promotion	M05	Engineering Dimensions Production	P02
Chronological Files	A12	Engineering Week	P13
Claims/Cases	L12	<i>Eng. Act, Regulations and By-laws, Prof.</i>	L10
Clippings/News Services	P11	Entertainment Vendors	A09
CODE Accounting Files	F22	Equipment/Furnishings	A05
CODE General Records	O04	Equity, Pay	H07
Colleges/Schools/Universities	O04	Examination Files	R06

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Examinations	R04	General, Publications/Public Relations	P00
Exams, Completed	R05	General, Registration	R00
External Committees	O02	Government Contact Program	P20
External Committees	O03	Graphics Design Files	P07
External Printing	A13	GST	F21
Facilities/Maintenance, Building	A04	Health and Safety, Occupational	H09
Federal/Provincial/Municipal Government	O03	Human Resources - General	H00
Fee Referendum	C03	Identity, Corporate	C07
Files, Certificate of Authorization	R01	Image of PEO	C07
Files, Chapter	M03	Industry Canada	O03
Files, Chronological	A12	Innovators in the Schools	P14
Files, CODE Accounting	F22	Insurance	L02
Files, Complaint	L05	Insurance for Chapters	L02
Files, Discipline	L06	Insurance/RRSP, Member	M07
Files, Employee	H01	Interviews/News Releases	P10
Files, Enforcement	L07	Inventory	F23
Files, Engineering Dimensions Issue	P01	Investigation Files, Preliminary	L04
Files, Examination	R06	Investments	F15
Files, Graphics Design	P07	Issue Files, Engineering Dimensions	P01
Files, Paper (Staff)	A16	Issues, Admissions/Registration	R11
Files, Pensioner/Retiree Employee	H02	Issues, Legal	L08
Files, Photo	P06	Issues, Taxation	F21
Files, Preliminary Enforcement	L03	Joint Practice Board	O02
Files, Preliminary Investigation	L04	Journals, General	F10
Files, Registration	L13	Ledger, General	F11
Files, Research	P05	Legal - General	L00
Files and Databases, Electronic (Staff)	A17	Legal Issues	L08
Finance - General	F00	Legal Publications	L09
Financial Planning	F19	Liability Insurance	R12
Financial Statements	F16	Licence, Applicants for	R03
Fixed Assets	F20	Licence/Certificate/Seal	R09
Forms	A11	Licences, Limited	R08
Foundation Donations	F07	Licences, Provisional	R13
Foundation for Education Scholarships	O04	Licences, Temporary	R07
Fund, Benevolent	F07	LicensEase Database	A18
Furnishings/Equipment	A05	Limited Licences	R08
Gazette	P03	Lists, Mailing	P16
General, Administration	A00	Lobbying	L10
General, Corporate	C00	Lobbying/Speaking Out	P15
General, Finance	F00	Mailing Lists	P16
General, Human Resources	H00	Mailing/Printing	A07
General Journals	F10	Maintenance/Facilities, Building	A04
General Ledger	F11	Management, Records	A08
General, Legal	L00	Meetings	A01
General, Member Services	M00	Member Insurance/RRSP	M07
General, Organizations	O00	Member Services - General	M00

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Membership Statistics	F19	Public Relations/Publications – General	P00
Mentorship Program	P14	Publications Advertising/Sales	P04
Minutes, Committee	C04	Publications, Legal	L09
Minutes, Council	C01	Publications, Other PEO	P09
Municipal Gov't, Federal/Provincial or	O03	Publications/Public Relations - General	P00
Newsletter, Staff	H00	Receivable, Accounts	F03
Newsletters, Chapters	M03	Receivables Reporting	F04
News Releases/Interviews	P10	Reconciliations	F08
News Services/Clippings	P11	Record of Employment	H04
Night, Awards	M02	Records, Committee	C05
Occupational Health and Safety	H09	Records, Council	C02
Organizations/Companies, Private Sector	O05	Records Management	A08
Organizations - General	O00	Recruitment	H06
Other Acts/Regulations	L11	Regional Congresses	M04
Other Associations/Societies	O02	Register	R10
Other PEO Publications	P09	Registrar's Report	P21
Paper Files (Staff)	A16	Registration Files	L13
Pay Equity	H07	Registration - General	R00
Payables, Accounts	F01	Registration Issues, Admissions or	R11
Payables Reporting	F02	Regulations/Acts, Other	L11
Payroll	F12	Report, Annual	P08
Pension Plan	F13	Report, Registrar's	P21
Pensioner/Retiree Employee Files	H02	Reporting, Payables	F02
PEO Publications, Other	P09	Reporting, Receivables	F04
Permissions to Reprint	P18	Reports, Activity	A02
Personnel Planning	H08	Reprint, Permissions to	P18
Photo Files	P06	Research Files	P05
Plan, Pension	F13	RRSP/Insurance, Member	M07
Planning, Financial	F19	Safety, Occupational Health and	H09
Planning, Personnel	H08	Salary Surveys	P09
Planning, Strategic	C06	Sales/Advertising, Publications	P04
Policies/Procedures	C08	School Outreach	P14
Preliminary Enforcement Files	L03	Schools/Colleges/Universities	O04
Preliminary Investigation Files	L04	Seal/Licence/Certificate	R09
President	C11	Sealed Contracts	A15
Printing, External	A13	Security	A03
Printing/Mailing	A07	Sharepoint Database	A19
Private Sector Organizations/Companies	O05	Simple Contracts	A14
Procedures/Policies	C08	Societies/Associations, Other	O02
Production, Engineering Dimensions	P02	Space Planning/Renovations/Moves	A04
<i>Prof. Eng. Act, Regulations and By-laws</i>	L10	Speakers Bureau	P19
Promotion, Career/Educational	P14	Speaking Out/Lobbying	P15
Promotion, Chapter	M05	Speeches	P12
Provincial Engineering Associations	O01	Staff Awards	H10
Provincial/Municipal Gov't, Federal or	O03	Staff Newsletter	H00
Provisional Licences	R13	Statements, Financial	F16

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Subscriptions	P17
Suppliers/Vendors	A09
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Systems, Computer	A06
T4's	F14
Task Forces/Task Groups	C10
Taxation Issues	F21
Telephone System (Equip.)	A05
Temporary Licences	R07
Trademarks/Copyright	L01
Training/Development	H10
Travel/Accommodation	A10
Universities/Colleges/Schools	O04
Vendors/Suppliers	A09
Video Productions	P14
Week, Engineering	P13
Whistleblowing	P15
Winners, Award	M01
Workshops, Council	C02

Summary

The Citation Table provides all of 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 June 2004. 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

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No.	Statute/Regulation Citation	Retention Period	Remarks
1	<i>Corporations Act</i> , R.S.O. 1990, c. C.38, s. 302.	Retention not specified (books of account)	
2	<i>Canada Pension Plan</i> , R.S.C. 1985, c. C-8, s. 24.	6 years or until written permission obtained for prior disposal (CPP records & books of account)	
3	<i>Copyright Act</i> , R.S.C. 1985, c. C-42, s. 41, as am. R.S.C. 1985 (4 th Supp.), c. 10, s. 9.	3 years after infringement	Limitation for actions re: infringement of copyright
4	<i>Corporations Tax Act</i> , R.S.O. 1990, c. C.40, s. 94. Ministry of Finance, Tax Information Bulletin, 2111, 11/03.	7 years from fiscal year end (records & books of account)	
5	<i>Corporations Tax Act</i> , R.S.O. 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> , R.S.O. 1990, c. E.11, s. 12, as am. 1994, c. 8, s. 13(4).	Until permission for disposal given by Minister (records & books of account)	
7	<i>Employment Standards Act</i> , 2000, S.O. 2000, c. 41, s. 15(5).	3 years after employee ceased to be employed – 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</i> , 2000, S.O. 2000, c. 41, s. 15(7).	3 years after pregnancy/parental/emergency leave expired – notices, certificates, correspondence & documents given to or produced by employer re: leave	

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No.	Statute/Regulation Citation	Retention Period	Remarks
9	<i>Employment Standards Act</i> , 2000, S.O. 2000, c. 41, s. 15.1(5).	3 year after it was made – vacation time & vacation pay	
10	<i>First Aid Requirements Regulation</i> under the <i>Workplace Safety and Insurance Act</i> , 1997, R.R.O. 1990, Reg. 1101, s. 5.	Retention not specified (accident by worker including 1 st aid treatment)	
11	<i>General Regulation</i> under the <i>Professional Engineers Act</i> , R.R.O. 1990, Reg. 941, s. 23(2).	Until receipt of notice of election results (destruction of ballots)	
12	<i>Excise Tax Act</i> , R.S.C. 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	
14	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5 th Supp.), s. 230, as am. S.C. 1998, c. 19, s. 227. Canada Revenue Agency, Information Circular 78-10R3, “Books and Records Retention / Destruction”.	6 years from end of last taxation year to which records relate unless written permission for prior disposal obtained	Keep until appeal or objection disposed of
15	<i>Income Tax Act</i> , R.S.C. 1985, c. 1 (5 th Supp.), s. 244(4).	8 years from time when matter of information or complaint arose	Limitation for summary conviction proceedings for offences under the <i>Income Tax Act</i>
16	<i>Income Tax Act</i> , R.S.O. 1990, c. I.2, s. 39.	6 years from end of last taxation year to which records relate unless written permission for prior disposal obtained	Keep until disposal is permitted for purposes of federal <i>Income Tax Act</i>
17	<i>Income Tax Act</i> , R.S.O. 1990, c. I.2, s. 48(3).	8 years from time when subject matter of information or complaint arose	Limitation for proceedings under the <i>Provincial Offences Act</i> for offences under this Act
18	<i>Income Tax Regulations</i> under the <i>Income Tax Act</i> , C.R.C. 1978, c. 945, s. 5800(1)(a), as am. SOR/94-686.	2 years from dissolution of corporation	
19	<i>Real Property Limitations Act</i> , R.S.O. 1990, c. L.15, s. 17.	6 years after rent due or after acknowledgement in writing has been given	Limitation for arrears of rent or interest or damages in respect of arrears

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No.	Statute/Regulation Citation	Retention Period	Remarks
20	<i>Limitations Act, 2002, S.O. 2002, c. 24, Schedule B, ss. 4 & 15.</i>	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	
21	<i>Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s. 9(22).</i>	Retention not specified (minutes of a joint health and safety committee)	
22	<i>Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s. 12.</i>	Retention not specified (annual summary from Workplace Safety and Insurance Board)	
23	<i>Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s. 25(2).</i>	Retention not specified (health/safety postings)	
24	<i>Occupational Health and Safety Act, R.S.O. 1990, c. O.1, s. 69.</i>	1 year after last act or default upon which prosecution is based	Limitation for proceedings under the Act
25	<i>Pension Benefits Act, R.S.O. 1990, c. P.8, ss. 29, 30, 98 & 115. Pension Benefits Regulation, R.R.O. 1990, Reg. 909, s. 45.</i>	Retention not specified (records to be kept by administrator of pension plan)	The list in s. 45 of the regulation suggests the documents should be kept permanently
26	<i>Employment Insurance Act, S.C. 1996, c. 23, s. 87.</i>	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

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No.	Statute/Regulation Citation	Retention Period	Remarks
27	<i>Employment Insurance Regulations</i> under the <i>Employment Insurance Act</i> , SOR/96-332, s. 19(4).	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	<i>Workplace Safety and Insurance Act, 1997</i> , S.O. 1997, c. 16, Schedule A, s. 80.	Retention not specified (accurate record of all wages paid to workers)	
29	<i>Professional Engineers Act</i> , R.S.O. 1990, c. P.28, s. 21.	Retention not specified (PEO registers)	
30	<i>Professional Engineers Act</i> , R.S.O. 1990, c. P.28, s. 40(7).	2 years from date of offence	Limitation for proceedings for offences under the Act (unauthorized practice / obstruction of investigator)
31	<i>Professional Engineers Act</i> , R.S.O. 1990, c. P.28, s. 41(3).	2 years from date of offence	Limitation for proceedings for offences under the Act (falsification / false representation re: licence etc.)