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## Carleton Place Public Library

Policy Type:	<b>Operational</b>	Policy Number:	<b>OP-23</b>
Policy Title:	<b>Records retention</b>	Initial Policy Approval Date:	<b>June 2022</b>
		Last Review/Revision Date:	
		Year of Next Review:	<b>2026</b>

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The Carleton Place Public Library Board recognizes the importance of organizing and retaining business and personal records according to standards that ensure ease of retrieval while maintaining appropriate levels of security and confidentiality. It also recognizes the responsibility to adhere to provincial and federal legislative relating to retention, such as those of Canada Revenue Agency.

This policy establishes record definitions and schedules of minimum retention periods during which records must be kept by the Carleton Place Public Library. This policy should be read in conjunction with *Privacy, Access to Information & Electronic Messages under CASL* Policy OP-01.

### **Section 1: Definitions:**

*Active record* means records that are retained in the library and are required for the day-to-day business of the library.

*Disposal/disposition* means the decision regarding retention after a record is no longer considered active (i.e. retained as permanent, or destroyed).

*Destruction/destroy* means to eliminate permanently (e.g. through shredding) a record within a record series at a time indicated on the records retention schedule.

*Permanent Records* mean those records determined to have a long-term value to the library in terms of recording its corporate, service and cultural history. They are maintained for a variety of reasons, including documentation of the establishment of the Board as an entity, its policies, key historical events and milestones, and the evolution of the library system.

*Record* means recorded information in any format and includes, but is not limited to, documents, business records, financial statements, personnel files, minutes, accounts, correspondence, memoranda, plans, maps, drawings, photographs, films.

*Record Series* means documents arranged in accordance with a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other defined commonality.

*Records Retention Schedule* means a description of the record series that are being managed, how long they need to be retained, and what their final disposition will be based on legal, business, and historical requirements.



*Transitory Record* means any record that has temporary usefulness and is not required to meet legislated requirements, establish guidelines and procedures, set policy, certify a transaction, become a receipt, or provide evidence of legal, financial, operational or other decisions of the library. Examples of such records include: duplicate copies, working documents, and notes from a meeting for which the reports and minutes have been finalized or adopted.

## **Section 2: Context for retention**

1. Within the framework of the Ontario *Municipal Act 2001*, there are certain parameters that local boards (including libraries) must follow. This includes direction that records must be retained in a secure and accessible manner, and that subject to the *Municipal Freedom of Information and Protection of Privacy Act*, certain records, such as board meeting minutes, must be accessible to the public. This requirement is echoed in the *Public Libraries Act 28 (1)*.
2. Municipalities may establish retention periods that local boards are obliged to follow.
3. In addition, other bodies to which the library must relate may have their own retention requirements (e.g. Canada Revenue Agency (CRA) requirement to maintain financial records for seven years and *Employment Standards Act* employment records for three and vacation records for five years).

## **Section 3: Protection, Access and Storage**

1. The CEO or designate shall administer this policy and ensure that all relevant legal requirements are met.
2. All records will be clearly labeled and marked and, to ease retrieval, no document shall be created without the appropriate file name chosen and indicated at the bottom of the document.
3. Records shall be stored in such a manner to minimize risk of loss or destruction due to flood, fire, etc.
4. The CEO shall ensure that records are stored in a manner that provides access only to those in charge of the records.
5. In responding to requests to examine records, employees must observe the library's standards of confidentiality and accessibility.

## **Section 4: Disposition of Records**

1. Transitory records, unless they have become necessary for legal purposes or as otherwise provided for by law, will not be retained and may be destroyed at any time beyond their usefulness.
2. Active records will not be retained beyond the retention period without a valid reason.
3. Records are disposed of in accordance with the approved Records Retention Schedule.
4. Records retention schedules and disposition will be consistent across all media, including digital records.
5. Where records must be retained for pending tax audits or legal issues, the retention period is not changed for the entire record series, but only for those records that are required for audit or legal purposes.



6. The destruction of records must be conducted in a secure manner, mindful of confidentiality requirements. The CEO as records manager has the authority to destroy all documents that have been retained beyond their retention period as outlined in the Records Retention Schedule (**Appendix A**).

**Related Documents:**

Municipal Act, 2001 sections 253-255

Carleton Place Public Library *Privacy, Access to Information & Electronic Messages under CASL*– Policy OP-01.

**Appendix A - Records Retention Schedule**

Function	Records Series	Filing	Retention (years)	Notes
<b>Board</b>	Ministry - <i>Annual Survey of Public Libraries</i>	By year	Permanent	
	Strategic Plans	By year	Permanent	
	Annual Reports for the Library	By year	Permanent	
	Board Packages (including agendas, minutes, correspondence, reports, etc.)	By meeting date	Permanent	
	Committee Minutes	By committee	Seven (7)	
	Library Policies	By policy number	Current	
	Library Board Bylaws	By by-law number	Current	
	Contracts (e.g. OLC, Service Agreements, etc)	By contract	Seven (7), following end of agreement	
	Court cases pertaining to the Library	By case	Permanent	
	Insurance policies, records and claims	By year	Seven (7)	Town Finance Dept.
<b>Administration</b>	Grant applications (successful) and responses	By year	Seven (7)	
	Banning notices	By series	Two (2)	
	Freedom of Information requests	By name	Permanent	
	Statistical reports	By year	Permanent	
	Capital assets inventory		Current	Town Facilities Dept.
	Request for reconsideration of materials in collection	By year	Two (2)	
<b>Facility Management</b>	Architects' or engineers' reports, plans, drawings	By project	Permanent	Town Facilities Dept.
	Inspection reports (routine and special maintenance)	By type	Four (4)	
<b>Finance</b>	Audited financial statements & Auditor's reports	By year	Permanent	See GOV-07 Financial Control/ Oversight Town Finance Department
	Bequests	By series	Seven (7)	Town Finance Department
	Bank statements	By year	Seven (7)	Town Finance Department
	Cash records	By year	Seven (7)	Town Finance Department
	Donation receipts (copies)	By year	Two (2)	
	Charitable returns	By year	Seven (7)	Town Finance Department
	Deposit records	By year	Seven (7)	Town Finance Department



Function	Records Series	Filing	Retention (years)	Notes
	Final budgets	By year		Town Finance Department
	Paid invoices	By year		Town Finance Department
	Written Quotations/ RFP	By project	Seven (7)	See OP-09 Purchasing
	Year-end working papers	By year		
<b>Personnel</b>	Current employee personnel files	By name		Town HR Dept
	Terminated employee personnel files	By name		Town HR Dept
	Employee WSIB claims and records	By name		Town HR Dept
	Job postings	By posting		Town HR Dept
	Resumes/applications for employment – not hired	By posting		Town HR Dept
	Pay equity/job evaluation reports and implementations documents	By year		Town HR Dept
	Payroll	By year		Town HR Dept
	Timesheets	By year		Town HR Dept
	T4 summaries	By year		Town HR Dept
<b>Volunteers</b>	Active volunteer files	By name	Current	
	Inactive volunteer files	By name	2, following last volunteer activity	
<b>Library Operations</b>	Active library patron accounts	Database	Current	Integrated Library System (ILS). OP-01 – Privacy, Access to information...
	Expired library patron accounts	Database	2, following expiry	ILS
	Loan transactions	Database	Retained as long as patron account is active, then 2 years following expiry	ILS
	Outstanding fines / lost/damaged charges	Database	Retained as long as patron account is active, then 2 years following expiry	ILS
	Overdue notices	Database	Current	ILS
	Interlibrary loan records	Database	Two (2)	INFO/VDX database
<b>Risk Management</b>	Incident reports	By series		Town HR Dept
	Health & safety inspection reports	By year		Town HR Dept
	Health & Safety Committee meeting minutes	By year		Town HR Dept