

# **LA 128 Retention Policy and Schedule for Library and Board Records**

Originating Document – October 2015

Effective Date – LB-020-2016

Last Modified – November 25, 2015, February 19, 2016

## **Policy:**

This Retention Policy and Schedule establishes schedules of minimum retention periods during which receipts, vouchers, instruments, rolls or other documents, records, and papers must be kept by the County of Prince Edward Public Library Board.

## **Policy:**

### **Section 1: Destroyed and Transferred Records**

1. The CEO as Records Manager has the authority to destroy all documents that have been retained beyond their retention period as outlined in the Retention Schedule. The CEO has the authority to transfer to the Archives those permanent records that can be retained off-site.

The CEO shall make and retain a file, listing by category and year those documents destroyed or transferred to the Archives.

### **Section 2: Electronic Records and Correspondence**

1. No retention schedule is established specifically for electronic files and incoming and outgoing email except as is required for categories defined within this Policy. Email correspondence may be considered General Correspondence at the discretion of the CEO.

**Section 3: Library Records Held by the County of Prince Edward**

1. Records and files relating to Library and Board matters which are held by the County of Prince Edward will be retained within the Retention Schedule of the County of Prince Edward.

**Section 4: Adoption and Review of the policy**

1. This Policy and Schedule shall not take effect until the auditor(s) of the County of Prince Edward Public Library and Archives have granted approval by endorsing their name at the end of this schedule.

This Policy will be reviewed by the Board every two (2) years in years ending in an even number. Revisions will be made as necessary but must be subsequently approved by the Auditor(s) prior to taking effect.

**Section 5: Retention Schedule  
In This Schedule “P” Means “Permanent”**

<u>Category</u>	<u>Minimum Retention Period (in Years)</u>
<b><u>Administration: Board &amp; CEO</u></b>	
<b>Board Motions and Resolutions as Part of the Minutes</b>	<b>P</b>
<b>Minutes, including reports to the Board</b>	<b>P</b>
Agendas	7
Board Minutes (rough notes)	7
Committee Minutes (see Minutes: Reports)	7
Committee Minutes (rough notes)	7
<b>Annual Reports</b>	<b>P</b>
<b>Library Community Survey Reports</b>	<b>P</b>
Library Community Survey (rough notes)	7
<b>Historical Correspondence</b>	<b>P</b>
<b>By-Law and Policy Manual, current and past versions</b>	<b>P</b>
By-Law and Policy Manual Branch Copies	as revised
<b>File of Destroyed and Transferred Records (see Section 1)</b>	<b>P</b>
Library Service and Reciprocal Borrowing Contracts	7 from expiry
<b>Strategic Plans</b>	<b>P</b>
Strategic Planning (rough notes)	7
<b>Ontario Annual Survey</b>	<b>P</b>
Ontario Annual Survey (rough notes)	7
<b>Accepted Grant Applications Province, Ministries, Agencies Including Trillium</b>	<b>P</b>
<b>Accepted Grant Applications Canada, Ministries, Agencies</b>	<b>P</b>
<b>Accepted Grant Applications Non-Governmental</b>	<b>P</b>
<b>Letters of Acceptance or Rejection re: Grant Applications</b>	<b>P</b>
Rejected Grant Applications	7
Grant Applications (rough notes)	7
<b>Architects/Engineers Drawings: Building &amp; Sites</b>	<b>P</b>
<b>Deeds of Library properties</b>	<b>CPE P</b>
<b>Legal Opinions</b>	<b>P</b>
<b>Legislation – Private Acts pertaining to Library</b>	<b>P</b>

<u>Category</u>	<u>Minimum Retention Period (in Years)</u>
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**Administration: Board & CEO, continued**

<b>Court Cases pertaining to Library</b>	<b>P</b>
Contracts (if not part of motions)	7
Agreements (if not part of motions)	7
Insurance Records	CPE records
Insurance Claims	CPE records
General Correspondence:	
Outgoing and related incoming	7
CEO, Board and Staff Memos	7
Petitions	7
Formal Statement of Concern About Library Materials	7
<b>Ministry of Labour, Health &amp; Safety Inspector Reports</b>	<b>P</b>
Health & Safety Employee Representative Monthly Reports	7
Written Inquiries from the public	2
Receptions & special events files	2
Media Releases, Flyers, & Announcements	2
Documents belonging to other organizations, such as:	
Reports, Agendas, Minutes,	0
Correspondence, Newsletters, Information sheets	
Workshop notes and handouts	0
Computer files	per category
Electronic Correspondence, unprinted	0

**Financial**

Accounting software shall be retained to access accounts as required	
<b>Audited Financial Statements</b>	<b>P</b>
<b>General Ledger</b>	<b>P</b>
<b>General Journal</b>	<b>P</b>
<b>Cash Payment Journal</b>	<b>P</b>
<b>Cheques Register</b>	<b>P</b>
<b>December Year-to-date Financial Report to Board</b>	<b>P</b>
<b>Annual Registered Charity Information Return</b>	<b>P</b>
Annual Registered Charity Information Return working papers	7
Charity Receipts	7
Monthly Financial Report to Board	7

<b><u>Category</u></b>	<b><u>Minimum Retention Period (in Years)</u></b>
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**Financial, continued**

Final Budgets – Operating	7
Final Budgets – Capital	7
Budget estimates working papers	7
Reconciliations	7
Bank Statements	7
Paid (cancelled cheques)	7
Bank debit and credit memos	7
Deposit slips	7
Duplicate cash receipts	7
Duplicate account receivable invoices	7
Duplicate payable vouchers	7
Credit Card Statements & Receipts	7
Paid invoices	7
Paid purchase orders	7
Paid requisitions	7
Paid account summary sheet	7
Financial records of grants spent	7
Receipt books	7
Cheque stubs	7
Cash books	7
Deposit Book	7
Account Receivable Statements	7
Daily Cash Reports	7
Year End Trial Balance	7
Posting and Distribution Journals	7
Investment Files	7
Cash payment stubs	7
Petty Cash Vouchers	7

**Purchases and Inventories**

<b>Inventories of Assets, excluding library materials</b>	<b>P</b>
Purchase Orders	7
Tender Purchase Quotations	7
Major Successful Tenders	7

<u>Category</u>	<u>Minimum Retention Period (in Years)</u>
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**Purchases and Inventories, continued**

Minor Successful Tenders	7
Tender Files	7
Unsuccessful Tenders	2
Tender files (rough notes)	2
Vendor's Contracts	7
Equipment Leases (after expiration, if not part of a motion)	7
Rental & Service Agreements, including Room Rental	7
Acknowledgement to Vendors	2
Receiving Reports	2
Purchase orders – copies	0

**Personnel**

<b>Payroll Journal</b>	<b>P</b>
<b>T4 Summaries</b>	<b>P</b>
<b>T4 Slips</b>	<b>P</b>
<b>Individual Earning Records</b>	<b>P</b>
<b>EI Records</b>	<b>P</b>
<b>Employee Income Tax Deductions</b>	<b>P</b>
<b>WSIB Remits, Reconciliations &amp; Claims</b>	<b>P</b>
TD-1 Forms	7
Garnishees: re: Employees	7
<b>Employee Personnel History Files, including but not limited to</b>	<b>P</b>
<b>Confidentiality Agreement</b>	<b>P</b>
<b>Computer Use Agreement</b>	<b>P</b>
<b>Job Applications (of hired staff)</b>	<b>P</b>
<b>Records of Employee Termination</b>	<b>P</b>
Employee Personnel Files, including:	7
Training & Development Files	7
Vacation Records	7
Sick Leave	7
Grievance Files	7
Bond Deduction Records	7
Past Job Descriptions (from date of amendment)	7
Overtime Sheets	7

<u>Category</u>	<u>Minimum Retention Period (in Years)</u>
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**Personnel, continued**

Mileage Claims	7
Work Schedules	7
Bi-Weekly Payroll Summary	7
Daily Time Sheets	7
Employee Gifts File	7
Employee Changes File	7
Volunteer application & file, from end of attendance (Including Contract, Confidentiality & Computer Usage Agreements)	7
Police Checks in Personnel Files	current & 1 past
Job Applications – applicants not hired, from closing date	2
Resumes, Unsolicited, from submission date	0.5
Volunteer Applications, not selected, from submission date	0.5

**Library Services and Programs**

Circulation Statistics	
<b>Paper copy, kept with Annual Survey for Ontario</b>	<b>P</b>
Library Operating System database in electronic format	2
Collection Holdings Reports	
<b>Paper copy, kept with Annual Survey for Ontario</b>	<b>P</b>
Library Operating System database in electronic format	2
Library Materials MARC	when title discarded
Community Directory	until entry amended
Library procedures	upon replacement
Vendor catalogues	0

**Personal Information of Public**

Note: The Library operating system retains some personal information in the Borrower History beyond the return of the item or the payment of the fine or fee: overdues, fines, lost and damaged items, other fees assigned, expired holds, therefore, the retention schedule establishes minimum retention but some information connecting the Borrower to a loan record may be retained for an indefinite period of time.

<b><u>Category</u></b>	<b><u>Minimum Retention Period (in Years)</u></b>
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**Personal Information of Public, continued**

Borrower Registration providing all transaction are cleared	
Paper registration	upon database deletion
Electronic registration:	
Moved from municipality	0
Cancellation by Borrower, no outstanding transactions	upon request
Death, when requested by Executor	upon request
Death, no request by Executor	2
Electronic Borrower Information	
Loan transactions checked in, no outstanding fines	upon item re-loan & return
Loan transactions, outstanding, may be retained until resolved	2
Outstanding fines & fees, may be retained until resolved	2
Lost & Damaged materials, may be retained until resolved	2
Unresolved transactions, may be retained until resolved	2
Title requests for items in Library	until item is available or request is cancelled
Hold Notices	when picked up or 2 weeks
Notice of Expired Hold	0
Comments to Staff in Workflows	retained as relevant
Messages to Borrowers in Workflows	retained as relevant
Program Registration	upon completion of program
Interlibrary Loan requests filled, from check-in	0.25
Interlibrary Loan requests not filled, from cancellation	0

**Approved by The County of Prince Edward Public Library & Archives Board  
auditors**

**KPMG LLP, this \_\_\_\_\_ day of \_\_\_\_\_, 2015.**

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**Per KPMG LLP**

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**CEO**