

## Additional Policy O

### Records Retention

Board Motion Number:	<b>22.082</b>
Date of Original Board Motion Number:	<b>April 26, 2022</b>
Date of Current Issue:	<b>June 28, 2022</b>
Date of Next Review:	<b>2026</b>
Attachments:	<b>Appendix A Records Retention Schedule</b>

Signature of Board Chairperson (and Date):

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The North Kawartha 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 North Kawartha Public Library. This policy should be read in conjunction with *Privacy, Access to Information & Electronic Messages under CASL* Additional Policy C.

The Library Board and staff will work together with the Clerk's office using The Ontario Municipal Records Management System (TOMRMS) to ensure the preservation of records, adherence to retention schedules and accessibility of records.

#### 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.

**Definition of Records from Township Policy for your information:** Records means any recorded information, however recorded, whether in printed form, on film, by electronic means or otherwise, including correspondence, memoranda, plans, maps, drawings, graphic works, photographs, film, microfilm, microfiche, sound records, videotapes, LaserFiche, e-mail, machine readable records, and any other documentary material regardless of physical form or characteristics, and including "official records" and "transitory records and includes all records of the former and historic townships that are under the ownership of the Township of North Kawartha.

**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.

## **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)*. Except for financial records which are retained by the Municipal

Treasurer, the North Kawartha Library Board has ownership and control of its records and retains its records in the library at 175 Burleigh Street, Apsley.

2. Municipalities may establish retention periods that local boards are obliged to follow. The Township of North Kawartha utilizes The Ontario Municipal Records Management System (TOMRMS) to establish retention periods. There may be some records that are not identified in TOMRMS for which the library sets its own retention periods.

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).

### **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.
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.

### **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**).

## 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	10**	
	Annual Reports for the Library	By year	Permanent	
	Board Packages (including agendas, minutes, correspondence, reports, etc.)	By meeting date	Agendas: S+5 Correspondence retention would be by subject Note: working notes 6 yr	
	Committee Minutes	By committee	6**	
	Library Policies and Procedures	By policy number	15**	
	Library Board Bylaws	By by-law number	P**	
	Court cases pertaining to the Library	By case	Other than search warrants which are 40 years, most court issues appear to be less than 10 years after case closed	
	Insurance policies, records and claims	By year	Expiry of Policy + 15 yr	
<b>Administration</b>	Grant applications (successful) and responses	By year	Seven (7)	
	Banning notices	By series	Two (2)	
	Statistical reports	By year	Permanent	
	Capital assets inventory		Disposal of Asset + 10**	
	Request for reconsideration of materials in collection	By year	Two (2)	
<b>Facility Management</b>	Architects' or engineers' reports, plans, drawings	By project	Superseded or life of asset	
<b>Finance</b>	Bequests	By year	Seven (7)	
	Donation receipts	By year	7	
	Written Quotations/ RFP	By project	Event + 7** / unsuccessful quotes retain for	

Function	Records Series	Filing	Retention (years)	Notes
			1 year from contract award	
<b>Personnel</b>	Current employee personnel files	By name	Date employee ceased to be employed by employer + 5	
	Terminated employee personnel files	By name	Seven (7)	
	Job postings	By posting	Two (2)	
	Resumes/applications for employment – not hired	By posting	6 months	
<b>Labour Relations</b>	Grievance forms, correspondence and related documentation	By year	Resolution of claim + 10	
<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). Additional Policy C – 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 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	5	