Pembroke Public Library



Policy Type: Operational Policy Number: OP-16

Policy Title: Retention Policy and Schedule

for Library and Board Records

Policy Approval Date: April 17th, 2014

Motion #: 14:24 Policy Review Date:

RETENTION POLICY AND SCHEDULE FOR LIBRARY AND BOARD RECORDS

Ret-1 Purpose

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

Ret-2 Destroyed and Transferred Records

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 shall make and retain a file, listing by category and year those documents destroyed or transferred to PPL archives.

Ret- 3 Electronic Records and Correspondence

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.

Ret- 4 Library Records Held by the City of Pembroke

Records and files relating to Library and Board matters which are held by the City of Pembroke will be retained within the Retention Schedule of the City of Pembroke.

These records and files may include but not be limited to records concerning payroll, pension, payroll deductions, benefits, WSIB claims and accounts payable.

Ret-5 Adoption and review of the policy

This Policy and Schedule shall not take effect until the auditor(s) of the Corporation have granted approved by endorsing their name at the end of this schedule.

This policy will be reviewed by the Board every two 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.

PEMBROKE PUBLIC LIBRARY BOARD RECORDS- RETENTION SCHEDULE

IN THIS SCHEDULE "P" MEANS "PERMANENT", "T" MEANS "TERMINATED"

CATEGORY MINIMUM RETENTION PERIOD (IN YEARS)

ADMINISTRATION: BOARD & CEO Ρ **Board Motions and Resolutions as part of the Minutes** Minutes, including Reports to the Board Ρ 7 Agendas 2 Board Minutes (rough notes) Committee Minutes (see Minutes: Reports) 7 Committee Minutes (rough notes) 2 **Annual Reports** Ρ **Library Community Survey Reports** Ρ Library Community Surveys (rough notes) 2 **Historical Correspondence** Ρ Ρ By-Law and Policy Manual, current and past versions Ρ File of Destroyed and Transferred Records (see Ret-2) Library Service Contracts 7 from expiry **Strategic Plans** P Strategic Planning (rough notes) 7 Ρ **Ontario Annual Survey** Ontario Annual Survey (rough notes) 7 Accepted Grant Applications Province. Ministries. Agencies, Ρ including Trillium Ρ **Accepted Grant Applications Canada, Ministries, Agencies Accepted Grant Applications Non-Governmental** P Ρ **Letters of Acceptance or Rejection re Grant Applications** 7 Rejected Grant Applications 7 Grant Applications (rough notes) **Architects/Engineers Drawings: Buildings & Sites Deeds of Library properties** P City of Pembroke Legal opinions Ρ **Legislation – Private Acts pertaining to Library** Ρ Ρ **Court Cases pertaining to Library** Contracts (if not part of motions) 7 Agreements (if not part of motions) 7 Ρ Insurance Records Р Insurance Claims General Paper Correspondence: 7 Outgoing and related incoming CEO. Board, and Staff Memos 7 Petitions 7 Formal Statement of Concern About Library Materials 7 Ministry of Labour, Health & Safety Inspector Reports P 7 Health & Safety Employee Representative Reports Written inquiries from the public 2

Receptions and special events files

Media Releases, Flyers, and Announcements

2

Documents belonging to other organizations, such as: Reports, Agendas, Minutes, no retention schedule Correspondence, Newsletters, Information sheets Workshop notes and handouts no retention schedule Computer files retained per category Electronic Correspondence, unprinted 7

FINANCIAL

Software programs shall be in place to access electronical Audited financial statements General Ledger General Journal Cash Payment Journal Cheques register December Year-to-date Financial Report to Board Annual Registered Charity Information Return Annual Registered Charity Information Return working pap Charity receipts Monthly Financial Reports to Board – Detailed Trial Balance – General Ledger – Cheque Distribution	P P City of Pembroke P City of Pembroke P City of Pembroke 7 City of Pembroke P P Auditor 7
Final budgets – Operating	7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 City of Pembroke - (PPL copy) 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7

Retention On-site Financial: Original or Copies retained for retention period listed.

PURCHASES AND INVENTORIES

Inventories of Assets, excluding library materials	Р
Purchase orders	7
Tender Purchase Quotations	7
Major Successful Tenders	7
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 motion)	7
Rental and Service Agreements, including Room Rental	7
Acknowledgements to vendors	2
Receiving reports	2
Purchase orders- copies	no retention

PERSONNEL

Payroll Journal	7 City of Pembroke
O.M.E.R.S. Pension Cards	T City of Pembroke
	(T=Death of employee or beneficiary)
Compensation Case Records	7 City of Pembroke
Individual Earning Records	T+7 City of Pembroke
	(T=date employee ceased to be employed by employer)
T-4 Summaries	7 City of Pembroke
T-4 Slips	7 City of Pembroke
U.I.C/E.I.C Records	7 City of Pembroke
Garnishees: re Employees	7 City of Pembroke
Employee Income Tax Deductions	7 City of Pembroke
W.S.I.B Claims	7 City of Pembroke
OHIP/IHSC/Health Tax, Medical Files	7 City of Pembroke
Payroll Sheets	7 City of Pembroke
TD-1 Forms Township Records Department Organ	
Employee Personnel History File, incl. but not lin	mited to: P
Confidentiality Agreement	Р
Computer Use Agreement	Р
Job Applications (of hired employees)	Р
Records of Employee Termination	Р
Employee Personnel Files, including:	7
Training and 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
Mileage Claims	7
Work schedules – Electronic Format	3
– Paper copy	1
Bi-Weekly Payroll Summary	7

Bi-Weekly Time Sheets	7
Employee Gifts File	7
Employee Changes Files	7
Volunteer application and file, from end of attendance	7
Police Checks/Vulnerable Sector Check – Personnel File	current and one past
Volunteer File	current and one past
Job Applications – Applicants not hired, from closing date	2
Resumes, Unsolicited, from submission date	1
Volunteer applications, not selected, from submission date	1

LIBRARY SERVICES AND PROGRAMS

Circulation Statistics

Paper copy, kept with Annual Survey for Ontario	P
Library Operating System database in electronic format	7
Daily Statistic Sheets	3
Collection Holdings Reports	
Paper copy, kept with Annual Survey for Ontario	Р
Library Operating System database in electronic format	7
Library Materials MARC	when title discard

Community Directory (Marketing and Outreach Sources) until entry is amended Library procedures upon replacement Vendors catalogues no retention

General Office Electronic Correspondence, unprinted retained as relevant

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.

Borrower History	3
Borrower Registration providing all transaction are cleared	l
Paper registration,	upon database deletion
Electronic registration:	
Moved from municipality	no retention
Cancellation by Borrower, no outstanding transacti	ons 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	
Loan transactions, outstanding, may be retained un	
Outstanding fines	shall be retained until resolved
Lost/Damaged charge	shall be retained until resolved

Unresolved transactions (Claimed returned) shall be retained until resolved Incident/Accident Reports 7 Letter of Trespass Ρ

Letter of Appeal Ρ Fine Appeal Forms retained as relevant and/or resolved

Laptop/E-reader Lending Forms 1 month Multimedia Projector Lending Forms 1 month Meeting Room Reservation Request Forms 1 year Museum Partnership Agreements 3

Title requests for items in Library until item is available or request is cancelled Hold notices when picked up or 3 days

Notice of Expired Hold no retention Comments to Staff in Mandarin retained as relevant

Messages to Borrowers in Mandarin retained as relevant **Program Registration** upon completion of program

Photo Release Forms 5

Interlibrary loan requests filled, from check-in 2 months Interlibrary loan requests not-filled, from cancellation 2 months