

COUNTY OF THORHILD #7 LIBRARY BOARD POLICY MANUAL

Category: Operations

Policy Number: 403

Title: Records retention and disposition

Policy Statement: The Library Managers shall keep orderly and timely records of the business of the library.

Guidelines and Procedures:

1. The Library Manager will maintain adequate records to compile quarterly and annual activity reports.
2. The Library Manager is responsible for the proper and complete retention and/or destruction of the records described in this policy.
3. The Library Manager has discretion to retain records longer than, but not shorter than, the period provided for in this policy. Records shall be reviewed by complete calendar year and either destroyed or retained.
4. Permanent records shall be stored in the library.
5. Files shall be retained as per Appendix B attached as is indicated below:
 - 5.1 Items marked "P" shall be kept permanently
 - 5.2 Items marked "D" will be destroyed without any copy being retained at the end of its service life
 - 5.3 Items marked "A" will be permanently held in Alberta or other Archival Center
 - 5.4 Items marked "R" will be reviewed at a later date. H shall refer to hard copy; "E" shall refer to electronic copy
6. Appendix C attached defines transitory records and their disposition and shall form a part of this policy.
7. All records will be dated with a "Retained to" stamp to facilitate their easy disposal.

Policy #403
Records retention and disposition

COUNTY OF THORHILD #7 LIBRARY BOARD POLICY MANUAL

Appendix B RETENTION AND DISPOSITION OF RECORDS

SUBJECT	DESCRIPTION	RETENTION PERIOD (in years)	ACTION
ACCOUNTS	Asset Ledger	P	H
	Bank (Deposit Books)	7	D
	Bank (Memos debit and credit)	7	D
	Bank (Statements and reconciliations)	7	D
	Budget (Final Operating & Capital)	P	H
	Cash Receipts Journal	7	D
	Cheque stubs	7	D
	Cheques (pd and cancelled)	7	D
	Disbursement Journal	7	D
	Duplicate Receipts	7	D
	Financial statement (audited)	P	H
	Financial Statements (Final)	P	H
	Financial Statements (Interim)	7	D
	Financial Statements (Working papers)	7	D
	G.S.T. (Applications for refund)	7	D
	Grant Applications (Employment)	7	D
	Grant Applications (other)	7	D
	Grant Applications (Provincial operating)	P	H
	Investments	7	D
	Ledgers (General)	P	H & E
	Paid Invoices	7	D
ADMINISTRATION	Reports (not part of minutes)	7	D
	Reports (part of minutes)	P	H & E
ADVERTISING	General	2	D
AGENDAS	Agendas (part of minutes)	P	H
AGREEMENTS	See CONTRACTS/AGREEMENTS		
AB COMMUNITY DEVELOPMENT	Annual Reports	P	H
	Public Library Statistics (published)	7	D
ASSETS	See ACCOUNTS		
BANK	See ACCOUNTS		
BOARD	Authority & Structure	P	H
	Minutes	P	H
BUDGET	See ACCOUNTS		
BY-LAWS	All	P	H
CALENDARS	Work schedules, meetings, events, all-in-one	7	H
CASH	See ACCOUNTS		
CHEQUES	See ACCOUNTS		
COMMITTEE	Notes	7	D

COUNTY OF THORHILD #7 LIBRARY BOARD POLICY MANUAL

<i>SUBJECT</i>	<i>DESCRIPTION</i>	<i>RETENTION PERIOD</i>	<i>ACTION</i>
CONFERENCES/ WORKSHOPS	Notes, handouts, information	1	D
CONTRACTS/ AGREEMENTS	Library System	Current	H
	Copies (after superseded)	7	D
CORRESPONDENCE	General	7	D
	Historical	P	H & A
DISBURSEMENTS	See ACCOUNTS		
EQUIPMENT	Manuals, warranties, proof of purchase	Current	D
FINANCIAL STATEMENTS	See ACCOUNTS		
GRANTS	See ACCOUNTS		
G.S.T.	See ACCOUNTS		
INQUIRIES FROM PUBLIC	See PATRONS		
INVENTORY	Records, year end	7	D
	Anniversary years	P	H
INVESTMENTS	See ACCOUNTS		
LEDGERS	See ACCOUNTS		
LIBRARY LEGISLATION	Acts, Regulations	Current	
	After superseded	7	D
MINUTES	See BOARD		
PAID INVOICES	See ACCOUNTS		
PATRONS	Registration Forms	Current	
	After expiration	1	D
	Reference questions	Current	
	After statistics complete	1	D
	Loan records (Computer)	1	D
	Interlibrary Loans	Current	
	After statistics complete	1	D
PERSONNEL RECORDS	Kept in County Office	P	H&E
	Solicited and Unsolicited resumes	1	D
PHOTOS	Albums, historical	P	H & A
	General	P	H & A
PLANNING	Needs Assessment/Plan of Service	Current	
	After superseded	7	D
POLICY	Manual	Current	H & E
	After superseded	7	D
PROGRAMS	Plans, reports, evaluations	7	D
	Registrations	1	D
	Samples	P	H
	One-of-a-kind (anniversary, etc.)	P	H & A
RECEIPTS	See ACCOUNTS		
REPORTS	See ADMINISTRATION		

Appendix B Records Retention and Disposition of Records

COUNTY OF THORHILD #7 LIBRARY BOARD POLICY MANUAL

Appendix C TRANSITORY RECORDS

Definition of Transitory Record:

Transitory records are records such as memos, letters, reports, computer files, voice or e-mail messages, etc that you create or receive while doing your job that have only short-term, immediate or no future value to the municipality.

Transitory records can legally and routinely be destroyed

There are no firm rules as to what is and is not a transitory record. The decision will be based on the judgment of each employee.

If the information in a record will have some future administrative, financial, legal, research or historical value to the municipality then it is *not* transitory and should be filed. (refer to "Schedule A" of this Bylaw). For example, e-mail messages that record approvals, recommendations, opinions, decisions or government business transactions. These have future value and are *not* transitory.

Categories of Transitory Records:

Temporary Information

This includes telephone messages, routing slips, post-it notes, opened envelopes, memos, notes and messages (either paper, voice or electronic) where the information has only immediate or very short-term value. Once they have been used to perform the required activities, the records have no further value.

On occasion, records such as these must be kept. Envelopes might be kept because the time and date of receipt are stamped on them. A telephone message slip may have to be filed as it provides evidence of an individual calling at a certain time and date. If there is any doubt as to whether recorded information will have any future reference value, file the record.

Duplicates

This includes exact reproductions of a master document. Common examples are photocopies, or extra copies printed from a computer system or by a commercial printer.

Appendix C
Transitory Records

COUNTY OF THORHILD #7 LIBRARY BOARD POLICY MANUAL

After the master version has been filed, the duplicate may be destroyed. Clearly identify duplicates that are circulated strictly for reference purposes, so they are not filed.

A duplicate can sometimes be altered by someone adding handwritten comments, notes or initials to it. This action creates a new record. If this added information will have future value to the municipality, file the document.

Draft Documents and Working Material

This includes source material used in the preparation of documents and earlier versions of final documents. Usually, drafts and working materials, where paper or electronic, do not have long-term value and can be destroyed as transitory records.

Some exceptions include drafts and working papers related to the preparation of legislation, legal documents, budgets, policies, standards, guidelines and procedures. These documents may not be transitory if the municipality was primarily responsible for their creation. This information may have some future value to the municipality that warrants filing it.

Publications

This includes books, magazines, periodicals, pamphlets, brochures, journals, newspapers and software documentation obtained from sources *outside* the municipality. If they have no future value and their usefulness is finished, they can be discarded in accordance with the municipality's guidelines.

Master copies of publications produced by or for the municipality are *not* transitory and should be filed. Extra copies are transitory once the publication is obsolete and may be destroyed. If it is believed that an obsolete publication has some historical significance, the Provincial Archives of Alberta or the local Archives may be contacted.

Direct Mail

This includes solicited or unsolicited information received from organizations or individuals advertising their products or services. If it is directly relevant to the operation of the municipality, this material may be filed for future reference. The vast majority of these types of documents are "junk mail" and can routinely be destroyed.

Appendix C
Transitory Records

COUNTY OF THORHILD #7 LIBRARY BOARD

POLICY MANUAL

Blank Information Media

This includes anything that was created or acquired for the purpose of collection or storing information but which has not been used and has become obsolete. Example: blank forms.

This category can be used when storage media information must be physically destroyed such as videos, audio or dictation tapes, diskettes, magnetic tapes, disk drives, or optical disks, where:

- Sensitive or confidential information was previously stored
- Where that information was erased according to an approved records retention and disposition schedule; and
- Where it is possible that someone could recover the erased information by technical means.

Process for Transitory Records Disposal:

Disposal of transitory records depends on two factors:

- Whether or not the records are confidential, and
- The physical format or medium of the records.

Confidentiality

Many transitory records do not contain confidential information, but some include personal information about individuals, third-party business information, cabinet confidences, or other sensitive information. Section 15 – 28 of the Freedom of Information and Protection of Privacy Act provides guidance on what could be considered sensitive or confidential.

Obsolete blank forms that could be misused should be treated as confidential transitory records. Example: purchase orders.

Physical Format

The two most common record formats are paper and electronic media. Paper records can be recycled, pulped or shredded. Records on electronic media can be deleted through a specific action or erased automatically after a specified period of time.

Information obtained from Alberta Public Works, Supply and Services: "A Guide to Identifying and Disposing of Transitory Records" brochure.