



# **CURVE LAKE FIRST NATION**

## **RECORD RETENTION**

**POLICY 01.023**

### *Policies and Procedures*

*Policy Framework and Support Procedures to guide and properly manage Curve Lake First Nation Records.*

*Approved by Council on June 25 2020*

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## INTRODUCTION

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### Application:

This policy applies to all records of Curve Lake First Nation.

### Exclusions:

### Responsibilities:

**Council** is responsible to ensure that Policy is in place to ensure transparent and effective governance.

**Administration** is responsible to ensure that the Policies and Procedures of the Curve Lake First Nation are followed and to identify areas of policy concern.

**Human Resources** is responsible to ensure employment practices and procedures conform to legislation and the approved Curve Lake First Nation Policies.

**Employees** are responsible to meet the requirements of this policy and their job description, and carry out the functions in a professional manner

### Review:

This policy will be reviewed every three years and may be amended from time to time.

### Dates:

It was approved on June 25 2020.

## DEFINITIONS

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### IN THIS POLICY,

- a. **“Transitory Record”** is a record that is for short-term use only and is produced in the course of routine actions, in the preparation of other records which replace them, or for convenient reference.
  - (1) Transitory records can be in paper or electronic form, including email. Examples include:
    - i. Telephone messages, routing slips, post-it notes, opened envelopes, memos, notes and messages (either paper, voice or electronic).

# Chapter 1 – Record Retention and Disposition

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## **NO RECORD DESTROYED**

1. No record shall be destroyed unless:
  - (1) The retention period established for the record in accordance with this policy has expired and no information hold is applied on the record; or
  - (2) The record is a transitory record.

## **RETAINED**

2. The information and records of the Nation shall be retained in accordance with:
  - (1) *Schedule 1* established under this policy.

## **RESPONSIBILITY**

3. All Curve Lake First Nation employees, elected officials, committee members, and volunteers who create, work with, or manage records shall:
  - (1) Comply with the record retention periods as specified in *Schedule 1*;
  - (2) Ensure that official records in their custody or control are protected from inadvertent destruction or damage; and
  - (3) Ensure that transitory records in their custody or control are destroyed when they are no longer needed for short term reference.

## **TRANSITORY RECORDS**

4. A transitory record may be deleted or otherwise destroyed on the same day (or thereafter) that the record was created or received.
5. Transitory records can be in paper or electronic form, including email. Examples include:
  - (1) Telephone messages, routing slips, post-it notes, opened envelopes, memos, notes and messages (either paper, voice or electronic).
6. If the information in a record will have some future administrative, financial, legal, research, cultural or historical value, then the record should be filed.
7. If there is any question as to the historical or cultural value, the document will be reviewed by someone with the appropriate cultural or historical knowledge to make a recommendation. This review can be completed by a community member who is not a part of the administrative team.

## **RECORDS RETENTION WORKING GROUP**

8. A records retention working group shall comprise of:
  - (1) Chief Operating Officer
  - (2) Policy & Planning Officer;
  - (3) Finance Manager;
  - (4) Education Manager;
  - (5) Health and Family Services Manager;
  - (6) Economic Development Coordinator; and
  - (7) Lands Manager.
9. The records retention working group shall meet as required to:

- (1) Review proposed amendments and additions to the retention schedule, prior to submission for approval by Chief & Council
- (2) Confirm that the retention schedule complies with all relevant legislative, financial and historical requirements for records retention; and
- (3) Review record keeping matters, including but not limited to an annual review of information holds.

10. The records retention working group can conduct business in person, via email, or by teleconference.

#### **CALCULATING RECORDS RETENTION**

11. Retention periods should always be interpreted and applied “after all administrative actions are completed,” i.e., \_\_\_ years after all administrative actions are completed.

#### **HOLDS**

12. A majority of the Records Retention Working Group may put a record hold.

13. A hold prevents a record from being destroyed.

14. A majority of the Records Retention Committee may remove a record hold.

#### **REMOVING OR DESTROYING A RECORD**

15. The removal or destruction of a record against the terms of this policy is a disciplinable offence for staff, Chief, and council.

## **CHAPTER 2 – ESTABLISHMENT OF RETENTION SCHEDULES**

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#### **RECORDS RETENTION WORKING GROUP**

16. No retention period shall be established unless the Records Retention Working Group has approved the retention period.

17. Records Retention Working Group approval shall be obtained prior to a review, establishment or amendment of a retention schedule by Chief & Council in accordance with this schedule.

## **CHAPTER 3 – OTHER POLICIES**

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#### **POLICY SUPERSEDES**

18. This policy supersedes all other record retention policies unless specifically stated otherwise.



## SCHEDULE 1: GENERAL

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1. File closed after information is superseded (replaced or take the place of) or obsolete (no longer in use) (S/O)
2. P = Permanent

Subject	Description	Retention Period (YEARS)
Accountants	Working Papers	7
Accounts	Paid (summary sheet)	7
	Payable vouchers	7
	Receivable duplicate	7
	Invoices	7
Administration	Reports (not part of minutes) As per legislation	7
Advertising	General	2
	As per legislation	7
Agendas	Part of Minutes	P
Agreements	General	12 S/O
	Development	12 S/O
	Major Legal	12 S/O
	Minor Legal	12 S/O
Annexations	Correspondence	7
	Final Order	P
Annual Reports		5-7
Applications	Site Plan Approval	2
	Subdivision (after final approval)	3
	Part Time Employees (after end of employment)	1
Appointments	Other than those in minutes	3
Assessments		2
Assessment Appeal		2
Assets		20 S/O
	Records of Surplus	5
	Temporary Files	2
Audit	Reports	P
Bank	Deposit Books	7
	Deposit Slips	7
	Memos (Credit/Debit)	7
	Reconciliations	2
	Statements	7

Boards	Minutes Authority & Structure Correspondence	P 5 S/0 5
Briefings/Reports	To Council	7
Budgets	Operating (in minutes) Capital (in minutes) Working Papers	P P 3
Bylaws	All	P
Cash	Receipts Journal Disbursements Journal Duplicate Receipts	7 7 7
Certificate	Of Title	P
Census	Reports	12
Cheques	Cancelled (paid) Register Stubs	7 7 7
Claims	Notice of Statements of	12 S/0 12 S/0
Committee	Minutes	P
Community Centre	Applications	7
Compensation Cards	Computer Records	10
Contracts	Files (completion of) Forms Major Legal Minor Legal	12 S/0 12 12 S/0 12 S/0
Council	Minutes	P
Court Cases		12 S/0
Data & Research Studies		7
Destroyed Records Index		P
Documents	Not part of Bylaws Agreements Major Legal Agreements Minor Legal Contracts Legal Easements Leases (after expiration) Notices of Change of Land Titles	12 S/0 12 S/0 12 S/0 12 S/0 12 S/0 12 S/0 12 S/0
Elections	Nomination Papers Ballot Box Contents (from date of election)	5 6
Engineering	Drawings	P
Employee Benefits		5
Employees	Job Applications (hired) Job Application (not hired) Job Descriptions Oaths of Office Personnel File	3 1 3 (after position abolished) 2 (after position vacated)



	Pension Information	3 (after cessation of employment or 6 after dismissal) P
Financial Statements	Interim Working Papers Final	10 3 12
Income Tax	Deductions TD1 T4 T4 Summaries	
Inquiries	From the Public	3
Insurance	Claims Records (after expiration)	12 (after settled) 12
Land	Appraisals	1 (after sold)
Leases	After expiration	7 S/0
Legal	Opinions Proceedings	12 S/0 12 S/0
Legislation	Acts (after superceded)	1
Licenses	Applications Business (after expired) Literature	3 5 2
Local Improvements	Records	P
Maps	Base (original) Contour	P P
Maintenance reports		12
Minutes	Council Committee	P P
Payroll	Garnishees Individual Earning Records Journal Time Cards Time Sheets- Daily Overtime Weekly Employment Insurance Records	3 (after garnish is complete)  6 6 4-6 5 5 5 5 (after cessation of employment)
Permits	Development	12 S/0
Petitions		10
Plans	Official Amendments Subdivision	P P P
Policy	After superseded	5
Progress Reports	Project Under Contract (Final Payment)	5-7
Property Files		Until Sold + 10
Publications	Local Reports	3
Purchase	Land	Until Sold + 12

Receipts	Books Duplicate Cash Registration	7 7 7
Receptions and Special Events (non-historic)		3
Reports	Accident Accident Statistics Field Community Organization	12 S/0 12 S/0 12 S/0 P P
Requisitions	Copies Duplicate Paid	2 7 7
Resolutions	Minutes	P
Subdivision	After Final Approval	12
Street	Sign Inventory Register	P
Student Assessment Data	EQAQ/CAT1V/Other	7
Student/Child Registration Information		5
Tax	Arrears Final Billing Municipal Credits Receipts Rolls Sale Deeds	7 12 7 7 P P
Termination	Employees	P
Tenders	Files Successful Purchase Quotations Unsuccessful	12 12 12 10
Traffic	Streets	7
Training and Development Files		5
Vendors	Acknowledgements to Contracts Suppliers Files	2 12 12
Zoning	Bylaws Bylaw Enforcement	P 5
Volunteer	Application Oaths of Office Personnel File	3 2 1 (after cessation of volunteer role)

# POLICY APPROVAL

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This Policy was passed during a duly convened meeting of the Curve Lake First Nation Council held on June 25 2020.



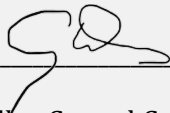
Chief Emily Whetung



Councillor Laurie Hockaday



Councillor Jeffrey Jacobs



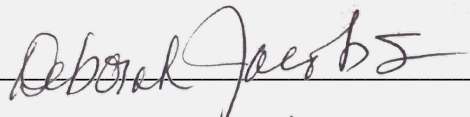
Councillor Crystal Cummings



Councillor Sean Conway



Councillor Arnold Taylor



Councillor Deborah Jacobs



Councillor Saga Williams



Councillor Nodin Knott