

<b>STATEMENT of POLICY and PROCEDURE</b>			
Manual:	Governance	Policy #.	<b>1.2.04</b>
Section:	Governance: Administration	Issued:	December 6, 2013
Subject:	<b>Records Retention</b>	Effective:	December 2013
Issue to:	All Manual Holders	Page:	1 of 9
		Updated	August 28, 2018
Issued by:	The Saskatchewan Association of Licensed Practical Nurses		

## 1. POLICY

- 1.1 Records shall be retained for the retention periods specified below. Retention periods shall be based on conceptual classes of records and shall be no shorter or longer than necessary to meet operational needs, legal requirements, and archival responsibility.

### General Series of Records:

Series	Functional Type	Closure Criteria	Retention Period
General Series	Drafts restricted to internal use	Document finalized	6 months
	Drafts shared for external feedback	Document accepted	6 months
	Electronic calendars	Annually, one month after calendar year end.	7 years
	Event planning – administrative material excluding actual content of the event	Event complete	6 months
	Survey data – raw	Report accepted	2 years
	SALPN studies and surveys, SALPN scans, statistical and activity summary reports, excluding CIHI	Annually or upon completion of study	Permanent
	Canadian Institute of Health Information (CIHI) reports to which SALPN contributed	Publication of report	Permanent
	Casual inquiries excluding registration	Annually	6 months
	Copyright agreements	N/A	Permanent
	Non-SALPN regulatory information with direct impact on regulatory decisions (like examination development, nursing education program equivalence, jurisdictional processes, recognition of practice)	When superseded	15 years

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Issue to:	All Manual Holders	Page:	2 of 9
		Updated	August 28, 2018
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	Personal information that is not part of the regulatory mandate	As soon as the purpose for which it was collected is satisfied.	½ year
	Legal opinions		Permanent

Meetings Series:

Meetings Series: Council and statutory committees including election and Annual Meeting	Terms of reference, Agenda, Minutes, Supporting Documentation	Annually, one month after calendar year end.	Permanent
	Appointments	Annually, one month after calendar year end.	Permanent
	Orientation and education	Annually, one month after calendar year end.	7 years
Meetings Series: Staff Advisory Committees involving non-staff members	Terms of Reference, Agenda, Minutes, Supporting Documentation	Annually, one month after calendar year end.	Permanent
	Appointments	Annually, one month after calendar year end.	Permanent
	Orientation and Education	Annually, one month after calendar year end.	7 years
Meetings Series: External committees	Reports and Supporting Documentation	Committee disbanded	15 years
	Appointments	Committee disbanded	Permanent
	Orientation and Education	Annually, one month after calendar year end.	7 years

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Subject:	<b>Records Retention</b>	Effective:	December 2013
Issue to:	All Manual Holders	Page:	3 of 9
Issued by:	The Saskatchewan Association of Licensed Practical Nurses	Updated	August 28, 2018

Meetings Series: Internal Employee Committees	Management: Agenda, Minutes/notes, Supporting Documentation	Annually, one month after calendar year end.	Permanent
	All other Employee Meetings: Agenda, Minutes/notes; Supporting Documentation	Annually, one month after calendar year	15 years

SALPN Document Series:

SALPN Document Series	Legislative Documents	Proclamation of new Act and/or Bylaws	Permanent
	SALPN Policies	When superseded	Permanent
	Practice Support Documents	Published	Permanent
	SALPN Newsletter	Published	Permanent
	Annual Report	Published	Permanent
	Website content: individual pages and sections are edited often	Quarterly virtual closure: website 100% copied	Permanent

Member Series:

Member Series	Inquiries	Annually, one month after calendar year end.	7 years
	Information kits, all types	When superseded	7 years
	Examinations: candidate results	Annually, one month after calendar year end.	Permanent
	Examinations: school results	Annually, one month after calendar year end.	15 years
	Examinations – administration	Annually	7 years

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Issue to:	All Manual Holders	Page:	4 of 9
		Updated	August 28, 2018
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Initial membership applications with fee received	When applicant is accepted, rejected, or inactive for 5 years	Permanent
Membership applications with no fee received	When inactive for 5 years	6 months
Good character:	Upon case decision	Permanent
Initial registrations – docket information	For members: upon registration	Permanent
Initial registration – decision support documents	When superseded	7 years
Renewal registration – data in membership database	Electronic or scanned	Permanent
Renewal registration forms & decision support documents	Electronic or scanned	7 years
Recognition of practice and extension decisions – data in Merit	Annually one month after registration year end.	Permanent
Registers: original books of entry and annual snapshot reports	N/A	Permanent
Licensure Audits: Submissions / Decisions	Annually	Permanent
Educational program approval decisions including self-evaluation, reports	Assessment completed	Permanent
Investigation of complaint and complaint dismissed outright	Case dismissed	75 years
Investigation of conduct and complaint dismissed with a cautionary letter.	Case dismissed	Permanent
Investigation of conduct and Alternate Dispute Resolution or prosecuted	Case agreement signed, or referred to discipline	Permanent
Discipline cases and hearings resulting in dismissal of charges	Upon dismissal and expiration of appeal periods	Permanent

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Issue to:	All Manual Holders	Page:	5 of 9
		Updated	August 28, 2018
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	Discipline cases with conviction and/or agreement: orders, conditions and monitoring data	Case orders fulfilled and appeal periods expired	Permanent
Member: Support Series	Workshops and conferences offered by SALPN – content	Event completed	15 years
	Video, radio, press productions for Regulatory information	Published	Permanent
	Other video, radio, and press productions, non-Regulatory information	Published	7 years
	Chapters: Formations	Upon dissolution	Permanent
	Chapters and professional practice groups: Minutes/Reports	Upon dissolution	15 years
	Practice advisement including agency consultations, excluding workplace organization audits	Case finished	15 years
	Member recognition /awards including SALPN nominations to external bodies	Award granted	Permanent
External Relationships	Governments – briefs to government	Annually	Permanent
	Governments – records excluding briefs	Annually	15 years
Health Districts/Regions			15 years
Media Relations and Projects & clippings		Annually or upon project completion	7 years
Membership in other bodies		Membership terminated	7 years

Administrative Series:

Administrative Series	Building and property: holdings, design, renovation	Upon project completion or upon sale.	Permanent
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Issue to:	All Manual Holders	Page:	6 of 9
Issued by:	The Saskatchewan Association of Licensed Practical Nurses	Updated	August 28, 2018

Building operational & security systems and maintenance	Obsolescence	7 years
Equipment and supplies	Obsolescence	7 years
Contracts	Upon fulfillment of all conditions	7 years
Financial statements, general ledgers and posting journals	Annually 3 months after fiscal year end	Permanent
Audit working papers and reports	Annually 6 months after fiscal year end	7 years
Expenditures	Annually 3 months after fiscal year end	7 years
Receipts	Annually 3 months after fiscal year end	7 years
Budgets	Annually	7 years
Procurement	Cases Annually; Supplier Info when superseded	7 years
Banking and investments	Annually 3 months after fiscal year end, or termination of relationship	7 years
Insurance	Upon policy termination and or case settlement. SALPN no longer liable	7 years
Strategic planning	Upon project completion	Permanent
Information systems (hardware and applications that manage hardware) excluding records metadata.	Obsolescence or project completion	15 years
Information systems – records metadata	N/A	Permanent
Facilitated research	SALPN involvement in case completed	15 years
Emergency Preparedness	When superseded	15 years

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		Updated	August 28, 2018
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Human Resources	Recruitment and employment Programs	Upon recruitment or program completion	7 years
	Employee history including pension information, excluding performance management	End of employment due to death, resignation, retirement or termination	75 years
	Employee history – performance management	End of calendar year	15 years
	Compensation system and Position Descriptions	When superseded	15 years
	Attendance Management	Annually	7 years
	Payroll and benefits including workers compensation	Annually 3 months after calendar year end	7 years
	Health and safety	Incident resolved or information obsolete	15 years
	Organizational Chart	When superseded	Permanent
	Unsuccessful applications for positions, whether solicited or unsolicited	When the competition closes or 3 months, whichever arrives first	½ year
<b>Functional Series</b>	<b>Functional Type</b>	<b>Closure Criteria</b>	<b>Retention Period</b>
Email Correspondence (Outlook)	Email Inbox	When received	90 Days moved to deleted folder
	Email Sent	When Sent	90 Days moved to deleted
	Email All other folders	When received	365 Days deleted immediately
	Email Deleted Items folder	When received	120 Days

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Issue to:	All Manual Holders	Page:	8 of 9
		Updated	August 28, 2018
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- 1.2 Notwithstanding the foregoing, records and information that have a documented organizational purpose to be retained or to be retained for a longer period should be kept for that longer period along with the documented reason for their retention.
- 1.3 Records shall be destroyed at the end of their retention period as set out in paragraphs 1.01 and 1.02. Records containing personal information of members, suppliers or employees which are not required by law, regulation or documented organizational need must be destroyed within one year of their acquisition.
- 1.4 Records shall be stored securely and access limited to those with a valid reason for requiring access.

## **2. PROCEDURES**

- 2.1 Annual Retention Cycle
- a. Annually, the Office Manager shall send a reminder to all employees of the company's retention policies identifying the individuals responsible for each series.
  - b. All employees will submit for archiving those records and documents requiring archiving to the office manager;
    - o Electronic records may be submitted by filing in unique, password-protected electronic folders on a shared server
    - o Paper records must be submitted physically
- 2.2 Record Keeping
- a. The individuals responsible for retention of records will keep separate records of archived materials. For each annual retention cycle, both electronic files and storage boxes will be established. Files or boxes will be organized by retention period, and labelled with (in the case of electronic files, associated with):
    - o Box number or electronic file identifier
    - o Type of records
    - o Organization name and contact information
    - o Retention date
    - o Retention period



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Issue to:	All Manual Holders	Page:	9 of 9
		Updated	August 28, 2018
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- o Date by which the material should be returned from archives

- b. In some cases, retained records will not be archived. These records must nevertheless be recorded on the retention register and the location of the records documented.

### 2.3 Annual Archiving Cycle

- a. Retained records, both electronic and physical, shall be kept in a secure location, preferably offsite.
- b. Access to retained records shall be restricted to:
  - o Office Manager
  - o Executive Director
  - o SALPN Chair

### 2.4 Annual Review and Destruction Cycle

- a. Annually, individuals responsible for records retention will review the records whose retention period has expired.
- b. In most cases, these records should systematically be destroyed with due attention to the confidentiality level of the information, usually shredding.
- c. In cases where there is some reason to believe that the records should be retained for longer, the Executive Director will correspond with the originator of the records requesting clarification or questioning the retention period. The Executive Director holds the final accountability in the decision to retain or destroy records beyond the expiry date.