

RECORDS RETENTION SCHEDULE

LG13

Public Library Records

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(Amended March 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention Schedule LG13 Public Library Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of twenty-seven (27) separate sets of records, or series, recognized as those records generated by public libraries. Included in each entry is a series number, records series title and description, and a retention period. For example,

| <u>Series No.</u> | <u>Series Title & Description</u> | <u>Retention Period</u> |
|-------------------|--|--------------------------|
| LG13.1.3 | Interlibrary Loan Records Requests for books through interlibrary loan is complete. system. Includes reverse notices, check-in slips, and hold alerts. | Retain until transaction |

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

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Rhode Island Local Government Records Program
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Providence, Rhode Island 02903
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State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

| | | | |
|---|------------------------|---------------------|-----------|
| 1. Department | | | |
| 2. Division | | 3. Date | |
| In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction. | | | |
| 4. Record Series Number (from schedule) | 5. Record Series Title | 6. Dates to/from | 7. Volume |
| | | | |
| 8. I certify that I have reviewed the above listed records and authorize their destruction. | | | |
| Dept. Head or Records Custodian _____ | | | |
| State Archivist _____ | | | |
| & Public Records Administrator _____ | | | |

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

| | |
|--|----------------|
| standard records storage box (15" x 12" x 10") | 1.2 cubic foot |
| letter size file drawer | 1.5 cubic feet |
| legal size file drawer | 2 cubic feet |
| lateral file drawer | 2.5 cubic feet |

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG13 Public Libraries

LG13.1 Circulation Records

LG13.1.1 Patron Registration Records (amended 5/2016)

Registration record for library access privileges. Includes patron's name, address and date of birth. May include additional contact information and additional copies of forms of identification and/or identification numbers.

Retention: Retain two (2) years after last activity. Delete records of deceased patrons upon request and verification.

Note: Any agreement issued by the department or its division that acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.

LG13.1.2 Interlibrary loan records

Request for materials through interlibrary loan system. May include reserve notices, check-in slips and hold alerts.

Retention: Retain until transaction is complete.

LG13.1.3 Overdue Notices/Fines – obsolete record

Note: Ocean State Libraries generates overdue notices and fines and data is retained for one year on a rolling basis and does not include patron identifiable information.

LG13.1.4 Collection Records

Records that document the collection of fines from overdue and lost materials. May include lost and paid forms and collection agency forms.

Retention: Retain until resolution and completion of municipal audit.

Note: Ocean State Libraries generates overdue notices and fines and data is retained for one year on a rolling basis and does not include patron identifiable information.

LG13.1.5 Missing Materials

Record of materials identified as not on the shelf and not circulating and labeled as missing.

Retention: Retain until resolution or until materials are replaced or records are removed from system.

LG13.2 Technical Services

LG13.2.1 Cataloging Records/Data

Bibliographic record created for new accessions. Includes assignment of barcode and request for cataloging.

Retention: Retain until item is de-accessioned.

LG13.2.2 Shelf List – obsolete record

Note: Shelf list information may be accessed through the Ocean State Library network. Data is retained by the system until changes are made by member libraries.

LG13.2.3 Catalog

OPAC listing of library holdings by author, title and subject headings.

Retention: Retain until updated, superseded or obsolete.

LG13.3 Reference Services

LG13.3.1 Vertical/Subject Files

Reference files maintained by the reference staff to aid in information and referral services.

Retention: Weed as necessary. Retain until updated, superseded, or obsolete.

LG13.4 Administration

LG13.4.1 Incorporation Records

Records that establish the library as a legal body or entity.

Retention: Permanent.

LG13.4.2 Complaint Reports

Complaints reported to the library staff. May include reports made by patrons to library staff concerning programming and materials selection and availability, reports by library staff to director, response to complaint and final decision.

Retention: Retain three (3) years. *Complaints concerning censorship issues (including filtering) should be reviewed for historical value.*

LG13.4.3 Incident and Accident Reports

Retention: *See GRS3.7 Incident Reports and Accident Reports.*

LG13.4.4 Fundraising Records

Records that document the fundraising activities by the library. May include but is not limited to annual reports, programs and brochures, membership lists and letters, press releases, meeting minutes and correspondence.

a) One copy of any program/publication and any related photographs, annual reports, meeting minutes, pertinent correspondence and press releases.

Retention: Permanent

b) All other records.

Retention: Retain until of no further administrative value.

See Also: GRS5.7 Public Relations Records

LG13.4.5 Donation and Endowment Records

Records relating to the establishment and administration of endowments, bequests and donations. May record donations made in the memory of an individual, group or corporate body or as a book/material endowment.

Retention: Retain until of no further administrative value. Review for historical value.

Note: Records that document a significant or noteworthy donation or endowment should be retained permanently.

LG13.4.6 Program and Exhibit Files

Records that document programs, services and exhibits sponsored or co-sponsored by the library. My include but is not limited to press releases, copies of brochures and mailings, reading lists, memos and correspondence, clippings, photographs, invitations, resumes of exhibitors and lists of participants.

Retention: Retain until of no further administrative value but no less than three (3) years. Summarize program, services and exhibit activities in the annual report of the library.

See Also: GRS5.7 Public Relations Records

LG13.4.7 Disaster Preparedness Plans

States the library's plan of action in the event of a natural or other disaster using the template provided by the Office of Library and Information Services (RIGL 29-6-3(e))

Retention: Retain current plan only.

LG13.4.8 Preservation Plan

States the preservation needs and objectives of the library for the year using the template provided by the Office of Library and Information Services (RIGL 29-6-3 (d)).

Retention: Retain current plan only.

LG13.4.9 Grant Files

Records relating to the agency's development of grant proposals to state or federal agencies or other funding sources, and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports.

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

d) Income transaction records (earning of income) after grant support (Where required by the terms of the grant)

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG13.4.10 Reports

Internally generated reports not covered in other record series, including reports and returns to municipal departments and state agencies.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in the audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual, special reports and studies

Retention: Permanent.

LG13.4.11 Certification of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules.

(RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10)

Retention: Permanent.

LG13.4.13 Library Boards and Trustees (amended 5/2016)

Boards formed in partnership for purposes of creating and administering new and existing services to the library community. Includes meeting notices, lists of board of trustee officers, information regarding board functions, manuals, agendas, meeting minutes and annual reports.

(a) Records that show coordination and long range planning of board or its programs and have authority through public law, executive order or municipal ordinance. May include, but are not limited to, policy manuals, meeting minutes and agendas, clippings, and correspondence.

Retention: Permanent.

(b) Records that show implementation and administration of program. Records may include but are not limited to agreements, correspondence, monthly and periodic reports documenting activities, statistical reports, surveys and clippings.

Retention: Retire records when board or program is defunct or retain until no longer of administrative value then review for historical value.

LG13.4.14 Board of Trustee Records (combined with Library Boards)

LG13.4.15 Minutes of Meetings (combined with Library Boards)

LG13.4.16 Membership Agreements (new series added 5/2016)

Library membership agreement with Ocean State Libraries including annual renewals and payment of dues.

Retention: Retain ten (10) years from renewal of membership or three (3) years from last renewal and completion of municipal or agency audit.

LG13.4.17 Sub-recipient grant records (added 3/2017)

Municipal and non-municipal public libraries may apply for and receive sub-grant funding from federal, and state funding sources administered through the Office of Library and Information Services (OLIS). Types of grants, received and managed through OLIS, may include but are not limited to: Public Library Construction Reimbursement Grants, Public Library Grant-in Aid, and LORI (Library of Rhode Island) Grants. Records created by the local public library include but are not limited to: grant applications, reports, plans and forms as required by OLIS or any other state agency where the local public library is a sub-recipient, purchasing records (invoices, purchase orders), payroll records; reimbursements and related fiscal records, waivers, or any other records as required by the terms of the grant.

Retention: Retain ten (10) years after the end of the sub-grant period (closeout date), or ten (10) years after audit (if applicable to OMB A-133 audit requirements) or ten (10) years after the completion of the municipal audit, whichever is later. In the event of litigation, retain seven (7) years after final disposition of litigation or ten (10) years after case opens, whichever is later.

Note: If any claim, negotiation, or other action involving the records has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: For the retention of grant applications and amendments, final performance, disposition and expenditure reports not related to a sub-grant see LG13.4.9 Grant files.

LG13.5 Special Collections (added 5/2016)

LG13.5.1 Special Collections Descriptive Records

Permanent and historical records including descriptive records such as accession log, accession records, catalogs, finding aids, guides, surveys, and inventories.

Retention: Permanent.

LG13.5.2 Researchers Sign-in Logs

Documents the daily users of the library's special collections.

Retention: Retain four (4) years.

LG13.5.3 Retrieval Records

Form used to retrieve, re-file, control and track production of special collections records from the holdings.

Retention: Retain four (4) years.

Note: Discard duplicate copies after re-file process is completed.

LG13.5.4 Temperature and RH Recordings

Hygrothermograph recordings of temperature and relative humidity condition in special collections vault or storage area.

Retention: Retain one (1) year.

LG13.5.5 Preservation Records

Documents efforts to ensure the preservation of the library's special collections. Includes preservation plans, records relating to preservation actions and document conservation

Retention: Permanent.

LG13.5.6 Exhibit Records

Documents exhibits and displays from special collections holdings. Includes exhibit research and development files, pamphlets, guides and other publications and publicity.

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

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