

DANIEL BOONE REGIONAL LIBRARY

SUBJECT: Document Management and Retention

ADMIN 2-635

BOARD

SECTION:

600 – Library Administration

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POLICY

The Daniel Boone Regional Library (DBRL) will retain written and electronic records (including e-mails) with administrative, legal, fiscal or historical value for the period of their immediate or current use unless longer retention is necessary for historical reference or to comply with contractual or legal requirements. This policy authorizes the regular, timely clearing of files via proper disposal channels after the retention time has been met.

Email messages are treated like any other record and assessed for retention or disposal depending on their content, including the sending and receiving parties.

The Executive Director or Executive Director's designee shall be the custodian of records and will be responsible for maintenance and control of all records and compliance with this policy and its procedures.

The disposal of bulk records will be recorded in a record disposal form (Attachment B), which includes the description and quantity of each record series disposed of, manner of disposal, inclusive dates covered and the date on which the records were disposed. These record disposal forms will be kept as part of DBRL's permanent records.

PROCEDURES

This policy, accompanying procedures and retention schedule are developed in accordance with recommendations provided by the Local Records Board, which was established by the State of Missouri for the purpose of developing efficient and effective management of records of local agencies (Chapter 109, RSMo). This policy, procedures and retention schedule comply with DBRL's Policies 2-620 (Open Meetings and Records) and 2-672 (Confidentiality of Patron Records).

A schedule of minimum retention periods and proper disposal channels is appended to this policy (Attachment A). No records which are to be retained may be destroyed until they meet the minimum retention period listed in Attachment A. In cases where there is no schedule for a particular record series, the Local Records Board must grant permission for the destruction.

I. Retention

a. Methods of Retaining Documents of the Types Listed in I.c.

- i. Hard Copies.** A copy of each document shall be retained in short- or long-term storage.

- ii. Electronic Documents Other Than E-mails. A copy of each document shall be sent to either the custodian of records or stored electronically at the server level.
 - iii. E-mails. A copy of each e-mail shall be sent to either the custodian of records or stored electronically at the server level.
- b. Non-Records (Materials Not Retained)
- Per the Missouri Secretary of State's General Records Retention Schedule (Revised August 2015), the Public Libraries Retention Schedule (Revised August 2012) and accompanying notes, non-records include the following materials:
- i. Library material made or acquired and preserved solely for reference or exhibition purposes
 - ii. Extra copies of documents preserved only for convenience of reference
 - iii. Identical copies of documents maintained in the same file
 - iv. Extra copies of printed or processed materials (official copies of which are retained by the office of record), including stocks of publications
 - v. Superseded manuals and other directives (maintained outside the office of record)
 - vi. Materials documenting employee fringe activities (blood donors, charitable funds, social and professional meetings, etc.)
 - vii. Work papers and drafts of reports or correspondence
 - viii. Transcribed stenographic materials
 - ix. Blank forms
 - x. Materials received from other activities that require no action (official copies of which are retained by the office of record)
 - xi. Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record
 - xii. Survey forms
- c. Records (Materials Retained [pertains only if such materials are created])
- i. E-mails among Members of Public Bodies. In accordance with RsMO 610.025, e-mails should be retained if a member of a public body transmits an e-mail relating to public business to at least two other members of the body so that, when counting the sender, a majority of members are copied.
 - 1. Public Bodies. In the above paragraph, in accordance with RsMO 610.010(4), Public Bodies refers to any of the DBRL governing boards, including District boards and Committees.

- ii. Electronic, hard-copy or e-mail documents substantially pertaining to any of the following categories.
 - 1. Accident Reports: Interviews, medical and legal forms and other documents relating to a personal injury or involving hazardous materials.
 - 2. Accounts Payable: May include invoices, billing statements, store receipts, payment reports, W-9s, petty cash reimbursements and staff/Trustee reimbursements.
 - 3. Accounts Receivable: May included ledger and cash flow sheets, paid invoices, check stubs, communications received with payments.
 - 4. Administrative Reports: Internal monthly activity reports or management reports detailing program activities, operations and/or accomplishments. May be used in compiling annual reports, planning, budgeting and monitoring work progress.
 - 5. Annual Reports/Special Reports: Summary reports documenting the library's primary activities and accomplishments for the previous year.
 - 6. Audit Reports and Work Papers
 - 7. Banking Documents: Statements, registers, reconciliations, deposit/withdrawal records, cancelled/voided checks, earnings and rate information, or other documents relating to accounts including checking, savings, CDs and T-Bills.
 - 8. Bid Records: RFPs/RFQs, project specifications, bids received, bid logs, bid opening notes, attendance at public meetings.
 - 9. Budget Adjustments/Amendments: Line item transfers, supplemental appropriations and other monies received during a fiscal year not included in the approved budget.
 - 10. Budget Documents & Work Papers: Board-approved final budget, budget message, financial summaries, previous actual and budgeted amounts, overhead allocations, related data.
 - 11. Building Applications and Permits: General permits relate to plumbing, electrical, mechanical and excavation. Significant permits include those for new structures or for structural modifications.
 - 12. Building Plans, Drawings and Specifications: Plans and specs for the original structure as well as those for any renovations or additions.
 - 13. Calendars/Planners/Schedules: Records that document and facilitate the routine planning and scheduling of meetings, appointments and daily tasks. Pertains to Managers and

administrators only.

14. Capital Improvement Project Files
15. Cash Receipts (Daily Reports)
16. Circulation Records (Annual and General): Daily, monthly and annual circulation statistics, total fees collected for lost or destroyed materials, number of new patrons, etc.
17. Circulation Records (Personal): Records received, retained or generated by DBRL that identify a person or persons as having requested, used or borrowed library materials and all other records identifying the names of library users including but not limited to records of individual patrons' fees due and received for lost or destroyed materials.
18. Collection Records/Shelf List File: Complete index of current library holdings; records used for collection inventory control.
19. Communication Logs: Registers of incoming and outgoing communications including telephone, fax, computer-aided and teletype transmissions. May include sending/receiving contact numbers, length of call, date, time, subject, location, response and message.
20. Computer Software Licensing Files
21. Computer System Documentation: Records related to the development, implementation, modification and use of computer programs and systems which may include system overviews, operation logs, system instruction manuals, system specifications and changes, conversion notes, flow charts, inventories, record layouts, program specifications and changes, program listings, migration plans, commercial software manuals, related correspondence and documentation.
22. Contracts/Agreements/Leases: For capital projects, property, library programs, maintenance/engineering, cooperative services, consultants and more.
23. Correspondence – General: Letters, memoranda, e-mails, notes, acknowledgements, notices, non-Sunshine requests for information or publications, enclosures, and attachments or other correspondence pertaining to routine matters handled in accordance with existing policies and procedures.
24. Correspondence – Transitory: Documents of short-term interest that have no documentary or evidentiary value, which are not included in any other record series, such as correspondence which requires no administrative action, policy decision, special compilation or research; quasi-official notices that do not serve as the basis of official action, such as holiday notices, reminders of

charitable campaigns, upcoming events, unsolicited vendor solicitations, etc.

25. Correspondence – Policy: Letters, memoranda, e-mails, notes, reports, studies or other correspondence which state or form the basis of policy, set important precedents or record important events in the operational and organizational history of DBRL.
26. Correspondence – Significant: Letters, memoranda, notes or other correspondence pertaining to significant events or requesting/providing information; does not attempt to influence agency policy.
27. Daily Computer Sign-In/Sign-Up Records: Usage information only retained until statistical information is recorded.
28. Deeds and Conveyances
29. Disaster, Emergency Preparedness & Recovery Records
30. Drug-Testing Records
31. Employee Benefit Records: Individual employees' plan selections and other benefits information.
32. Employee Bonds
33. Employee Grievances and Complaints: Complaints, investigation records, interviews, hearing reports and other records filed by current employees, terminated employees, applicants or private citizens regarding employment practices.
34. Employee Medical Records: Individual employees' work-related medical history.
35. Employee Personnel Records
36. Employment Applications
37. Employment Eligibility Verification (I-9) Forms
38. Employment Recruitment and Selection: May include materials used in the advertising, interviewing, testing and hiring of employees.
39. Environmental Complaints: May include complaint forms, investigation notes, survey notes, lab reports, photos, court documents and material samples.
40. Equal Employment Opportunity (EEO) Plans/Policies and Claims
41. Equipment Ownership and Maintenance Records
42. Fee Records: Records relating to test-proctoring fees, copy/fax fees and other non-circulation-related fees.
43. Financial Statements

44. Fixed Assets/Inventory
45. General Ledger: Year-end reports.
46. Gift and Contribution Records: Records relating to the acquisition of liquid assets by the library through wills or donations by citizens and businesses; may include copies of wills, correspondence and records stating and documenting specific use of funds or property.
47. Grant Materials: May include applications, communications with funding agencies, funding announcements and grant reports.
48. Hazardous Materials Records
49. Incident Reports
50. Insurance Claim Files
51. Insurance Policy Records
52. Interlibrary Loan Files
53. Leave Request Records
54. Legal Documents: May include actions, court cases, briefs and opinions.
55. Library Card Applications
56. Mailing Lists: Lists of contacts compiled to facilitate billing, fundraising, official notifications, etc.
57. Maintenance Records
58. Meeting Records – Internal: Minutes, agendas and reports from internal organization/departmental meetings.
59. Meeting Records (Public) – General: Reports, correspondence relating to meeting records, meeting records and A/V recordings of boards, committees or other public bodies.
60. Meeting Records (Public) – Significant: Agendas, minutes, exhibits and resolutions of boards, committees or other public bodies.
61. News Releases: Prepared statements, announcements, new conference transcripts and similar records issued to the news media by the library, which may include routine mentions of library activities as well as notices of historic nature or announcing policy changes.
62. Organizing Documents: May include Bylaws, Charters, Articles of Incorporation, Mission Statement.
63. Payroll Documentation: Annual reports.
64. Permits and Licenses: May included contractor licenses, business licenses, motor vehicle licenses/CDLs and facility use permits.

65. Photographs, Scrapbooks and Clippings: Photographs, news clipping files, scrapbooks and other items of historical or permanent value.
66. Policies and Procedure Files
67. Pollution and Pollution Studies
68. Position Descriptions, Classification and Compensation Records
69. Program Registration and Attendance Records: Includes consent/waiver forms.
70. Public Complaints and Requests: Patrons' complaints or requests about service, maintenance, repairs, materials, etc.
71. Public Notices: Public notices, notice of meetings, proof of publication, affidavits of publication.
72. Public Suggestions: Patrons' suggestions for services, programs, etc.
73. Publications: Published records produced by or for the library and made available to the public. May include library program guides, newsletters, program materials.
74. Purchase Order Files
75. Records Disposal Forms: Documenting the authorized disposition of public records; may include inventories, disposal lists, destruction or transfer authorizations and related correspondence.
76. Records Management Records: Documenting the authorized retention, scheduling, inventory and disposition of public records; may include procedural guidelines, records retention schedules, inventory reports, transfer authorizations and related correspondence.
77. Security Camera Video Recordings
78. Subsidiary Ledgers: Journals, registers, monthly ledgers, trial balance fund.
79. Sunshine Law/Public Information Requests: Requests for information pursuant to RSMo 610 and related documentation; may include description of the records being requested, contact information of person requesting information and/or result of request, including statement that records were copied, viewed in person, did not exist/cannot be found or request was denied.
80. Tax Files (Federal and State Reporting: Forms used to report the collection, distribution, deposit and transmittal of federal and state income, social security and unemployment taxes.
81. Technical Manuals, Specs and Warranties

82. Telecommunications System Management Records: Documents related to the creation, modification or disposition of such systems; may include but are not limited to equipment records, FCC records, prepaid order forms, systems planning records, maintenance contracts, service orders and related correspondence.
83. Time Cards/Absence Reports/Leave Reports
84. Training Materials
85. Travel Expense Records: May include travel requests, authorizations, claims for reimbursement, expense reports and supporting paperwork.
86. Unclaimed Property
87. Unemployment Insurance Case Files: Correspondence sent to DBRL by the Missouri Division of Employment Security regarding claimant, copies of documents from claimant's official personnel file, certified mail receipts, worksheets, audit papers and copies of documents sent to the state by DBRL.
88. Vehicle Ownership and Maintenance Records
89. Vendor Files: Records of vendors providing goods or services to DBRL; may include contact information and description of goods and services provided.
90. Volunteer Programs: Documentation of scope of volunteer programs and statistics; may be used for program planning, publicity, insurance requirements, etc.
91. Volunteer Worker Records: Documentation of individual volunteers' applications, work agreements, assignments, schedule/attendance and related information.
92. Withholding Allowance Records (W-4s)
93. Websites
94. Wage & Tax Statements (W-2s)
95. Work Orders: Maintenance and service requests and authorizations, service reports, applications for services.
96. Workers' Compensation Claims: Accident reports, first report of injury, medical claims, bills, payment vouchers, doctor's reports, hospital emergency room verifications, correspondence and other supporting documentation concerning injuries compensable under Workers' Compensation.

d. Preservation and Control

- i. All record storage areas will be neat, dry and clean.

- ii. Records will be kept in locked files or rooms in secure areas of library facilities as appropriate.
 - iii. Boxed records in storage will be labeled clearly with a description of contents and the anticipated destruction date.
 - iv. Records that have been identified as permanent shall be given special handling and storage to ensure preservation. The custodian shall review the record's medium (paper, magnetic tape, film, etc.) and the quality of the environment (temperature, humidity, light and air) and evaluate the need to microfilm or migrate to other media older, deteriorating, but permanently valuable records.
- e. Maintenance
- i. Records should be reviewed for destruction at least annually.

II. Disposal

a. Record Disposal Form

- i. All records prepared for destruction should be recorded on the approved record disposal form (Attachment B) which is to be retained permanently.
- ii. Prior to destruction, the Department Manager responsible for the records must approve the form.
- iii. Once carried out, the date of the records' destruction and the disposal method will be entered on the record disposal form.

b. Methods

- i. Hard Copies. May be discarded in trash or recycling or destroyed securely by shredding, depending on the information contained within the document. Record series with a disposition of "destroy securely" contain confidential data and should be destroyed under the supervision of a competent person or persons designated to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.
- ii. Electronic Documents Other Than E-mails. May be deleted. In some cases, it is recommended to archive/microfilm for preservation.
- iii. E-mails. May be deleted.
- iv. Illegible Records. When records have been destroyed by decay, vermin, fire, water or other means, making their remains illegible, the custodian of records may dispose of the remains after verification and documentation by the Local Records Program, Office of the Secretary of State.