

100-RICR-50-40-13

TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 40 – LOCAL GOVERNMENT RECORDS RETENTION SCHEDULES

PART 13 – MUNICIPAL PUBLIC LIBRARY RECORDS (LG13)

13.1 Purpose, Authority, Severability, and Destruction

13.1.1 Purpose

To establish the official retention, maintenance, and disposal requirements for a public record based upon any administrative, legal, fiscal, and/or historical value related to that record created or received by an agency, department, division, board, commission, office, or quasi-public corporation under any branch of State or local government which performs functions relating to government, or acts on behalf of a governmental agency, pursuant to law or relating to the transaction of public business.

13.1.2 Authority

This Regulation is promulgated pursuant to the authority granted in R.I. Gen. Laws Title 38 (“Public Records”), including expressly but without limitation R.I. Gen. Laws §§ 38-3-1 et seq.

13.1.3 Severability

If any provision of these Regulations or the application thereof to any Person or circumstances is held invalid by a court of competent jurisdiction, the validity of the remainder of the regulations shall not be affected thereby.

13.1.4 Destruction Review Procedure

Government employees should also consult with their administration 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. (Part 10-2 of this Chapter (Legal Records) and R.I. Gen. Laws Chapter 38-2)

LG13.1 Circulation Records

LG13.1.1 Patron Registration Records

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. Libraries and consortium members maintain patron information and registration data in a Library Management System (LMS)/Integrated Library system (ILS) as the official record.

LG13.1.1A Registration Data

Retention: Retain registration data two (2) years after last activity.

LG13.1.1B Patron Paper Applications

Retention: Retain applications with supporting records ten (10) years.

LG13.1.1C Records of Deceased Patrons

Retention: Delete records upon request and/or verification of death.

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]

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

Records 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]

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.

Note: Complaints concerning censorship issues (including filtering) should be reviewed for historical value.

LG13.4.3 Incident and Accident Reports [SUPERSEDED]

See Also: For associated 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.

LG13.4.4A One Copy of Any Program/Publication and Any Related Photographs, Annual Reports, Meeting Minutes, Pertinent Correspondence, and Press Releases

Retention: Permanent.

LG13.4.4B 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.

See Also: GRS5.7 (Public Relations Records).

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. (R.I. Gen. Laws § 29-6-3(e))

Retention: Retain current plan only.

Note: One copy to be deposited at the Office of Library and Information Services

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. (R.I. Gen. Laws § 29-6-3(d))

Retention: Retain current plan only.

Note: One copy to be deposited at the Office of Library and Information Services

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.

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.

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. (R.I. Gen. Laws § 9-1-17)

LG13.4.9A Grant Applications and Amendments, Final Performance, Disposition and Expenditure Reports

Retention: Permanent.

LG13.4.9B 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.

LG13.4.9C Real Property and Equipment Records

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

LG13.4.9D 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.

LG13.4.9E Unsuccessful Grant Applications

Retention: Retain three (3) years.

LG13.4.10 Reports

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

LG13.4.10A 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.

LG13.4.10B Monthly, Quarterly, and Periodic Reports

Retention: Retain three (3) years.

LG13.4.10C Annual, Special Reports and Studies

Retention: Permanent.

LG13.4.11 Certification of Records Destruction [LEGACY – DUPLICATE]

Certification of Records Destruction forms 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. (R.I. Gen. Laws §§ 38-1-10, 38-3-6(j), and 42-8.1-10)

Retention: Permanent.

See Also: This record series is for information only, see GRS6.8B (Certificates of Records Destruction).

LG13.4.12 Friends of the Library Records

Records which document activities of "Friends of the Library" group, local library association or non-profit group which exists for the purposes of generating funding for services and equipment for the library. May include but are not limited to membership lists/forms, clippings, correspondence, solicitation letters to potential members, programming records including publications/ brochures, tickets and press releases, accounting records, annual reports, agendas and meeting minutes.

LG13.4.12A Annual Reports, Meeting Minutes and Agendas, One Copy of Publications and Brochures and Pertinent Correspondence

Retention: Permanent.

LG13.4.12B Accounting Records

Retention: Retain until audit plus six (6) years.

LG13.4.12C All Other Records

Retention: Retain until of no further administrative value.

LG13.4.13 Library Boards and Trustees

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.

LG13.4.13A 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.

LG13.4.13B 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 [SUPERSEDED]

See Also: For associated retention, see LG13.4.13 (Library Boards and Trustees) and GRS1 (Executive, High-Level, and Policy-Making Records).

LG13.4.15 Minutes of Meetings [SUPERSEDED]

See Also: For associated retention, see LG13.4.13 (Library Boards and Trustees) and GRS1 (Executive, High-Level, and Policy-Making Records).

LG13.4.16 Membership Agreements

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

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.

See Also: 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

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.