**SEYMOUR COMMUNITY LIBRARY**

**SUBJECT: Document Management and Retention SECTION: Library Administration**

**BOARD APPROVED: 12/2021**

**POLICY**

Local Records Retention Schedules Missouri Revised Statutes Chapter 109 (Public and Business Records) Section 255 authorizes the Local Records Board to establish minimum retention periods for the administrative, fiscal and legal records created by local governments. Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules.

**Library Records Retention Schedule**

**What is a Record?**

A "record" is defined as any "document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business" (109.210(5) RSMo). This definition includes those records created, used and maintained in electronic form.

**Non-Records**

Even though records include a broad spectrum of recorded information, not all recorded information is a record. According to Section 109.210(5) RSMo, the following are not records: "...Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records..." Other examples of non-records include the following materials:

* Identical copies of documents maintained in the same file.
* Extra copies of printed or processed materials (official copies of which are retained by the office of record).
* Superseded manuals and other directives (maintained outside the office of record).
* Materials documenting employee fringe activities (blood donors, charitable funds, social and professional meetings, etc.)
* Work papers and drafts of reports or correspondence.
* Transcribed stenographic materials.
* Blank forms.
* Materials received from other activities that require no action (official copies of which are retained by the office of record).
* 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.
* Survey forms.

Non-records do not require retention scheduling or destruction authorization or reporting. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Avoid filing non-record material with records.

**The Value of Local Government Records**

Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require that special care and consideration be given to their storage conditions and the feasibility of preservation microfilming. Examples of permanent records include year end reports; minutes; property records such as deeds; and birth, death and marriage records. Most records do not have values that warrant their permanent preservation. Those records with short term value should, upon reaching end of the retention period, be destroyed.

**Application of the Records Retention Schedule**

This schedule establishes minimum retention periods and authorizes dispositions for many of the administrative, fiscal and legal records common to most local governments. Retention periods are based upon federal and state mandates, record surveys, business needs, and general knowledge as to how long records should be kept. Using the schedule as a guide and without seeking further approval from the Local Records Board, any local government may regularly dispose of any of its records that appear on this schedule. The schedule is subject to the following exceptions and limitations:

A. Local government offices may retain any of their records beyond the retention periods set by the schedule, as they deem necessary. The schedule establishes only a minimum period of retention. Before retaining a record longer than the minimum time required, however, the office should be certain that it has good reason to do so. Unnecessary retention of records can be expensive in space and filing equipment and may expose the office to costly litigation and discovery requirements.

B. This schedule does not relieve local governments of retention requirements mandated by other state and federal statutes and regulations. When such an obligation does exist, then the longer retention period takes precedence.

C. This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record required for an audit must be retained until completion of that audit, regardless of its stated retention period in the schedule.

D. This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation.

**Destruction of Records**

The records classification and retention periods in this manual constitute legal authority for retention and disposal of official records. No records can be destroyed until they meet the minimum retention period listed in this manual. In cases where there is no schedule for a particular record series, the Local Records Board must grant permission for the destruction.

The disposition of records should be recorded in a document such as the minutes of the city council or other legally constituted authority that has permanent record status. The record should include the description and quantity of each record series disposed of, manner of destruction, inclusive dates covered and the date on which destruction was accomplished.

The retention schedule does not prescribe the method of destruction (shredding, burning, landfills, etc.), however, record series with a disposition of Destroy securely contain confidential data. These records should be destroyed under the supervision of a competent person(s) designated (or appointed) to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.

When records, open or confidential, 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.

**Retention Periods**

This schedule provides minimum retentions. Local authorities may choose to keep a particular series or record for a longer period of time. It should be kept in mind, however, that a record kept beyond its listed retention must be made available for inspection upon request. The point at which a retention period begins is termed a cutoff, or trigger. Typically this is on a regular cycle—the end of the calendar year, the end of the fiscal year, etc. This is the period of the inactive record. A traditional example of this would be the period when records are boxed and removed from active file cabinets and work areas.

When determining cutoffs, a good rubric is outlined in DoD 5015.02 “Electronic Records Management Software Applications Design Criteria Standard”:

A. retention periods of less than 1 Year, the cutoff is equal to the retention period;

B. retention periods of 1 Year, or more, the cutoff is at the end of the fiscal or calendar year;

C. for records with a retention period based on an event or action, the cutoff is the date the action is completed;

D. for records with a retention period based on a specific time period after an event or action, apply the retention period after the action is complete.

**For further information on any records management or preservation issue, please contact:**

Missouri Secretary of State Local Records Preservation Program

PO Box 1747,

Jefferson City, MO 65101-1747

Telephone: (573) 751-9047

local.records@sos.mo.gov

**Library Records Retention Schedule**

**LIB 001 Special Collections Accessions/Deaccessions**

Also Called: Accessions Book; Accessions Register; Accessions Database; Manuscript Collection; Rare Book Collection

Function: Document the transfer of legal and physical custody of materials

Content: May include date of transfer, name of donor/creator, description of collection, documentation transferring intellectual property rights to the library, accession number of collection, restrictions on use of the collection.

Retention: Permanent

Approval Date: August 28, 2012

**LIB 002 Borrower Registration File**

Also Called: Borrower Registration Card File

Function: Records used to grant borrower privileges to citizens and to control circulation of library holdings. Content: Borrower's name, address, parent signature if juvenile, borrower's signature. May include overdue notices and records of fines

Retention: Retain until expiration plus 2 years

Approval Date: August 28, 2012

**LIB 003 Circulation Records**

Function: A record of the daily, monthly and annual activity of the library.

Content: Circulation statistics, amount owed for overdue materials, fees received, lists of new borrowers, and circulation statistics by category (fiction, non-fiction, juvenile, etc.)

Retention: Retain 2 years; retain annual circulation statistics Permanently.

Approval Date: August 28, 2012

**6 LIB 004 Circulation Records-Personal**

Function: Documents individual patron use of library services

Retention: Until materials have been returned and all fines/fees paid in full or deemed uncollectable

Note: Personal circulation transactions may be treated as confidential per RSMo 182.817 Approval Date: August 28, 2012

**LIB 005 Daily Sign-in/Sign-up Records**

Also Called: Computer sign-in logs

Function: Tracks usage of computers or other equipment for control and statistical purposes Content: Name, date, time

Retention: Retain until statistical information recorded

Approval Date: August 28, 2012

**LIB 006 Interlibrary Loan Files**

Function: Requests from, or to, library to borrow items from another library

Retention: Retain until transaction complete

Note: Record statistical information before disposing of record

Approval Date: August 28, 2012

**LIB 007 Inventory File**

Also Called: Shelf List File

Function: Complete index of library holdings. Used as inventory control.

Content: Title, Author, publisher, date purchased, cost and number of copies

Retention: Retain until superseded

Approval Date: August 28, 2012