**General Records Retention Schedule**

**Categories of Potential Records Created in Little Library**

**April 2021**

**I. Library and Archives-Specific Records**

**II. Administrative Records**

**III. Financial Records**

**IV. Human Resources and Personnel Records**

**I. Library and Archives -Specific Records**

**Accession** - Records documenting accessions of materials to the Archives. Also includes documentation of accretions, accruals, and deaccessions. Retain in office permanently.

**Acquisition** - Records documenting acquisitions of books, periodicals, government documents, ongoing serials, and other materials. Includes purchase orders/requests, shipping information, cancellation/discontinued notices, check-in information, correspondence, and other related records.

Retain permanently if pertains to rare or unusual materials.

Destroy records concerning ongoing serials, periodicals, microfilm, digital copies - 3 years after termination/cancellation of order or subscription.

Destroy all remaining records after 3 closed fiscal years.

**Approval Plan –** if we ever decide to subscribe, destroy when superseded or obsolete.

**Binding policies and practices** - Includes patterns, templates, instructions, correspondence, and other related records. Destroy in office when superseded or obsolete.

**Borrower applications -** Records documenting applications from community or non-Davidson affiliated library users. Includes application forms, correspondence, and other related records. Destroy in office 1 year after expiration or after 2 years of inactivity.

**Conservation/Preservation -** Records documenting research and implementation of conservation/preservation treatments for items in library, archives, and rare book collections. Includes reports, research notes, photographs, correspondence, and other related records.  Retain permanently.

**Disaster and Emergency Management Plans -** Records documenting disaster and emergency response policies and procedures. Includes policies, procedures, reports, correspondence, and other related records. Destroy when superseded or obsolete.

**Disaster and Emergency Recovery Records -** Records documenting recovery efforts after manmade or natural disasters. Retain permanently records documenting major library disaster recovery efforts plus documentation evaluating their success or failure. Destroy remaining records after 3 years.

**Donor -** Records documenting materials donated to the library or archives. Includes agreements, deeds of gift, correspondence, and other related records. Retain permanently.

**Evaluation of Instruction Sessions -** Copies of student and faculty evaluation of sessions.

Destroy after 5 years.  Note: may contain confidential information.

**Exhibit Records -** Records documenting exhibits produced by the library or any department within the library. Includes promotional materials, exhibit captions and research, correspondence, and other related records. Transfer to Archives for appraisal and final disposition when reference value ends.

**Finding Aids -** Records documenting physical and intellectual control for materials in Archives and Special Collections. Includes guides, inventories, shelf and container lists, and registers. Retain permanently unless totally obsolete.  ArchivesSpace will eventually replace much of the printed recordkeeping.

**Historical Memorabilia -** Items documenting significant events or times for the library (and College, if people are feeling energetic). Includes plaques, scrapbooks, press releases, clippings, newsletters, photographs, and other related records. Transfer to Archives after 5 years for appraisal and final disposition.

**Instruction/Course Sessions -** Statistical reports on attendees and name of teaching faculty and course designation, if partnered.  Transfer to Archives after 5 years for appraisal and final disposition.

**Integrated Library System (ILS) -** Records documenting the administration and management of the ILS. Includes catalog, circulation data, reserve information, fines, patron information, bibliographic data, shelf lists/inventories, and interlibrary loan data.

Purge patron data and reserve information after 1 year.

Purge cataloguing and interlibrary loan records when superseded or obsolete.

Purge financial data after 3 years.

**Lesson Plans and Class Session Outlines** -

Archives and Special Collections maintains copies for its own records in its

departmental Google Drive.

No response was provided from other teaching teams; therefore, there was no decision made regarding library-wide practices.

**Loan Records** - Records documenting materials temporarily loaned to other units of the College or to outside institutions for special exhibits. Includes loan negotiations and agreements, insurance, shipping and freight records, correspondence, and other related records. Transfer to Archives when reference value ends for appraisal and final disposition.

**Patron Access Records** - Records documenting access requests received by ASCC. Includes registration form and emails. Destroy emails after 5 years and registration forms after 10 years.

**Patron Reference Records -** Records documenting reference requests received by the library and ASCC. Includes logs, duplication requests, reference requests, correspondence, and other related records. Destroy logs and duplication requests after 3 years.  Destroy remaining records after 5 years.

**Records Management Materials -** Records documenting records management actions at the College. Includes retention and disposition schedules, destruction notices, records transfer forms, inventories, and other related records. Retain permanently in Archives destruction notices, transfer forms, inventories, and schedules.

**Research Data Sets** Data sets used to produce reports by any unit in the library. Includes data sets used to produce compliance reports and/or other standard reports. Transfer to Archives 3 years after submitted.

**II. Administrative Records**

**Accreditation Records** Records documenting the accreditation process for the library by the Southern Association of Colleges and Schools (SACS) or other accreditation bodies. Includes reports, questionnaires, guides, correspondence, and other related records. Transfer 1 copy of final report to Archives. Destroy remaining records when reference value ends.

**Activities and Events Records** Records documenting activities and events initiated or sponsored by the entire library or any department within the library. Includes planning materials, reports, promotional and publicity materials, schedules, bulletins, memoranda, circulars, invitations, announcements, press releases, media coverage, presentation materials, registration and attendance lists, evaluations, photographs, video and audio recordings, correspondence, and other related records. Transfer planning materials, reports, promotional and publicity materials, press releases, photographs, audio and video recordings, and agendas/schedules to Archives after 5 years for appraisal and final disposition.

Destroy remaining records when superseded or obsolete.

**Administrators Records** Records produced by Library Director concerning College authority, operating philosophy, purpose, methods, and any other function. Includes reports, memoranda, directives, correspondence, and other related records. Transfer to Archives when reference value ends.

**Awards and Honors Records** Records documenting staff, student and library awards. Includes applications, nominations, criteria, press releases, correspondence, and other related records.  Transfer eligibility and selection criteria, applications and press releases plus list of award recipients, biographies of winners, if applicable, to Archives after 5 years for appraisal and final disposition. Destroy remaining records after 1 year.

**Committee, Project and Working Group Records** Records documenting the deliberations and actions of appointed or ad hoc groups charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, or reviewing petitions, appeals, and deviations from policy. Includes minutes, agendas, reports, briefing materials, working papers, photographs, correspondence, and other related records.  Transfer minutes, agendas, reports, and photographs to Archives at end of academic year or at expiration of group’s charge.

**Conferences, Training Programs, Lectures, and Workshops** Records documenting conferences, informative sessions, short courses, workshops, training programs, lecture series, and orientation sessions conducted by representatives of the library. Includes agendas, handouts and other training materials, reports, registration materials, and correspondence. Transfer agendas, handouts and other training materials, and reports to Archives after 5 years for appraisal and final disposition. Destroy remaining records when superseded or obsolete.

**Endowment, Foundation, and Trust Agreements** Records documenting the creation and administration of endowments, foundations, and trusts administered by or benefitting the library. Includes correspondence, executed agreements, and other related records. When agreement becomes inactive, transfer to Archives for appraisal and final disposition. Note: may contain confidentiality or other restrictions.

**Friends Groups or Advisory Boards** If we decide to go this route. Records documenting the efforts of support groups created to assist with the development and coordination of institutional programs. Includes establishing documents, bylaws, agendas, minutes, correspondence, reports, newsletters, and other related records. Transfer to Archives after 5 years for appraisal and final disposition.

**Grant Records** Records documenting grant proposals written or contributed to and submitted by any employee of the library. Includes applications and proposals, notices of award, accounting records, progress reports, contracts, research data, indirect cost/returned overhead reports, time and effort reports, correspondence, and other related records.

Transfer approved proposals, award documents, final reports, and deliverables to Archives after 5 years.

Destroy in office rejected applications and proposals when reference value ends.

Destroy in office remaining records for College-funded grants 5 years after final financial report is submitted.

Destroy in office remaining records for state-funded grants 5 years after final financial report is submitted.

Destroy in office remaining records for federally funded grants 3 years after final financial report is submitted.

Destroy in office remaining records for other externally-funded grants according to the terms of the grant agreement.

**Institutional Review Board (IRB) Operations Records** Records documenting the daily operations of the IRB. Includes agendas, minutes, correspondence, procedures, and other related records. Transfer to Archives after 3 years for appraisal and final disposition.

**Leadership Team** **Records** Records documenting the actions of the Leadership Team or any governing body of the library under a different name, including its committees, working groups and task forces. Includes minutes, attachments, reports, correspondence, and other related records. Transfer to Archives after 5 years for appraisal and final disposition.

**Policies and Procedures** Records documenting administrative policies and procedures of the library. Transfer to Archives after 5 years or when superseded.

**Project Documentation** Records documenting the design, planning, development, control, or monitoring of a new program or services specific to the library (e.g. Future of the Library). Includes proposals, schematics, forecasts, feasibility studies, statements of work, assessments, and other related records.  Transfer records documenting projects that establish new programs or services to Archives after 5 years. Destroy remaining records after 3 years.

**Publications** Publications prepared by or for the library. Transfer 1 copy to Archives.  Destroy remaining when reference value ends.

**Publicity Recordings** Recordings produced by and for the library documenting events, interviews, and other library-sponsored activities. Transfer to the University Archives after 5 years for appraisal and final disposition.

**Reports** Records documenting formal library responses to situations or requests, including internal, external, and mandatory requests.

Transfer 1 copy of annual, biennial, semi-annual or quarterly reports to Archives.

Destroy in office monthly or bimonthly after 3 years.

Destroy daily or periodic reports concerning workload measurements, time studies, productivity, services rendered, or other similar records after 1 year.

Destroy in office drafts and other work product upon completion of final report.

**Self-Study Records** Records documenting self-studies conducted within the College to identify and describe goals and performance over time. Includes program reviews, reports, correspondence, and other related records. Transfer to Archives upon completion of study.

**Speeches, Statements and Addresses** Records documenting speeches, statements, addresses, and presentations written and delivered by library employees in connection with College  business. Includes final copies, audio and video recordings, and working papers. Transfer recordings and final copies to University Archives after 5 years. Destroy in office remaining records when reference value ends.

**Staff Meeting Records** Records documenting staff meetings. Includes agendas, minutes, reports, and other related records. Transfer to Archives after 5 years.

**Strategic Plans** Records documenting systematic planning for the library. Includes business plans, goals and mission statements, and strategic plans. Transfer goals, mission statements, and strategic plans to Archives when superseded or obsolete. Destroy in office business plans 5 years after execution of plan.

**Surveys** Records documenting surveys distributed to and collected from constituents addressing library services, policies, and other concerns. Includes surveys and conclusions.  Transfer aggregated results and conclusions to Archives after 5 years. Destroy in office remaining records when reference value ends.

**III. Financial Records**

**Accounts Payable** Records documenting the status of accounts in which the library owes money to firms or individuals. Includes invoices, reimbursements, receipts, bills, check registers, and subsidiary registers. Destroy in office after 3 closed fiscal years.

**Accounts Receivable** Records documenting receivables owed to and collected by the library. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts. Destroy in office after 3 closed fiscal years.

**Accounts Uncollectable** Records of accounts deemed uncollectable. Includes returned checks, write-off authorizations, and other related records. Destroy in office 3 closed fiscal years after determined uncollectable, unless litigation is involved.

**Audit Records** Records documenting internal and external audits of the library. Includes reports, working papers, corrective measures, correspondence, and other related records.  Note:   may contain confidential records.

Destroy final reports after 10 years.

Destroy documentation of corrective measures after 5 years.

Destroy in office working papers and other remaining records when superseded or obsolete.

**Bids and Proposals** Records documenting library plans to purchase equipment, supplies, or services. Includes applications, bids, notices, evaluations, Invitations for Bids (IFB), Requests for Proposal (RFP), and Requests for Quote (RFQ), and other related records.

Destroy in office records concerning rejected bids and proposals as well as unopened bids 1 year after receipt.

Destroy in office records documenting accepted bids/ proposals/quotes to supply the library with goods or services 5 years after termination of contract.

Destroy in office notices, evaluations, and other related records when reference value ends.

**Budget Records** Includes requests, forms, worksheets, resolutions, revisions, cost accounting reports, monthly budget reports, reversions and continuations, correspondence, and other related records. Also includes the official budget report. Transfer annually 1 copy of official budget report to Archives. Destroy in office remaining records after 3 closed fiscal years.

**Capital Improvement Accounting Records** Records documenting capital improvement project budgets and accounting. Includes accounting and financial records, vouchers, checks, purchase orders, reports, and other related records. Transfer final report to Archives 1 year after completed. Destroy remaining records in office 6 closed fiscal years after project is completed.

**Purchase Orders and Vouchers** Authorizations and other documents concerning purchased goods or services. Also includes P card logs. Destroy in office after 5 closed fiscal years.\*

**Travel Reimbursements** Records regarding College travel. Includes documentation of advance payments and reimbursements. Destroy in office after 5 closed fiscal years.

**IV. Human Resources and Personnel Records**

**Applications for Employment** Includes applications and offers of employment. Transfer records for individuals hired to an individual Personnel File when individual accepts position. Destroy applications that are not solicited, applications from individuals who are not hired, or do not accept the position 2 years after date of receipt.

**Apprentice, Intern and Volunteer Records** Records concerning participants in apprenticeships, internships, and volunteer positions. Includes applications, selection materials, and affirmative action plans.  Destroy applications and selection materials for interns and volunteers after 2 years.  Destroy affirmative action plans after 5 years.

**Biographical File** Records documenting biographical information for library employees. Includes curricula vitae, clippings, photographs, and speeches. Transfer to Archives 1 year after separation for appraisal and final disposition.

**Complaints** Records documenting complaints filed by library employees involving allegations of discriminatory practices or behavioral misconduct within the College. Includes complaint documentation, reports, investigations, appeals, correspondence, and other related records. Destroy 3 years after resolution.

**Employee Suggestions and Surveys** Completed staff or faculty surveys. Includes suggestions, surveys, and summary reports. Transfer summary reports to Archives after 5 years for appraisal and final disposition. Destroy individual suggestions and surveys after 1 year.

**Leave File** Includes all types of leave requests, monthly leave reports, yearly leave recapitulations, correspondence, and other related records. Destroy approved leave requests 3 years after employee returns or separates. Destroy denied leave requests after 6 months.

**Personnel Records** Records concerning the assignment and oversight of personnel. Includes policies and procedures, memoranda. Also includes agreements and authorizations required of employees, orientation materials, and informational data. Retain personnel policies and procedures in office permanently.  Destroy remaining records when superseded or obsolete.

**Performance Evaluation and Management** Records documenting employees’ goals and primary tasks. Includes work plans and performance evaluations. Destroy 5 years after employee’s departure.

**Personnel: One Time** Records documenting employees hired to fulfill temporary, short-term duties, including honoraria paid to visiting lecturers and consultants as well as to College staff and students who undertake duties outside and not in conflict with their regular work. Destroy 3 years after payment date.

**Personnel: Seasonal and Contract Worker Records** Records documenting events in the short-term employment history of an individual not eligible for benefits. Destroy 5 years after employee’s departure.

**Search Committee Records** Records pertaining to the evaluation of candidates for a position. Includes forms, interview notes, policies, reports, charges, rosters, minutes, ballots, correspondence, and other related records.

Transfer pertinent materials of successful candidates to individual Personnel File immediately after official offer of employment is accepted.

Destroy in office remaining records pertaining to successful candidates 3 years after the position is filled.

Destroy in office application materials of unsuccessful candidates and all remaining records 3 years after the position is filled.

**Student Assistants including Work-Study** Includes evaluations, job descriptions, and correspondence. Destroy in office 3 years after student terminates employment.

**Time Sheets** Includes paper time sheets or documents recording hours worked.  Destroy after 5 years.

**Training Records** Records documenting training programs for College personnel. Includes training manuals, syllabi and course outlines, registration forms and certificates, and other related records. Destroy training materials when superseded or obsolete.

**Workers’ Compensation** Includes program policies, guidelines, and other related records. Also includes file for employee claims. Destroy employee-specific records 5 years after employee returns to work or separates from agency. Destroy remaining records when superseded or obsolete.

**Work Schedules** Records concerning shift and duty assignments. Destroy after 1 year.