

RECORDS RETENTION & DISPOSITION POLICY

The purposes of the Policy include (a) retention and maintenance of documents necessary for the proper functioning of the Southern Tier Library System as well as to comply with applicable legal requirements; (b) disposition of documents which no longer need to be retained; and (c) guidance for library system administrators, the Board of Trustees, staff, and other stakeholders with respect to their responsibilities concerning document retention and disposition.

Administration

The Executive Director and Assistant Director – Director of Librarianship shall be the administrators (“Administrator”) in charge of implementing this Policy in partnership with the Division of Administration staff. The Administrator’s responsibilities shall include supervising and coordinating the retention and destruction of documents pursuant to this Policy and particularly the Document Retention Schedule included below. The Administrator’s shall also be responsible for documenting the actions taken to maintain and/or destroy organization documents and retaining such documentation. The Administrators may also modify the Document Retention Schedule as necessary to comply with law and/or to include additional or revised document categories as may be appropriate to reflect updated organizational policies and procedures. Modifications must be reviewed and approved by the Board of Trustees.

Privacy

It shall be the responsibility of the Administrators to determine how privacy laws will apply to the organization’s documents from, and with respect to, employees and other constituencies; to establish reasonable procedures for compliance with such privacy laws; and to allow for their audit and review on a regular basis.

Electronic Documents and Records

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the Document Retention Schedule will be maintained for the appropriate amount of time. Backup and recovery methods will be tested on a regular basis.

Emergency Planning

STLS records will be stored in a safe, secure, and accessible manner, in fire- and water-resistant organizers, and where appropriate stored electronically.

Document Destruction

The Administrators are responsible for the ongoing process of identifying records which have met the required retention period and for overseeing their disposition. Disposition of financial and personnel-related documents will be accomplished by shredding. Document disposition will be suspended immediately upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Disposition will be reinstated upon conclusion of any investigation or lawsuit.

Compliance

Unauthorized modifications to or removal of records from STLS is not permitted. Disposition of records not in accordance with the Schedule below is prohibited.

Document Retention Schedule

<u>Document Type</u>	<u>Retention Period</u>
Accounting and Finance	
Annual Financial Statements and Audit Reports	Permanent
Cash Disbursements	Permanent
Cash Receipts	Permanent
Canceled Checks – special (e.g. taxes, loan payment)	Permanent
Chart of Accounts	Permanent
Depreciation Schedules	Permanent
General Journal	Permanent
General Ledger	Permanent
Payroll records (NYS Retirement Recommendation)	55 years
Time cards and employee absence records	7 years
Accounts Payable Ledger and Schedules	7 years
Accounts Receivable Ledger and Schedules	7 years
Bank Reconciliations	7 years
Bank Statements, Deposit Books & Deposit Slips	7 years
Canceled Checks – routine	7 years
Check Copies/Stubs	7 years
Claim Sheets (Vouchers) and supporting bills	7 years
Division of Library Development Aid & Grant Statements	7 years
Employee Requests for Leave	7 years
Invoices to Customers/Member Libraries	7 years
Budget	
Annual budget official copy when not included in minutes	Permanent
Budget status report (Cumulative)	7 years
Mid-Year budget revisions	Permanent
Preliminary or tentative budget	7 years
Special budget filed with State or Federal agency	Permanent
Grants Received and Disbursed	
Grant Applications, Proposal Agreement, Narrative, Evaluation, and Annual Report for Approved Grants	7 years after close of grant
Corporate and Exemption	
Agendas and Other Board Meeting Documents	7 years
Board of Trustee Meeting Minutes	Permanent
Bylaws and Amendments	Permanent
Charter	Permanent

Disclosure of Interest Forms	7 years
Employer Identification (EIN)	Permanent
IRS Exemption Determination Letter	Permanent
Licenses and Permits	Permanent
SAM.gov Account and Unique Entity Identifier (UEI)	Permanent
Sexual Harassment Prevention Training Certification	7 years
State Exemption Determination Letter	Permanent

Correspondence and Internal Memoranda

Correspondence and internal memoranda important to the organization or having lasting significance	Permanent, subject to review
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Electronic Mail (E-mail) to or from the organization

Electronic mail (e-mails) relating to a particular topic otherwise addressed in this Schedule should be retained for the same period as the topic to which the email relates, but may be retained in hard copy form with the document to which they relate.

E-mails considered important to the organization or of lasting significance should be printed and stored in a central repository.	Permanent, subject to review
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Employment, Personnel and Retirement

Employment Applications	3 years
Employee Benefit Plans	Permanent
Personnel Records (NYS Retirement Recommendation)	Permanent
Retirement/Pension records (NYS Retirement)	Permanent

Insurance

Accident Reports and Insurance Claims Records	7 years
General Liability Insurance Policies	Permanent
Property, D&O, Workers' Compensation and Disability	7 years

Legal and Contracts

Contracts, related correspondence and other supporting documentation (still in effect)	Permanent
Legal correspondence	Permanent
Contracts, related correspondence and other supporting documentation (expired)	7 years after termination

Management and Miscellaneous

Annual Statistical Report of Member Libraries	Permanent
Member Libraries Annual Reports to Education Department	Permanent
NYS Public Library Construction Aid	7 years after close of grant
Policies and Procedures Manual	Current version with revision history
Strategic Plans	7 years after expiration
Summary of Library System Cost Share Schedules	7 years after termination

Property – Real and Personal

Personal Property Leases	10 years after termination
Property deeds and purchase/sale agreements	Permanent
Property Tax	Permanent
Real Property Leases	Permanent

Purchasing

Purchase Order, or similar record, used to obtain materials, supplies, or services.	7 years
Purchase request, estimate or similar record, used to make purchase.	7 years
Performance guarantee or written warranty for products or similar record.	7 years
Invoice statement or similar notification by vendor.	7 years
Packing slip, shipping ticket, or similar record used to verify receipt of materials or supplies	7 years
List or abstract of purchase orders, claims or contracts	7 years
Standing order file, used for purchase of materials/supplies received on a regular basis	7 years

Survey Records

Completed survey forms	0 after survey results prepared
Survey results, including official copy of survey form	7 years after completion

Tax

Annual information returns (W2, W3, 1099 etc.)	Permanent
IRS Rulings	Permanent
Tax returns and worksheets – federal & state	Permanent

Approved by the Greenwood Reading Center on 05/14/2026