

GRS 4.4 Library Records

This file contains two documents. The Draft Schedule contains the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
February 2022

DRAFT

GENERAL RECORDS SCHEDULE 4.4: Library Records

Agency library and information centers collect material related to their agency's mission or focus. This schedule only applies to library or information centers within agencies, not agencies that are themselves libraries. Library services include administering the program, collecting data and information, and transferring collected data and information to the end customer. This schedule covers records that document agency library and information center administration and daily operations.

Exclusions:

1. Records of standalone libraries such as the Presidential libraries, the Library of Congress, the National Agricultural Library, the National Library of Education, the National Library of Medicine, and the National Transportation Library.
2. Non-record material such as library and museum material agencies make or acquire and preserve solely for reference or exhibition purposes, extra copies of documents agencies preserve only for convenient reference, and stocks of publications and processed documents.
3. Unique or special collections of data, technical information, or other records, which agencies must schedule based on their content.

Item	Records Description	Disposition Instruction	Disposition Authority
001	<p>Library correspondence. Correspondence related to management, administration, and operation of agency libraries and information centers.</p> <p>Note: Agencies approved to use GRS 6.1 for electronic mail may apply that schedule to these records as appropriate.</p> <p><i>Supersedes: DAA-GRS-2015-0003-0001 (in part), DAA-GRS-2015-0003-0002 (in part)</i></p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized for business use.</p>	DAA-GRS-20XX-000X-0001
002	<p>Library plans, policies, and procedures. Records documenting a library's planning and management activities. Records may document library policies, procedures, and statistics. Includes records such as:</p> <ul style="list-style-type: none">• strategic plans, project plans• policies and procedures for developing collections, acquisitions, patron privacy, loans, and restricting library material <p>Exclusion: This item does not apply to records of standalone libraries such as the Presidential libraries, the Library of Congress, the National Agricultural Library, the National Library of Education, the National Library of Medicine, and the National Transportation Library.</p> <p><i>Supersedes: DAA-GRS-2015-0003-0001 (in part)</i></p>	<p>Temporary. Destroy 3 years after superseded or obsolete, but longer retention is authorized for business use.</p>	DAA-GRS-20XX-000X-0002

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003	<p>Library operations records. Records documenting the daily activities of running a library. Includes:</p> <ul style="list-style-type: none">● reference inquiries and responses● records about normal cataloging, circulation, and document delivery activities● visitor logs, sign-in sheets, computer sign-up sheets, and equipment or facility registration forms● photocopying and digitization requests● promotional material describing library services and resources● library and information center guides and resources, including quick guides, topical or customized reading lists, and bibliographies <p>Exclusion: Records scheduled elsewhere in GRS 4.4.</p> <p><i>Supersedes: DAA-GRS-2015-0003-0001 (in part), DAA-GRS-2015-0003-0002</i></p>	<p>Temporary. Destroy when business use ceases.</p>	DAA-GRS-20XX-000X-0003
010	<p>SUPERSEDED (Library administrative records) [DAA-GRS-2015-0003-0001 will be superseded by GRS 4.4, items 001, 002, and 0003]</p>		
020	<p>SUPERSEDED (Library operations records) [DAA-GRS-2015-0003-0002 has been replaced by GRS 4.4, items 001 and 0003.]</p>		
030	No change		



Office of the Chief
Records Officer for the
U.S. Government

Date: January 11, 2022
Appraiser: Andrea M. Riley, ACRS
Agency: General Record Schedules (GRS)
Subject: DAA-GRS-2022-000X

DRAFT

INTRODUCTION

Schedule Subject

GRS 4.4, Library Records - Revision

Additional Background Information

NARA is revising GRS 4.4, Library Records, to enable a computer to convert disposition instructions into code that it can implement. In other words, we seek to make the instructions machine-implementable. These instructions must have only one retention type in order for the computer to know what to do. A retention type identifies the general point in time when retention starts, either at the point of creation (an age- or creation-based retention, such as “Destroy when 3 years old”) or when a certain event occurs (an event-based retention, such as “Destroy 3 years after final action”). For this reason, we find it necessary to break some larger aggregate items into smaller items to accommodate the different retention requirements.

The following changes have been made to this schedule:

- A new item, GRS 4.4, item 001, for Library correspondence that partially supersedes GRS 4.4, items 010 and 020, both of which contained different types of correspondence.
- A new item GRS 4.4, item 002, for Library plans, policies, and procedures that partially supersedes GRS 4.4, item 010. These records should not be destroyed until superseded or obsolete.
- A new item GRS 4.4, item 003, for Library operations records that supersedes GRS 4.4, item 020, and partially supersedes GRS 4.4, item 010. This item is updated to remove reference to correspondence and to add two record series that were previously covered by GRS 4.4, item 010, specifically, promotional material describing library services and resources and library and information center guides and resources, including quick guides, topical or customized reading lists, and bibliographies. This new item covers library operations records other than plans, policies, and procedures. While this item still generally covers the same records as GRS 4.4, item 020, we have changed the item number because the coverage of the item has changed.
- GRS 4.4, items 010 and 020, have been superseded in full.

Overall Recommendation

Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

APPRAISAL

Item 0001 (GRS 4.4, 001): Library correspondence

Library correspondence was previously scheduled under two different disposition authorities depending on the nature of the correspondence. The schedule has been revised to provide a single disposition authority for library-related correspondence that is also in line with management of electronic mail (which is the form most modern correspondence takes) related to administrative activities under a Capstone approach.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Records relate to administrative housekeeping activities. The library and information center function in agencies exists to support the agency's mission, but does not involve carrying out that mission directly (with the exception of federal National Libraries, which are excluded from using this schedule). The correspondence generated by this activity does not document significant decisions or actions of federal officials and generally relates to routine, daily administrative work. Therefore, the records are considered administrative housekeeping records.

* Previously approved as temporary.

- DAA-GRS-2015-0003-0001, Library administrative records.
- DAA-GRS-2015-0003-0002, Library operations records.

*Similar records have been approved as temporary. DAA-GRS-2014-0001-0003 (GRS 6.1, item 012), Email of Non-Capstone officials – Support and/or administrative positions. Library and information center operation is considered an administrative/mission-support function. Modern correspondence typically takes the form of electronic mail.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous retention for these records was either 3 years or when business use ceases. The 3 year retention is in line with the retention of electronic mail related to administrative activities and therefore brings any other library-related correspondence into alignment with correspondence received as email.

Media Neutrality: Approved

Item 0002 (GRS 4.4, 002): Library plans, policies and procedures.

These records were previously scheduled as part of library administrative records (GRS 4.4, item 010). They are being scheduled as a separate item because they are similar in nature and their retention is calculated from when the records become superseded or obsolete.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Records relate to administrative housekeeping activities. The library and information center function in agencies exists to support the agency's mission, but does not involve carrying out that mission directly (with the exception of federal National Libraries, which are excluded from using this schedule). Plans, policies and procedures document the basic administration of this mission-support function and are therefore considered administrative housekeeping records.

* Previously approved as temporary. DAA-GRS-2015-0003-0001, Library administrative records.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous retention for these records was 3 years or 3 years after superseded or obsolete. The records in question should remain active until they are superseded or obsolete, therefore only the later retention is appropriate. There is effectively no change in how long these records should be retained.

Media Neutrality: Approved

Item 0003 (GRS 4.4, 003): Library operations records.

This item is revised to remove correspondence (now covered under GRS 4.4, item 001) and to add records that were previously scheduled under GRS 4.4, item 010, Library administrative records. There is no longer an item for "library administrative records." There was not sufficient distinction between what was an "administrative" record versus an "operations" record. Now all records related to basic library and information center operations, excluding records covered elsewhere in GRS 4.4, are covered by this item.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Records relate to administrative housekeeping activities. The library and information center function in agencies exists to support the agency's mission, but does not involve carrying out that mission directly (with the exception of federal National Libraries, which are excluded from using this schedule). The daily operational records related to this function document routine activities to carry out this mission-support function and are therefore considered administrative housekeeping records.

* Previously approved as temporary.

- DAA-GRS-2015-0003-0001, Library administrative records.
- DAA-GRS-2015-0003-0002, Library operations records.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The previous retention for these records was either 3 years, or 3 years after superseded or obsolete, or when business use ceases. The retention has changed to "when business use ceases" to provide agencies with the greatest flexibility possible in their retention.

Media Neutrality: Approved

Andrea M. Riley

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Appraiser

Supervisor Concurrence: