ADMINISTRATIVE POLICY MANUAL
2020-2022

Approved by the Board of Trustees on January 21, 2020

Maximizing Library Potential Together
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Preface

The purpose of this Policy Manual is to provide each employee and Board Member of the Northeast Ohio Regional Library System (herein after referred to as NEO-RLS) with a ready reference guide to the organization's policies and practices.

All employees must, as a condition of their employment, become familiar with and abide by said policies and practices.

Copies of this manual and updates or deletions from it will be provided to all employees and Board Members. Furthermore, an up-to-date copy of the manual will be available for inspection in the Executive Director’s Office and the Fiscal Officer's Office. Changes to the manual will be announced through appropriate in-house communications or by distribution of updated pages.

This manual will be reviewed bi-annually or at the request of the Board by the Bylaws/Policy Committee of NEO-RLS’ Board of Trustees. Changes and revisions will be approved by the full NEO-RLS Board of Trustees. Statements printed in the Board Minutes shall have the same effect and/or may supersede those found in the manual.

If the meaning or interpretation of a particular policy, practice, or update is unclear, an employee should consult with the Executive Director. In cases where interpretation is necessary, the Executive Director shall render the final judgment interpreting the statements in this manual.

Before adoption, the manual and updates will be reviewed by the NEO-RLS Board of Trustees. They may also be reviewed by legal counsel if deemed necessary. Within the confines of local, state, and federal law, the Board of Trustees of NEO-RLS retains the right to change, suspend or make exceptions to this manual at any time.
ACKNOWLEDGEMENT PAGE

(A separate, signed copy of this form will be kept in the employee's personnel file.)

I, the undersigned employee of the Northeast Ohio Regional Library System, acknowledge that I have received a current copy of the NEO-RLS Administrative Policy Manual.

I have had an opportunity to read and discuss its contents with the Executive Director. I agree to abide by the policies and practices contained in this manual.

I understand that my failure to abide by the policies and practices set forth in the manual and other appropriate communications may result in disciplinary action up to and including termination of employment.

I agree that nothing herein should be construed as a direct or implied contractual commitment between NEO-RLS and its employees with respect to the duration of employment, level of compensation, or any other terms or conditions that are part of the employment relationship.

I understand that the employment relationship between NEO-RLS and its employees is an at-will arrangement and may be terminated at any time by either party.

__________________________________________
Employee Name

__________________________________________
Date

__________________________________________
Executive Director’s Signature
1. Introduction

1.1 This manual reflects changes made to the Administrative Policy Manual developed from 2008 to the present by members of the Bylaws/Policy Committee. The manual will be updated as changes in laws and policies mandate.

This manual not only serves as the NEO-RLS Board’s policy manual, but may also provide examples of policies for those libraries creating a manual of their own. NEO-RLS member libraries are welcome to copy any part of this manual as needed.

2. General/Operational Policies

2.1 This is the annual Board Calendar template (* = Requires Board Action). Every attempt will be made to adhere to this schedule, recognizing that extenuating circumstances may apply.

JULY

- Fiscal year begins July 1.
- Invoices for membership based on the Letters of Intent for the current fiscal year are sent to participating public, academic and special libraries.
- Membership dues from participating libraries for new fiscal year are due by July 31 for public and special libraries and by September 30 for school and academic libraries.
- Organizational meeting of the Board of Trustees
  - Appointment of Executive Director/Deputy Fiscal Officer, Fiscal Officer for one year *
  - Approval of the estimated revenue for all funds *
  - Approval of the annual appropriations resolution for all funds, if not done previously *
  - Administer oath of office to new Trustees, Officers, Fiscal Officer and Executive Director/Deputy Fiscal Officer *
  - Authorization to Fiscal Officer to pay all bills in accordance with adopted appropriations *
  - Set date/times of Board meetings for the fiscal year (includes at least six meetings) *
  - Set amount of petty cash fund *
Set public officials bond amount for Fiscal Officer and Deputy Fiscal Officer for the fiscal year *

- Quarterly fiscal report due to State Library of Ohio by tenth of the month.
- Year-end and quarterly narrative and statistical reports due to State Library of Ohio by the fifteenth working day of the month.

AUGUST

- Biennium budget for state funding request is prepared.

SEPTEMBER

- Invoices for membership based on the Letters of Intent for the current fiscal year are sent to participating school and academic libraries. Invoices are due September 30.
- Budget request for state funds is approved by Board. *
- Membership Meeting held.

OCTOBER

- Quarterly fiscal report for the period July-September due to the State Library of Ohio by tenth of the month.
- Quarterly narrative and statistical reports for the period July-September due to the State Library of Ohio by the fifteenth working day of the month.
- Letters of Intent for NEO-RLS membership during the upcoming fiscal year are sent to all libraries at the beginning of the month.

NOVEMBER

- Board meets to review and update Strategic Plan.
- Bylaws/Policy Committee meets to review and update Bylaws and Administrative Policy Manual.

DECEMBER

- Letters of Intent and optional program lists due back to NEO-RLS office by December 31.
JANUARY

- Quarterly fiscal report for period October-December due to the State Library of Ohio by the tenth of the month.
- Quarterly narrative and statistical reports for period October-December due to the State Library of Ohio by fifteenth working day of the month.
- Finance Committee meets to review dues and fees.
- Approval of updated Bylaws and Administrative Policy Manual by full Board.
- Dues and fees for following fiscal year are approved by full Board.

MARCH

- Personnel Committee meets to review and update Employee Handbook and make recommendations to Finance Committee on staff salary increases.
- Approval of updated Employee Handbook by full Board.

APRIL

- Quarterly fiscal report for period January-March due to the State Library of Ohio by the tenth of the month.
- Quarterly narrative and statistical reports for period January-March due to the State Library of Ohio by the fifteenth working day of the month.

MAY

- Finance Committee meets to review next year's budget for recommendation to Board (May - June). *
- Approval of permanent or temporary appropriations and authorization to pay bills for the next fiscal year for the period July 1 through the date of the Organizational meeting. *
- Approval of salaries of all staff for next fiscal year as recommended by Personnel and Finance Committees. *
- Approval of budget for following fiscal year by full Board.
- Personnel Committee conducts performance evaluation of Executive Director/Deputy Fiscal Officer and Fiscal Officer.
- Board reviews strategic plan.

JUNE

- All state funds from the current fiscal year must be encumbered by June thirtieth.
2.2 Fiscal Officer

The Board will meet during the first month of the fiscal year. The Board shall appoint a Fiscal Officer and a Deputy Fiscal Officer annually. The period of the Deputy Fiscal Officer and Fiscal Officer’s employment shall be July 1 through June 30. The Board shall approve the employment of the Executive Director.

2.2.1 Oath of Office

All newly elected Board members, Officers, the Fiscal Officer and the Deputy Fiscal Officer shall take the oath of office.

The following Oath of Office shall be administered in compliance with state laws to all new Trustees:

I, _________________________, do solemnly swear (or affirm), under penalty of perjury, that I will support the Constitution of the United States, and the Constitution of the State of Ohio, that I will perform faithfully to the best of my ability the duties of a member of the Board of Trustees of the NEO-RLS.

2.3 Annual Appropriations

The Board shall approve the Annual Revenue Estimation as prepared by the Fiscal Officer for the Local Cash, Grant, Contracts, State and any other funds. The Board shall approve the Annual Appropriations Resolution, as prepared by the Executive Director and Fiscal Officer in accordance with the budget as approved by the State Library of Ohio.

2.4 Authorization of Fiscal Officer to Pay Bills

The Board shall authorize the Fiscal Officer to pay all bills for the fiscal year in accordance with the budget as approved.

2.5 Petty Cash Account

The Board shall set the amount of money annually to be maintained in the Petty Cash Account Fund.

2.6 Code of Ethics of NEO-RLS Board of Trustee Members

NEO-RLS Board of Trustee Members shall:
a. Represent the interests of all people served by this organization and not favor special interests inside or outside the organization.
b. Not use the organization or his/her service on the Board for his/her own personal advantage of his/her friends, relatives or supporters.
c. Keep confidential information confidential unless subpoenaed by a court of law.
d. Approach all Board issues with an open mind; be prepared to make the best decision for the whole organization.
e. Uphold the trust of those who elected him/her to the Board or of those he/she serves.
f. Focus his/her efforts on the mission of the organization and not on his/her personal goals.
g. Never exercise authority as a Board Member except when acting in a meeting with the full Board or as he/she is delegated by the Board.
h. The Board of Trustees and staff of NEO-RLS shall refrain from addressing issues and making decisions on matters not directly related to the “business” of NEO-RLS or its member libraries.
i. Abide by any sections of the Ohio Ethics Laws that apply to NEO-RLS.

2.7 Authority to Make Statements about NEO-RLS

The NEO-RLS Board of Trustees authorizes the Executive Director to make statements about NEO-RLS to the public, press and others. The Executive Director may approve and/or appoint a NEO-RLS employee to make such statements in his/her absence.

2.8 NEO-RLS Board Election Process

On the first business day of April, the NEO-RLS staff will distribute the notice of vacant board positions to the appropriate member representatives. All eligible persons interested in running for designated open seats must submit a signed notice to NEO-RLS on or before the last Friday in April. All notices received after this day will be disregarded.

The NEO-RLS staff will distribute the online ballots to the appropriate membership representatives on the first business day of May. All membership representatives of each group will be able to vote on the seat for his/her group and all at-large seats. Online ballots will be removed at the end of the last business day of May. In the case of a tie, the final decision will be made by the Board President.

Once the elections are complete, the Nominating Committee meets and creates a slate of candidates for the offices of Vice President/President-Elect and Secretary to present to the NEO-RLS Board of Trustees at its next Board meeting. Elections for the Vice
President/President-Elect and Secretary of the NEO-RLS Board of Trustees will be done at the July Board meeting.

2.9 Compliance with Ohio's Open Meeting Law

2.9.1 Open Meetings and Agenda Notification

NEO-RLS welcomes membership and public participation at its Board meetings. Meeting dates are determined at the Organization Meeting in July of each year. All announcements of meetings including any changes in location, date or time will be published on the NEO-RLS website.

The Trustees have a written agenda for each meeting. Any citizen or NEO-RLS member wishing to be part of the agenda must give the Executive Director twenty-four hours written notice of the request to address the Board. Each speaker will be permitted to speak for five minutes. Notification will allow the Board to better address these concerns at the meeting.

2.9.2 Types of Meetings

The meetings of the NEO-RLS Board that are subject to the Sunshine Law are: regular meetings, special meetings, or any other meeting where a majority or more trustees are present. If decision-making is delegated by the NEO-RLS Board to another group, then the meetings of that group must also comply. In addition, all committees of the Board must comply with the Sunshine Law.

2.9.3 Minutes

Minutes are kept of all regular and special meetings by the Board Secretary and maintained and housed with the Fiscal Officer. Board minutes may be viewed on the NEO-RLS website within a timely fashion after Board approval. Committee meeting minutes are kept by an appointed Committee member and are maintained and housed with the Fiscal Officer.

2.9.4 Executive Session

The Ohio Sunshine Law specifies that at regular and special meetings of the Board, in the interest of effective government or confidentiality, certain discussions may be conducted within an executive session at which only certain specified individuals are present. Executive sessions may only be held as part of a regular or special meeting. Executive session must be approved by a majority of the quorum and by roll call vote.
The minutes of regular or special meetings must include a report of the general matter of the executive session. During an executive session, discussions and deliberations may take place on permitted matters. No final decision may be made during executive session. All voting shall take place in a public meeting. The topics that may be discussed in executive session are limited to personnel matters, real property transactions, conferences with attorneys and auditor's exit conferences.

2.9.4.1 Personnel Matters

An executive session may be called for the purpose of discussing the appointment, employment, dismissal, discipline, promotion, demotion or compensation of a public employee. The motion to hold an executive session need not list any names. Final decisions, if any, shall be made in a public meeting.

2.9.4.2 Purchase or Sale of Property

The purchase of property for NEO-RLS purposes or the sale of NEO-RLS property at competitive bidding may be discussed in executive session, in order to prevent premature disclosure of information and creating an unfair competitive advantage. The actual purchase or sale shall take place in a public meeting.

2.9.4.3 Conferences between the NEO-RLS Board and its Attorney

Conferences between the NEO-RLS Board and its attorney may be held in executive session as long as the conferences concern a dispute involving NEO-RLS in pending or imminent court action.

2.9.4.4 Auditor Conferences

By law, auditor exit conferences are confidential prior to release of the report.

2.9.4.5 ORC 121.22

Any other provisions of ORC 121.22 that could apply to NEO-RLS.

2.10 Library Bill of Rights/Freedom to Read

The NEO-RLS Board of Trustees abides by the American Library Association's Library Bill of Rights and Freedom to Read Statement (See ALA website ala.org).
2.11 Office Operations

2.11.1 Hours of Service

The NEO-RLS office shall be open to the public and member libraries Monday through Friday, from 8:30 a.m. until 4:30 p.m. with the exception of the following holidays:

- New Year's Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Day before Christmas
- Christmas Day
- Day after Thanksgiving
- Day before New Year's Day

Members will be notified in advance of any additional changes to these hours when possible.

2.12 Disclosure of Public Records

NEO-RLS abides by the *Ohio Revised Code* Section 149.43, “Availability of Public Records for Inspection and Copying” and any amendments to that statute. ORC 149.43 defines public records as any document, device or item regardless of the physical form or characteristic, including an electronic record, that is created or received by or coming under the jurisdiction of NEO-RLS that documents the organization, functions, policies, decisions, procedures or other activity of NEO-RLS. All records are public unless they are specifically exempt from disclosure under the *Ohio Revised Code*.

In order to facilitate broader access of such records, NEO-RLS shall organize and maintain its records in such a manner so that they can be made available in accordance with this policy.

All public records (which include vendor requests for records of NEO-RLS member libraries) not specifically excluded from disclosure, must upon request, be promptly prepared and made available for inspection to any person at all reasonable times during regular business hours. Upon request, copies of the records are to be provided at cost. When portions of a record are exempt from disclosure, the exempt portions are to be redacted and the rest of the record released. Any redactions must be accompanied by a supporting explanation including legal authority as required by and detailed in the *Ohio Revised Code*.

The requester must identify the records requested with sufficient clarity to allow NEO-RLS to identify, retrieve and review the records. If it is not clear what is being sought, the Executive Director or Fiscal Officer must contact the requester for clarification. Whenever possible, NEO-RLS will provide public records in the format requested.
However, NEO-RLS is not required to provide records in a format other than how they are normally created or stored. The Executive Director or Fiscal Officer will inform the requester as to the manner in which the requested records are created and stored.

Documents in electronic mail format are records as defined by the Ohio Revised Code when their content meets the definition of a public records. Email is to be treated in the same fashion as other types of records.

Items in private email accounts that meet the definition of a public record are subject to disclosure and all employees and Board members are to retain them accordingly. The Executive Director and Fiscal Officer will handle incoming and outgoing emails from or to private accounts that meet the definition of public records by filing them in an appropriate way, retaining them per established schedules and making them available for inspection and copying in accordance with the Public Records Act. Records in private e-mail accounts used to conduct public business are subject to disclosure, and all NEO-RLS employees must retain e-mails that relate to public business and copy them to their business e-mail accounts.

2.13 Retention and Disposal of Records

NEO-RLS, like all other public entities in the State of Ohio, must retain records from year to year. Although the Ohio Revised Code does not set guidelines for libraries or regionals, the NEO-RLS Board of Trustees adopts the following policy for records retention:

2.13.1 Records’ Commission

A Records Commission shall be annually established, composed of the Fiscal Officer, the Executive Director and the President of the Board of Trustees. The Commission shall meet annually, for the purpose of approving records to be disposed, and minutes will be maintained and filed with the Fiscal Officer The Fiscal Officer shall be designated as the Records Officer, and shall prepare the list of records to be disposed. The Executive Director shall be designated as the Commission Chair. The list shall be sent to the Ohio Historical Society if required for approval of the records. A file will serve as the official record of all actions taken by the Records Committee in regards to the disposal of records. The file will contain all disposal lists and approvals, and will be considered permanent records of the Board of Trustees.
2.13.2 Records’ Retention

Records shall fall into two categories: Permanent and Non-Permanent. The following list shows the retention period of specific records, which is compiled from recommendations of the State Auditor's Office and the Ohio Historical Society.

See Appendix A for the complete Records Retention and Disposition Schedule.

2.14 Computer Resources - Use and Security

The safety and security of the organization's networks and systems are reviewed by the Technology Committee for inclusion in the bi-annual policy updates and as part of the NEO-RLS technology plan.

2.14.1 Training

Computer resources may be used for training members and the general public if workshops are developed or approved by the Executive Director.

2.14.2 NEO-RLS Website

The information hosted on the NEO-RLS website for and about member libraries must support the Mission of NEO-RLS.

Website content must be relevant to the general interests and activities of its member libraries. It must affect, assist and inform the membership and/or internet viewers.

NEO-RLS reserves the right to control the scope of the member libraries’ information, to make final decisions on any adjustments or updates to the content, and to determine the length of time the information will be on the website.

Unless compiled by NEO-RLS staff, information about member libraries for the website must be submitted by authorized personnel from those libraries. Hosting of member library information must adhere to local, state and federal laws. Material which violates the intellectual property or personal privacy of others shall not be used.

The NEO-RLS website shall not be used for commercial/personal activities that do not support its Mission or those of member libraries.

Member library content must be timely and accurate.
2.14.3 NEO-RLS Social Media

NEO-RLS uses social media to reach out to its members to disseminate information about membership, services and learning opportunities. Social media also provides an online forum to facilitate the sharing of ideas and information about NEO-RLS and library-related subjects and issues among NEO-RLS staff and its members.

Social media includes, but is not limited to, formats such as instant messaging, social network pages, discussion lists, websites, and text-based posts.

Posting by NEO-RLS staff must reflect the official position of NEO-RLS.

Posting by NEO-RLS staff must adhere to the privacy policies of third party sites such as Facebook.

NEO-RLS reserves the right to monitor, edit and remove content of all of its social networking sites to comply with all organizational policies.

NEO-RLS is not responsible for, or liable for, any content posted by any participant in a social media forum who is not a member of its staff.

2.15 Disposal of NEO-RLS Audio-Visual Materials, Books, Equipment

The NEO-RLS Board of Trustees may annually declare that surplus items may be identified and discarded by the Executive Director. Written permission must be acquired from the State Library of Ohio before disposing of any item that was purchased with LSCA or LSTA funds.

2.16 Optional Services

The Northeast Ohio Regional Library System shall make available various library and library technology related services that may be subscribed to by the library community.

The NEO-RLS Board shall adopt the services on a case-by-case basis as recommended by the Executive Director. The Board shall set the cost for new services.

The Board shall annually review the NEO-RLS Fees and Services structure (see Section 3.9.3).
2.16.1 Cancellation

NEO-RLS reserves the right to cancel the contract with the member library for failure to follow established guidelines as specified in the agreement between the NEO-RLS Board and the participating library.

2.16.2 Damages

Any damage to or loss of any items will be the financial responsibility of the participating library or library system. The participant should notify the NEO-RLS Office upon the discovery of a lost or damaged item.

2.17 Continuing Education Policy

NEO-RLS offers a wide variety of continuing education experiences for various types of libraries and all levels of staff and trustees at these libraries. The purpose of these learning experiences is for attendees to keep abreast of changes in the library world and in their own area of responsibility; improve their professional skills and knowledge; improve the quality of service that their library provides; and share information among NEO-RLS’ diverse membership. The Continuing Education program NEO-RLS provides is a primary component of its mission statement, and NEO-RLS strives to offer quality programs at significantly lower costs than the private sector. To determine the Continuing Education needs of NEO-RLS’ diverse membership, a needs assessment will be conducted bi-annually. NEO-RLS will regularly evaluate programs offered to determine the effectiveness of the subject matter and the abilities of the presenters and topics for future presentations.

Continuing Education certificates may be awarded to individuals upon the completion of each NEO-RLS workshop.

2.17.1 Contracted Training

NEO-RLS also may provide off-site training on a contracted basis. Fees are determined by "NEO-RLS Fees and Services” table (See Policy 3.9.3). In addition, costs of a trainer’s travel (mileage costs at current IRS rates), meal costs, and overnight accommodations may be added.
2.17.2 Cancellation Policy

Attendees will be expected to pay for program attendance at the time of registration. If the original attendee cannot attend, a substitute may attend instead. Fees may be reimbursed if no one attends the program or if they give notice prior to the program.

NEO-RLS reserves the right to cancel a workshop at the discretion of the Education and Events Coordinator or the Executive Director, based on inadequate attendance and/or weather conditions. Registration fees will be reimbursed for such cancellations.

2.17.3 Weather Policy

Rarely is an event cancelled due to weather. Since weather may vary from county to county, there are often questions as to whether an event is being held. Every attempt will be made to notify attendees of cancellations in a timely manner.

2.17.4 Consulting Fees

NEO-RLS staff is available to provide consulting services. Fees will be based on the NEO-RLS Fees and Services table (see Policy 3.9.3).

3. Financial Policies

3.1 Funds

3.1.1 Federal Funds

Grant monies awarded to NEO-RLS, generally from LSTA funds, to be applied to specific projects applied for by NEO-RLS.

3.1.2 State Funds

State Funds (Special Revenue Fund) Fund 200s are proceeds that are legally restricted for specific expenditures for those specific services stated by the State Library of Ohio's bi-annual contract held with NEO-RLS (Appendix A).

3.1.3 Local Cash

Local Cash (General Operating Fund) Fund 101 are monies generated from annual fees assessed to the membership and to be used for operational purposes.
3.1.4 Petty Cash Fund

The NEO-RLS Petty Cash Fund, housed with the Fiscal Officer, shall be available for purchases of refreshments for meetings and for other items not obtainable through regular purchase order procedure. The amount of the petty cash fund shall be established annually by the NEO-RLS Board of Trustees at its Organizational Meeting. The amount of the fund may be reviewed periodically and changed if warranted.

3.1.5 Other Funds

Separate accounting shall be kept and produced when requested for optional services and any other special needs as determined by the Board.

3.1.6 Fund Balance Policy

The following policy has been adopted by the Northeast Ohio Regional Library System in order to address the implications of Governmental Accounting Standards Board (“GASB”) Statement No. 54, Fund Balance Reporting and Governmental Fund Definitions. The policy is created in consideration of unanticipated events that could adversely affect the financial condition of the Northeast Ohio Regional Library System and jeopardize the continuation of necessary public services. This policy will ensure that adequate fund balances and reserves are maintained in order to:

a. Provide sufficient cash flow for daily financial needs  
b. Offset significant economic downturns or revenue shortfalls  
c. Provide funds for unforeseen expenditures related to emergencies  
d. Maintain investment grade bond ratings

Fund Type definitions:

The following definitions will be used in reporting activity in governmental funds across the Northeast Ohio Regional Library System when applicable.

The **general fund** is used to account for all financial resources not accounted for and reported in another fund.

**Special revenue funds** are used to account and report the proceeds of specific revenue sources that are restricted or committed to expenditures for specific purposes other than debt service or capital projects.

**Debt service funds** are used to account for all financial resources restricted, committed or assigned to expenditure for principal and interest.
Capital projects funds are used to account for all financial resources restricted, committed or assigned to expenditure for the acquisition or construction of capital assets.

Permanent funds are used to account for resources restricted to the extent that only earnings, and not principal, may be used for purposes that support the mission of the Northeast Ohio Regional Library System.

Fund Balance Categories:

Fund balance will be reported in governmental funds under the following categories using the definitions provided by GASB Statement No. 54:

Non-spendable fund balance

Definition— includes amounts that cannot be spent because they are either (a) not in a spendable form or (b) legally or contractually required to be maintained intact.

Classification— Non-spendable amounts will be determined before all other classifications and consist of the following items:

- The balance of any long-term outstanding balances due from others (including other internal funds).
- The value of prepaid items and any inventory balances.
- The principal of any permanent funds held legally or contractually required to be maintained intact.
- The balance of any nonfinancial assets held for sale.

Restricted fund balance

Definition— Includes amounts that can be spent only for the specific purposes stipulated by the constitution, external resource providers, or through enabling legislation.

Committed fund balance

Definition— Includes amounts that can be used only for the specific purposes determined by a formal action of the board of trustees.

Authority to commit— Commitments will only be used for specific purposes pursuant to a formal action of the board of trustees of the Northeast Ohio Regional Library System. A majority vote is required to approve a commitment and a two-thirds majority vote is required to remove a commitment.
Assigned fund balance

**Definition**— includes amounts intended to be used by NEO-RLS for a specific purpose but do not meet the criteria to be classified as restricted or committed. In governmental funds other than the general fund, assigned fund balance represents the remaining amount that is not restricted or committed.

**Authority to assign**— the Board of Trustees delegates to the Fiscal Officer and/or the Executive Director or their designee the authority to assign amounts to be used for specific purposes. Such assignments cannot exceed the available (spendable, unrestricted, or uncommitted) fund balance in any particular fund.

Unassigned fund balance

**Definition**— includes the residual classification for the government's general fund and includes all spendable amounts not contained in the other classifications. In other funds, the unassigned classification should be used only to report a deficit balance from overspending for specific purposes for which amounts had been restricted, committed, or assigned.

Encumbrance reporting

Encumbering amounts for specific purposes for which resources have already been restricted, committed or assigned should not result in separate display of encumbered amounts. Encumbered amounts for specific purposes for which amounts have not been previously restricted, committed or assigned, will be classified as committed or assigned, as appropriate, based on the definitions and criteria set forth in GASB Statement No. 54.

Prioritization of fund balance use

When expenditure is incurred for purposes for which both restricted and unrestricted amounts are available, it shall be the policy of the Northeast Ohio Regional Library System to consider restricted amounts to have been reduced first. When expenditure is incurred for purposes for which amounts in any of the unrestricted fund balance classifications could be used, it shall be the policy of the Northeast Ohio Regional Library System that committed amounts would be reduced first, followed by assigned amounts and then unassigned amounts.

Minimum committed fund balance for cash flow

The Northeast Ohio Regional Library System will maintain a minimum committed fund balance in its General Fund sufficient to provide operating cash flow for the
governmental pooled funds from July 1st through June 30th of each year. This minimum fund balance is to protect against cash flow shortfalls related to timing of projected revenue receipts.

**Replenishing deficiencies**— when fund balance falls below the minimum necessary to ensure sufficient cash flow for operations, NEO-RLS will replenish shortages/deficiencies by either reducing expenditures and/or increasing fees for services or other funding as soon as reasonably possible. The strategies and time frame to accomplish the replenishment shall be recommended by the Fiscal Officer and/or the Executive Director to the Finance Committee for review and approval.

**Surplus fund balance**— should there be surplus unassigned fund balance, NEO-RLS will determine use of such fund balance surpluses. These surplus funds will remain in the general fund as a surplus carryover until NEO-RLS determines its use.

**Implementation and review**

Upon adoption of this policy, the board of trustees authorizes the Fiscal Officer to establish any standards and procedures which may be necessary for its implementation. The Fiscal Officer shall review this policy at least annually and make any recommendation for changes to the Finance Committee.

### 3.1.7 Reserve Fund

The Reserve Funds, which are part of the Local Cash Fund, are used to account for committed funds for the purpose of “going out of business.” Board action has established that a designated amount will be kept in the Reserve Fund for this purpose.

### 3.1.8 Technology Fund

The Technology Fund is a capital projects fund to account for technology related purchases and expenses. This fund will be governed by existing expenditure policies.

### 3.2 Expenses

#### 3.2.1 Checking Account

The Checking Account is used to pay all expenses.

All checks written from the regular account require two (2) signatures: that of (a) the Fiscal Officer or the Deputy Fiscal Officer and (b) the Board President or any officer currently authorized should the Board President be unavailable.
3.2.2 Purchase Orders

A purchase order is required prior to any expenditure of funds, and must be signed by (a) the Executive Director and (b) the Fiscal Officer. The Executive Director is assuring that funds are properly expended and the Fiscal Officer is assuring that funds are available for the expenditure.

3.2.3 Credit Card Policy

The use of credit cards is for the efficient acquisition of goods and services solely for the benefit of the operation of NEO-RLS.

This policy applies to all payment cards, checks or other payment instruments associated with a credit account issued by a financial institution or a retailer. All such cards and instruments are referred to herein as “credit cards”.

This policy does not apply to procurement cards (P-cards), or to gas cards or other payments cards that are capable of use only for the purchase of certain limited types of goods.

NEO-RLS will not obtain or maintain debit cards.

The Fiscal Officer will work with the appropriate financial institutions that issue credit cards to determine the best type of credit card accounts for NEO-RLS, and also determine which store accounts NEO-RLS will utilize.

1. The Fiscal Officer is responsible for working with the financial institution to determine the dates when credit cards expire and the re-issuance of replacement cards
2. The Fiscal Officer is responsible for determining, when necessary, the need to cancel a credit card account and any adjustment to credit limits on the credit cards
3. The Fiscal Officer is responsible for notifying the issuing financial institution of a lost or stolen card

The NEO-RLS Board of Trustees shall permit the Executive Director, Fiscal Officer, Education and Events Coordinator and Research and Innovation Coordinator to use credit cards for:

- Expenses incurred while travelling as official representatives of NEO-RLS
- Office Supplies
- Workshop venues, food and supplies
- Speaker Travel Expenses
- Emerging Tech Lab supplies
- Recurring bills approved by the Fiscal Officer
- Purchases not available through standard purchase order procedure

The credit cards shall list NEO-RLS and the names of the approved staff members as cardholders. All cardholders will be required to sign a Cardholder Agreement Form prior to initial receipt of a credit card. The Credit Card Policy and Credit Card Form establish the Credit Card Program. It is the responsibility of the employee to report lost or stolen credit cards or if NEO-RLS personnel become aware of unauthorized or fraudulent use of NEO-RLS’ credit card accounts, the same must be reported immediately to the Fiscal Officer and Compliance Officer. The Fiscal Officer will then take proper measures to ensure that the card will be replaced.

All monthly credit card statements and other correspondence associated with the credit card accounts will be sent to NEO-RLS. Payment of monthly statements must be made in a timely fashion so that finance charges and late payments fees are not incurred.

All credit card purchases must be accompanied by an itemized receipt. In cases where an itemized receipt is not produced, the employee will be liable and will reimburse NEO-RLS for the amount not accounted for. Consistent missing receipts will result in forfeiture of the credit card. All purchases not covered by a blanket purchase order require a requisition approved by the Executive Director prior to purchases. All of the NEO-RLS’ regular purchasing procedures apply to credit card purchases. Itemized receipts, purchase orders, packing lists and check will be kept with the reconciled credit card statement.

Use of a credit card for personal expenditures, for expenditures in excess of the applicable credit limit, or otherwise in violation of this policy constitutes a misuse of the credit card. Cash withdrawals are not permitted using a credit card. The credit card vendor will restrict cash withdrawals as a security measure. Any NEO-RLS personnel engaging in misuse of a credit card may be subject to disciplinary action up to and including termination of employment.

All monthly credit card statements will be reviewed by those Board members who sign NEO-RLS’ checks. The Fiscal Officer will also review the credit card statements on a monthly basis and will sign an attestation to such review.

The NEO-RLS Board of Trustees appoint the Executive Director as the Compliance Officer to semi-annually review all credit card accounts including the number of cards.
issued and the number of active cards issued, the card’s expiration dates, use of the cards and the credit card limits to ensure that use is in the best interest of NEO-RLS.

Credit card limits:

Executive Director  
Max $5000  Min $2000  
Fiscal Officer  
Max $5000  Min $2500  
Education and Events Coordinator  
Max $6500  Min $3500  
Research and Innovation Coordinator  
Max $6500  Min $2500  

Reimbursement for expenses incurred by use of personal credit cards will follow appropriate Financial Policy guidelines and office procedures.

NORTHEAST OHIO REGIONAL LIBRARY SYSTEM  
CREDIT CARD PROGRAM  
CARDHOLDER AGREEMENT FORM

By participating in the NEO-RLS Credit Card Program as a Cardholder, you assume responsibilities pertaining to the operation and administration of the Credit Card Program. These responsibilities include but are not limited to the following:

1. The NEO-RLS Credit Card is to be used for NEO-RLS expenditures only. The Credit Card may only be used under the parameters and procedures established for the Credit Card Program which are detailed in the Credit Card Policy and this document. The NEO-RLS Credit Card MAY NOT be used for any personal purchases, business entertainment purposes, or cash transactions.

2. The Credit Card will be issued in your name. By accepting the Card, you assume responsibility for the Card and will be responsible for all charges made with the Card. The Card is not transferable and may not be used by anyone other than you, the Cardholder.

3. Expenditures to be paid must be less than your credit limit. There are no exceptions.
4. NEO-RLS is exempt from sales tax, and all reasonable efforts should be made to ensure that sales tax is not charged by vendors in connection with purchases made via credit card.

5. The NEO-RLS Credit Card must be maintained with the highest level of security. If the Card is lost or stolen, or if you suspect the Card or Account Number has been compromised, you agree to immediately notify the Fiscal Officer and Compliance Officer of NEO-RLS.

6. It is your responsibility to make sure that a purchase order has been opened prior to any credit card purchase.

7. All charges will be billed and paid directly by the NEO-RLS. You must give all credit card receipts to the Fiscal Officer and all receipts must be itemized. For each billing period, the Fiscal Officer will verify and reconcile all account activity.

8. If itemized receipts are not produced, the employee will be liable and will reimburse NEO-RLS for the amount not accounted for. You are personally responsible for unauthorized credit card expenditures made in violation of applicable NEO-RLS policy.

9. Cardholder Accounts are subject to semi-annual internal control review and audits designed to protect the interests of the NEO-RLS. By accepting the Card, you agree to comply with these reviews and audits.

10. Parameters and procedures related to the Credit Card Program may be updated or changed at any time. NEO-RLS will promptly notify you of these changes.

You agree to surrender and cease use of the Card upon termination of employment. You may also be asked to surrender the Card at any time deemed necessary by NEO-RLS. Misuse or fraudulent use of the Card may result in disciplinary actions and may be grounds for dismissal.

**Employee Acknowledgement:**

*By signing below, I acknowledge that I have read the Cardholder Agreement Form and the Credit Card Policy and agree to the terms and conditions of these documents. I certify that as a participating Cardholder of the NEO-RLS Credit Card Program, I understand and assume the responsibilities listed above. I further acknowledge that any misuse of the credit card may result in disciplinary action up to and including termination of employment.*

<table>
<thead>
<tr>
<th>Employee Signature</th>
<th>Fiscal Officer Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>___________________</td>
<td>________________________</td>
</tr>
<tr>
<td>Date</td>
<td>Date</td>
</tr>
</tbody>
</table>
3.2.4 Bidding, Leasing, and Purchasing

3.2.4.1 Solicitation of Price Quotations

The NEO-RLS Board of Trustees uses *Ohio Revised Code* Section 3375.41 as a guideline for the formal bidding process for expenditures over fifty thousand dollars as described in the code (see Board Policy #3.2.6.2 for more information on formal bidding). The following policy shall govern those purchases over fifteen thousand and under fifty thousand dollars and those that are not applicable to ORC 3375.41.

To eliminate any kind of favoritism, misrepresentation or misuse of public funds, NEO-RLS office staff will adhere to the following procedures when requesting price quotations for the purchase of equipment, supplies, or services for the NEO-RLS program and for member libraries:

1. Specifications for services and equipment will be sent to or requested from no less than three vendors. When appropriate, vendor suggestions will be solicited from knowledgeable sources, including member libraries whenever possible.

2. Staff will not divulge quotes to other vendors until after the established deadline of quote submittals.

3. When choosing a vendor, the location and past service as well as price will be considered. The vendor quoting the lowest price and/or best product and product support will be awarded the sale.

4. All companies which have provided quotations will be notified whether or not they received the sale.

3.2.4.2 Bidding Procedure

The NEO-RLS Board of Trustees uses *Ohio Revised Code* Section 3375.41 as a guideline for the formal bidding process for expenditures over fifty thousand dollars. Section 3375.41 applies only to construction, demolition, alteration, repair or reconstruction of a building. The bid process and legal advertisement must appear in a newspaper of general circulation once a week for a period of four weeks.

The bids shall be opened (by the Fiscal Officer, Board Member or other library employee as specified by Board Resolution) and read immediately after deadline for filing has expired. The bids shall be read publicly for the bidders present. A tabulation of the bids and the report of tabulation shall be made at the next Board meeting.
For expenditures of less than fifty thousand dollars and for items not applicable to ORC 3375.41, procedures in Board Policy Resolution #3.2.6.1 shall be followed.

### 3.2.4.3 Leasing/Maintenance of Equipment

All equipment leased and applicable maintenance agreements made by the NEO-RLS Board of Trustees shall be contracted for, listing payment amount, duration of the lease/agreement and other pertinent information. All equipment leases and maintenance agreements in excess of $15,000 shall be approved by the Board of Trustees.

### 3.3 Board Financial Reports

The Fiscal Officer shall provide the Board, prior to each meeting, a comprehensive financial report detailing expenses, receipts, balances of all funds, and the list of checks written. The Fiscal Officer shall review these reports at each meeting of the Board. In the event that there is no scheduled meeting for a particular month, the Fiscal Officer shall provide the above reports in the Board packet of the next scheduled meeting.

### 3.4 Fiscal/Administering Agent

#### 3.4.1 NEO-RLS as Agent

NEO-RLS, with Board approval, may contract with member libraries or other entities to act as fiscal and/or administrating agent for levies, grants, etc. All legal fees, audit costs, additional bond premiums, supplies, travel and other expenses incurred and/or required by the arrangement shall be the financial responsibility of the organization contracting with NEO-RLS. The NEO-RLS Board may also elect to assess an administration fee in addition to the above expenses. NEO-RLS and its Board shall not incur any liability for any of the contracting organization’s employees, including wages, fringe benefits, Workers’ Compensation, unemployment compensation or other obligations. The NEO-RLS Board of Trustees will review such arrangements on a regular basis.

#### 3.4.2 Requests for Purchases

All requests for purchases shall be made to the Executive Director in writing using the accounting software. All ordering information, including date needed, vendor address, phone number, contact person and prices shall be provided.
3.5 Audits

Audits will be conducted on an annual or bi-annual basis as required under the guidance of the State Auditor's Office.

3.6 Deposit of Public Funds

In accordance with H.B. 220 all public money received by the library will be receipted and kept in a secure place by the Fiscal Officer. Moneys exceeding $1,000 will be deposited on the next business day. Daily receipts that accumulate to $1,000 or less will be deposited within three business days. Funds that are not deposited within 24 hours will be secured/safeguarded until they can be deposited. The Fiscal Officer is responsible for ensuring this process.

3.7 Investment Policy - NEO-RLS

3.7.1 Scope

This written investment policy shall apply to all active, interim, and inactive monies of the NEO-RLS and shall remain in effect until such time as the Board of Trustees amends it.

3.7.2 Objectives

NEO-RLS shall use in order the following objectives for management of the investments:

1. Safety - Ensure the preservation of capital and the protection of investment Principal.
2. Liquidity - Maintain sufficient liquidity to meet the fiscal operating requirements.
3. Yield - Strive to attain the best return on investments.
4. Diversification of maturity dates and investment sources.

3.7.3 Investing Authority

The investing authority for the NEO-RLS shall be the Fiscal Officer or the Deputy Fiscal Officer.
3.7.4 Investment Instruments

The Investing Authority may deposit and/or invest in the following instruments, as detailed in Section 135.14 of the *Ohio Revised Code* at a price not to exceed the fair market value of the specific investment instrument:

1. Bonds, notes or other obligations of, or guaranteed by, the United States, or those for which the faith of the United States is pledged for the payment of principal and interest thereon.
2. Bonds, notes, debentures, or other obligations or securities issued by any federal government agency or instrumentality.
3. Time certificates of deposit or savings account, including, but not limited to passbook accounts, in any eligible institution mentioned in Section 135.14 of the *Ohio Revised Code*.
5. Written repurchase agreements.
6. The State Treasurer's investment pool (Star Ohio)

3.7.5 Maturities

No investment shall have a maturity date of more than five (5) years from its date of purchase, except repurchase agreements shall have a maturity date not to exceed thirty (30) days.

3.7.6 Collateral Requirements

All investments shall be collateralized as detailed in Section 135.181 of the *Ohio Revised Code*. The following may serve as collateral for deposits provided no such securities pledged as collateral are at any time in default as to either principal or interest.

1. Obligations of or fully insured or fully guaranteed by the United States or any federal government agency, at face value.
2. Obligations partially insured or partially guaranteed by any federal government agency at face value.
3. Obligations of or fully guaranteed by the federal national mortgage association or the federal home loan mortgage corporation, at face value.

4. Obligations of any state, county, municipal corporation, or other legally constituted authority of any state, or any instrumentality of any state, county, municipal corporation, or other authority which are secured as to the payment of principal and interest by the holding in escrow of obligations of the United States for which the full faith and credit of the United States is pledged, at face value.

5. Obligations of this state, or any country or other legally constituted authority of this state, or any instrumentality of this state, or such county or other authority, at face value.

6. Obligations of any other state; at ninety percent of face value.

7. Obligations of any county, municipal corporation, or other legally constituted authority of any other state, or any instrumentality of such county, municipal corporation, or their authority; at eighty percent of face value.

8. Notes representing loans made to persons attending or planning to attend eligible institutions of education and their parents and insured or guaranteed by the United States or any agency, department, or other instrumentality thereof, or guaranteed by the Ohio Student Sid Commission, at face value.

9. Any other obligations the treasurer of state approves, at the percentage of face value prescribed.

10. Shares of no-load money market mutual funds and repurchase agreements, at face value.

### 3.7.7 Authorized Public Depositories

The Board of Trustees of the NEO-RLS shall establish a depository agreement with any eligible institution, not to exceed five years in length. Any eligible institution is described as one that can meet the requirements of Section 135.01 of the Ohio Revised Code. As required by the ORC, the Public Depositories for which NEO-RLS does business with will sign off on NEO-RLS’ investment policy.
3.7.8 Distribution of Interest

The Board of Trustees may decide how to distribute any earned interest at the last board meeting of the fiscal year.

3.7.9 Safekeeping and Custody

The Investing Authority shall be responsible for the safekeeping of all documents evidencing a deposit or investment acquired under this section including, but not limited to, safekeeping receipts evidencing securities deposited with a qualified trustee, and documents confirming the purchase of securities under a repurchase agreement and deposited with a qualified trustee, provided, however, that if the participating institution is a designated depository of NEO-RLS for the current period of designation, the securities that are the subject of the repurchase agreement may be delivered to the Investing Authority or held in trust by the participating institution on behalf of the Investing Authority. Signature cards will be maintained per ORC 3375.35 to insure the safety of NEO-RLS’ investments.

3.7.10 Reporting

An investment journal including the financial institution, rate of return, purchase amount, duration of the investment, and the expiration of the depository agreement shall be submitted to the Board of Trustees by the Fiscal Officer upon request. The signature of a representative of the current financial institution shall be maintained on file in the Business Office.

3.8 Independent Contractors

3.8.1 General

When independent contractors are hired by the NEO-RLS Board of Trustees, all federal, state and local laws shall be followed. A contract, signed by the Executive Director, Fiscal Officer, or Board member and the independent contractor shall be kept on file. NEO-RLS shall issue Form W-9 - Request for Taxpayer I.D. Number which must be completed and returned. Form 1099-MISC will be issued if payments to the contractor total $600.00 or more in the calendar year in accordance with Internal Revenue Service laws. Independent contractors are required to complete and return an OPERS Independent Contractor/Worker Acknowledgment. Independent contractors must provide proof of Workers’ Compensation coverage before work begins in order to limit liability to the NEO-RLS Board of Trustees.
Presenters, speakers, trainers and temporary positions are considered independent contractors, and excepting workers' compensation, the above rules shall apply to them. Board Policy on workshop presenters continues below.

**3.8.2 Workshop Presenters/Honoraria**

NEO-RLS contracts with qualified presenters and trainers for workshops and other continuing education activities.

1. Presenters employed by Ohio libraries may receive federal mileage reimbursement if travel exceeds 100 miles.
2. Honoria contracts will be negotiated on an individual basis with presenters not employed by Ohio libraries.

**3.9 Fees and Dues**

**3.9.1 Workshops & Events**

All fees for workshops & events sponsored by NEO-RLS will be based on the NEO-RLS Fees and Services Schedule which is updated annually and available as a separate document. Charges for facilities and amenities will be added to workshop fees, if applicable.

**3.9.2 Vouchers**

Any library may purchase NEO-RLS vouchers. If a library does not renew membership, the library may continue to use any balance of vouchers for NEO-RLS services at the geographic member rate. Vouchers are non-refundable and may be used to pay for any NEO-RLS expense.

**3.9.3 Membership Dues, Fees and Services**

Membership dues are evaluated annually along with fees and services. Current schedules are available in a separate document.

**3.9.4 Reciprocal Memberships**

Libraries paying dues to another regional system in Ohio qualify for the Bronze level Membership discount.

**3.9.5 M.L.I.S. Students**
Any student currently enrolled in a library and information science program will receive Gold Member benefits at no cost. If a currently enrolled student is employed by a library, the higher level of membership benefits will take precedence.

3.10 Mileage and Expense Reimbursement

Board of Trustee Members, and other NEO-RLS members attending events on behalf of NEO-RLS, may be reimbursed for mileage, meals, lodging and other expenses following the Employee Handbook guidelines.
APPENDIX A

Records Retention and Disposition Schedule
<table>
<thead>
<tr>
<th>Record Series</th>
<th>Name</th>
<th>Description</th>
<th>Retention Period</th>
<th>Media Type</th>
<th>Location</th>
<th>Custodian</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADM 01</td>
<td>Administrative Policy Manual</td>
<td>Manual documenting policies and practices that have been formally adopted by the Board of Trustees and includes all administrative policies.</td>
<td>PERMANENT until superseded</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 02</td>
<td>Annual Membership List</td>
<td>List of all dues-paying members by category.</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 03</td>
<td>Board of Trustees Agenda Packet</td>
<td>Agendas, Prior Month’s Meeting Minutes, Financial, Director’s and Personnel Reports, Resolutions And All Documents Presented To Board of Trustees In Preparation For Regular, Special And Committee Meetings</td>
<td>3 years, with Agendas, Minutes and Resolutions removed and retained PERMANENTLY</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 04</td>
<td>Board of Trustees Committee Packet</td>
<td>Agendas, Meeting Minutes, Financial, Director’s and Personnel Reports, Resolutions And All Documents Presented To Board of Trustees In Preparation For Regular, Special And Committee Meetings</td>
<td>3 years, with Agendas, Minutes and Resolutions removed and retained PERMANENTLY</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 05</td>
<td>Board of Trustee Files</td>
<td>Board member election ballots, online voting results, contact information and appointment documents.</td>
<td>3 years after service provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 06</td>
<td>Board of Trustees History List</td>
<td>Ongoing record of Board members’ service, contact and committee information.</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 07</td>
<td>Board Resolutions</td>
<td>Ongoing and annual list of Board-approved resolutions.</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 08</td>
<td>Bylaws</td>
<td>Record of the rules adopted by the Board of Trustees for the governance of the organization and the regulation of its activities.</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 09</td>
<td>Consultant Reports</td>
<td>Reports submitted by consultants engaged by organization; reports submitted to libraries engaging NEO-RLS as consultant.</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office and Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 10</td>
<td>Consulting Proposals - Successful</td>
<td>Proposals for contracted consulting services including Strategic Planning, Staff Day Planning, Visual Identity Assessment, Board Development, Customized Trainings and Presentations</td>
<td>7 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office and Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 11</td>
<td>Consulting Proposals - Unsuccessful</td>
<td>Proposals for consulting services including Strategic Planning, Staff Day Planning, Visual Identity Assessment, Board Development, Customized Trainings and Presentations</td>
<td>1 year</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office and Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 12</td>
<td>Executive Director’s Monthly Report</td>
<td>Monthly update of activities to Board of Trustees.</td>
<td>5 years</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>Record Series</td>
<td>Name</td>
<td>Description</td>
<td>Retention Period</td>
<td>Media Type</td>
<td>Location</td>
<td>Custodian</td>
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</tr>
<tr>
<td>ADM 13</td>
<td>Incident Reports</td>
<td>Written reports of incidents or accidents involving public and/or staff</td>
<td>Current year plus 4 years if no claim filed; 4 years after settlement of filed claim</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s and Fiscal Officer’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 14</td>
<td>Membership Survey</td>
<td>Information collected from members on a variety of areas, such as quality of services, types of services, quality of workshops and webinars, types of workshops and webinars, organization’s members with regard to services and continuing education activities</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 15</td>
<td>Quarterly Report To State Library</td>
<td>Quarterly information reported to State Library of Ohio</td>
<td>5 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 16</td>
<td>State Charter Application</td>
<td>Documents related to the chartering of the Northeast Ohio Regional Library System as a Regional Library System under the State Library of Ohio</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer’s Office</td>
<td>Administration Office</td>
</tr>
<tr>
<td>ADM 17</td>
<td>Strategic Plans</td>
<td>Formal Board-adopted plans outlining NEO-RLS goals and planning processes for specific period</td>
<td>Current plan plus 2 previous plans</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
</tbody>
</table>

**Northeast Ohio Regional Library System**  
**Records Retention and Disposition Schedule**  
*This schedule applies to records in all formats*  
**ADMINISTRATION**
<table>
<thead>
<tr>
<th>Record Series</th>
<th>Name</th>
<th>Description</th>
<th>Retention Period</th>
<th>Media Type</th>
<th>Location</th>
<th>Custodian</th>
</tr>
</thead>
<tbody>
<tr>
<td>FIN 01</td>
<td>Annual Appropriations Resolution</td>
<td>As adopted by Board of Trustees</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 02</td>
<td>Annual Financial Report</td>
<td>Submitted to Auditor of State annually; includes Notes and required financial statements</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 03</td>
<td>Annual Financial Report Notice</td>
<td>Public notice that Financial Statement is available for review</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 04</td>
<td>Annual Permanent Budget</td>
<td>Adopted by the Board; used as guideline for revenue and expenses</td>
<td>10 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 05</td>
<td>Bank Deposit Receipts</td>
<td>Generated from remote desktop deposit software upon deposit of receipts; with backup documentation</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 06</td>
<td>Bank Statements</td>
<td>Monthly bank statements</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 07</td>
<td>Bank Account Reconciliations</td>
<td>Bank account reconciliation documents and reports</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 08</td>
<td>Biennial Audit Report</td>
<td>Auditor of State's or Independent public accounting firm's full audit report including Management Letter if applicable</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 09</td>
<td>Cancelled Checks</td>
<td>Electronic copies of library-issued checks cleared through bank</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 10</td>
<td>Census Reports</td>
<td>Reports requested by Census Bureau including Survey of Local Government Finances and Economic Census</td>
<td>6 years</td>
<td>Paper</td>
<td>Finance Office File Cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 11</td>
<td>Claims and litigation</td>
<td>Court and legal documentation</td>
<td>16 years after case closed and all appeals exhausted</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 12</td>
<td>Contracts/Service Agreements</td>
<td>With vendors, independent contractors, program presenters, others</td>
<td>6 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 13</td>
<td>Credit Card Employee Acknowledgment</td>
<td>Document acknowledging terms and conditions of Cardholder Agreement Form and Credit Card Policy signed by employees prior to credit cards being issued</td>
<td>Until superseded or employee terminated</td>
<td>Electronic</td>
<td>Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 14</td>
<td>Credit Card Receipts</td>
<td>Payment and settlement of credit card transactions for receipt of fees/other receipts</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Electronic file - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>Record Series</td>
<td>Name</td>
<td>Description</td>
<td>Retention Period</td>
<td>Media Type</td>
<td>Location</td>
<td>Custodian</td>
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</tr>
<tr>
<td>FIN 15</td>
<td>Depository Agreements</td>
<td>Agreements with banks for deposit of public funds as approved by Board of Trustees</td>
<td>6 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 16</td>
<td>Donation Acknowledgement</td>
<td>Document used to record monetary donations</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 17</td>
<td>E-Rate Records</td>
<td>Documents including required application forms and supporting documents</td>
<td>10 years</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 18</td>
<td>Errors and Omissions Insurance Policies</td>
<td>Issued by insurance company</td>
<td>6 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 19</td>
<td>Financial Ledgers and Journals</td>
<td>Accounting system-generated reports of transactions entered and posted</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 20</td>
<td>Fixed Asset Inventory</td>
<td>Inventories of fixed assets over threshold set by Board of Trustees</td>
<td>6 years and audited and superseded by updated inventory</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 21</td>
<td>General Liability and Property insurance</td>
<td>Issued by insurance company</td>
<td>15 years after completion with no legal action and all claims settled</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 22</td>
<td>Grant Files</td>
<td>Applications, awards and financial reports filed with granting agency</td>
<td>10 years after audited and all private, local, state and federal reporting and accounting requirements were met</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 23</td>
<td>Investment Reports</td>
<td>Reports submitted to Board of Trustees upon request detailing investments</td>
<td>4 years</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 24</td>
<td>IRS W-9 Forms</td>
<td>Completed by independent contractor providing Federal Identification or Social Security number</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 25</td>
<td>IRS 1099 Forms</td>
<td>Completed and filed IRS 1099 forms and 1098 form</td>
<td>10 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 26</td>
<td>Journal Entry and Reports</td>
<td>Journals and supporting documentation for posting to accounting system</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 27</td>
<td>Leases - Buildings and Equipment</td>
<td>Signed leases for buildings and equipment</td>
<td>10 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 29</td>
<td>Monthly Financial Report</td>
<td>Includes reports from accounting system -- Bank Report, Checks Written, appropriations and Fund reports</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
</tbody>
</table>

**FINANCE**
<table>
<thead>
<tr>
<th>Record Series</th>
<th>Name</th>
<th>Description</th>
<th>Retention Period</th>
<th>Media Type</th>
<th>Location</th>
<th>Custodian</th>
</tr>
</thead>
<tbody>
<tr>
<td>FIN 31</td>
<td>Payroll Ledgers and Journal Entry Reports</td>
<td>Transaction and documentation for posting payroll expenses to accounting system</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 32</td>
<td>Pledged Collateral Statements</td>
<td>Quarterly statements issued by banks showing collateral for public funds deposits as required by Ohio Revised Code</td>
<td>6 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 33</td>
<td>Purchase Orders</td>
<td>Signed; for library purchase of goods and services; accounting system-generated</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 34</td>
<td>Purchase Requisitions</td>
<td>Approved completed form generated by library staff requesting purchase of goods or services</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 35</td>
<td>Receivable Packets</td>
<td>Invoices generated from website and receivable check stub</td>
<td>6 years provided audited</td>
<td>Paper</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 36</td>
<td>Records Retention Schedule (RC-2)</td>
<td>Form and document as approved by Records Commission and filed with Ohio Historical Society and Auditor of State</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 37</td>
<td>Records Disposal, Certificate of (RC-3)</td>
<td>Form and document as approved by Records Commission and filed with Ohio Historical Society and Auditor of State</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 38</td>
<td>Request for Proposal Responses</td>
<td>Proposals as submitted in response to a Request for Proposal for goods and services (successful/ unsuccessful)</td>
<td>6 years after completion and audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 39</td>
<td>Surety Bonds</td>
<td>Public official surety bonds; original and renewal documents</td>
<td>6 years after completion and audited; with no legal action and all claims settled</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 40</td>
<td>Vendor Discount Forms</td>
<td>Forms submitted by vendors to participate in vendor discount program</td>
<td>Until superseded</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/Shared drive electronic file</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>FIN 41</td>
<td>Voucher Packets</td>
<td>Accounts payable invoices and copies of checks issued for payment and packing list if applicable</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Finance Office File Cabinet/ Electronic File - Finance Drive</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>Record Series</td>
<td>Name</td>
<td>Description</td>
<td>Retention Period</td>
<td>Media Type</td>
<td>Location</td>
<td>Custodian</td>
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</tr>
<tr>
<td>GEN 01</td>
<td>Department Files</td>
<td>Records kept by staff for department related purposes which are not otherwise covered by this schedule</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>Staff offices/Shared drive electronic file</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 02</td>
<td>Forms (Blank)</td>
<td>Records encompass numerous form templates used internally.</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All locations/Shared drive electronic file</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 03</td>
<td>General Correspondence - Routine</td>
<td>Communications to and from administration, management and staff, all others; includes email, written notes, memos or correspondence which does not influence or establish policy</td>
<td>2 years or until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All locations/Shared drive electronic file</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 04</td>
<td>General Correspondence - Substantive</td>
<td>Communications to and from administration, management and staff, all others in regards to policy, procedures, activities; includes email, notes and memos or correspondence</td>
<td>5 years or until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All locations/Shared drive electronic file</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 05</td>
<td>Historical Organization Records</td>
<td>Records document the history of the organization and its activities and may include newsletters, photographs, news articles from local media mentioning organization, etc.</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director’s Office/Shared drive electronic file</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 06</td>
<td>Meeting Records (internal) and Documents</td>
<td>Records of meetings consisting primarily of staff. Meetings may be regularly scheduled meetings or ad hoc meetings. Records may include agendas, meeting minutes, distributed materials and other related records.</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All locations</td>
<td>All staff</td>
</tr>
<tr>
<td>GEN 07</td>
<td>Public Records Requests</td>
<td>Requests for information or public records maintained by the organization and copies of records provided in response</td>
<td>2 years</td>
<td>Electronic</td>
<td>Electronic File - Finance Drive</td>
<td>Fiscal Officers' Office</td>
</tr>
<tr>
<td>GEN 08</td>
<td>Transient Records</td>
<td>All informal and/or temporary messages and notes, including e-mail and voice mail messages, copies, drafts, proofs, post-its</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All locations</td>
<td>All staff</td>
</tr>
<tr>
<td>Record Series</td>
<td>Name</td>
<td>Description</td>
<td>Retention Period</td>
<td>Media Type</td>
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</tr>
<tr>
<td>HRO 01</td>
<td>Annual Employee Absence Summary</td>
<td>Time off requests, eligibility reports</td>
<td>4 years</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 02</td>
<td>Applications for Employment</td>
<td>Documents pertaining to employment application including resume, cover letter, application form</td>
<td>Retain with Personnel Record if employed; others for 1 year</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 03</td>
<td>Benefit Plans - Premium Conversion Plans</td>
<td>Plan documents, agreements, plan information, enrollees, rate sheets</td>
<td>6 years after term of plan provided audited</td>
<td>Paper &amp; Electronic</td>
<td>HR File cabinet</td>
<td>HR Manager</td>
</tr>
<tr>
<td>HRO 04</td>
<td>Bureau of Workers Comp Employee Claims</td>
<td>Individual employee claims and BWC determinations</td>
<td>11 years after date of final payment</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 05</td>
<td>Bureau of Workers Comp - PERRP Form</td>
<td>Summary of Work Related Injury Forms</td>
<td>6 years provided audited and if no legal action and all claims settled</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 06</td>
<td>Employee Handbook</td>
<td>Current and previous versions of policies that govern the employment relationship</td>
<td>Current plus 6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 07</td>
<td>Employee Personnel Files</td>
<td>Applications, recommended hire forms, confirmation letters, background checks, performance plans, annual performance evaluations, workshop forms, tax forms, sick bank request forms, leave of absence forms, change forms, payroll deduction forms, Employee Handbook sign-off forms, Administrative Policy Manual sign-off forms, emergency contact forms</td>
<td>6 years after termination and audited, with OPERS, retirement waivers, service record and leave balances removed and retained separately</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 08</td>
<td>Form I-9 Immigration Reform and Control Act</td>
<td>I-9 forms completed by employees</td>
<td>4 years after no longer required by law, which is 3 years after date of hire, or 1 year after date of term, whichever is later</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 09</td>
<td>Job Descriptions</td>
<td>Record documents the classification, duties and responsibilities of a particular position</td>
<td>Until superseded or position eliminated</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 10</td>
<td>Job Postings/Interview Materials</td>
<td>Job postings, resumes, interviewee questions</td>
<td>Current plus 4 years</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 11</td>
<td>Legal Opinions and Matters</td>
<td>Human resource related questions and opinions related to employment, benefits, compensation</td>
<td>PERMANENT</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 12</td>
<td>Personal History Sheets</td>
<td>Running history of employment - date of hire, changes, leave of absences</td>
<td>PERMANENT - pull from personnel file at termination</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 13</td>
<td>Sick Bank Documents</td>
<td>Enrollment forms, eligibility reports, statements</td>
<td>6 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>HRO 14</td>
<td>Volunteer and Practicum Student Information</td>
<td>Applications and reference release forms</td>
<td>3 years after removal from Volunteer list</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer cabinet</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>Record Series</td>
<td>Name</td>
<td>Description</td>
<td>Retention Period</td>
<td>Media Type</td>
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</tr>
<tr>
<td>MAN 01</td>
<td>Annual report</td>
<td>Organization publication of annual summary of activity, statistics, progress,</td>
<td>PERMANENT beginning 2015-2016</td>
<td>Paper &amp; Electronic</td>
<td>Executive Director's Office and Fiscal Officer' Office/Shared drive electronic file</td>
<td>Administration Office</td>
</tr>
<tr>
<td>MAN 02</td>
<td>Member Management System Reports</td>
<td>Reports generated from the Member Management System including invoices, statistics for continuing education, event plan</td>
<td>Until no longer of administrative value</td>
<td>Electronic</td>
<td>Member Management System</td>
<td>All staff</td>
</tr>
<tr>
<td>MAN 03</td>
<td>Non-paid Presenter Agreements</td>
<td>Agreement with program presenters not receiving payment</td>
<td>Current year plus 1 year</td>
<td>Paper &amp; Electronic</td>
<td>Shared drive electronic file</td>
<td>Education and Events Coordinator</td>
</tr>
<tr>
<td>MAN 04</td>
<td>Professional Activities Files</td>
<td>Records related to participation in professional organizations</td>
<td>2 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>All staff</td>
<td>All staff</td>
</tr>
<tr>
<td>MAN 05</td>
<td>Program Registrations</td>
<td>Names of members registered to attend NEO-RLS programs</td>
<td>30 days after program concludes</td>
<td>Paper &amp; Electronic</td>
<td>Membership Management System/electronic</td>
<td>Education and Events Coordinator</td>
</tr>
<tr>
<td>MAN 06</td>
<td>Promotional Materials</td>
<td>Printed copies, digital files, website graphics, photos, videos, sound recordings or any other audio visual media used to promote or advertise organization’s functions, events or services</td>
<td>Until no longer of administrative value</td>
<td>Paper &amp; Electronic</td>
<td>All staff</td>
<td>All staff</td>
</tr>
<tr>
<td>MAN 07</td>
<td>Workshop/Webinar/Event Agendas</td>
<td>Agendas for individual workshops, webinars and events</td>
<td>1 year</td>
<td>Paper &amp; Electronic</td>
<td>Education and Events Coordinator/Shared drive electronic file</td>
<td>Education and Events Coordinator</td>
</tr>
<tr>
<td>MAN 08</td>
<td>Workshop/Webinar/Event Attendance</td>
<td>Lists of attendees to all programs and events; sign-in sheets</td>
<td>1 year</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer's Office/Member Management System</td>
<td>Administration Office</td>
</tr>
<tr>
<td>MAN 09</td>
<td>Workshop/Webinar/Event Presentations by NEO-RLS Staff</td>
<td>PowerPoint, handouts, scripts, activities associated with all program presentations by staff</td>
<td>7 years</td>
<td>Paper &amp; Electronic</td>
<td>All staff</td>
<td>All staff</td>
</tr>
<tr>
<td>MAN 10</td>
<td>Workshop/Webinar/Event Transcripts</td>
<td>Record of attendance and CE credits earned by attendees</td>
<td>Current year plus 1 year</td>
<td>Electronic</td>
<td>Membership Management System</td>
<td>All staff</td>
</tr>
<tr>
<td>MAN 11</td>
<td>Software</td>
<td>Installation files and license information for end user software</td>
<td>Destroy when obsolete</td>
<td>Electronic</td>
<td>Fiscal Officer's Office</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>MAN 12</td>
<td>Staff Schedules</td>
<td>Weekly record of staff schedules, staff requests for schedule changes</td>
<td>2 years provided audited</td>
<td>Paper &amp; Electronic</td>
<td>Fiscal Officer's Office</td>
<td>Fiscal Officer</td>
</tr>
<tr>
<td>MAN 13</td>
<td>System Backups</td>
<td>Weekly backup files maintained for potential system restoration</td>
<td>Until superseded or no longer of administrative value</td>
<td>Electronic</td>
<td>Fiscal Officer's Office/Executive Director's Office</td>
<td>Administration Office</td>
</tr>
</tbody>
</table>