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**IDAHO DEPARTMENT OF PARKS AND RECREATION  
POLICY AND PROCEDURES MANUAL**

**PROCEDURE TITLE:** Records Retention and Disposal

**APPROVALS**

*Nancy Munn*  
Director

DIRECTOR  
Policy Owner

**IDPR RECORDS RETENTION AND DISPOSAL POLICY**

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.  
All retention periods are filed by calendar year.

***DEFINITION OF RECORDS***

All papers, correspondence, memoranda, accounts, reports, maps, plans, photographs, sound and video recordings, files, microfilm, magnetic, or paper tapes, punched cards, or other documents, regardless of physical form or characteristic, which have been or shall be created, received, filed, or recorded by Idaho Department of Parks and Recreation employees in pursuance of law or in the conduct, transaction, or performance of any business or duty, whether or not confidential or restricted in use, are hereby declared to be records of the State of Idaho. These records shall be created, maintained, and disposed of in accordance with the provisions of law or procedures authorized by the Department of Administration and in no other manner. Materials acquired solely for reference, exhibit, or display, and stocks of publications shall not constitute records for purposes of this definition.

***RECORDS DECLARED PUBLIC PROPERTY***

All Idaho Department of Parks and Recreation records are declared to be the property of the citizens of Idaho. No government official or employee has, by virtue of his or her position, any personal or property rights to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or private use of such records is prohibited.

***RECORDS MANAGEMENT PROGRAM STATEMENT***

The Idaho Department of Parks and Recreation Records Management Program shall implement agency-wide policies and standard procedures for managing records according to the provisions of the Public Records Act and all other state and federal statutes and regulations which govern agency records management practices, including:

- Effective compliance with public disclosure requirements;
  - Insurance of records systems integrity and accessibility;
  - Transfer of historically valuable records to the State Archives;
  - Removal of non-current records from active office storage;
  - Protection and security backup of records essential to agency authority and operations;
  - Disaster preparedness; and
  - Systematic identification and disposal of records which have reached the end of the retention period specified on the retention schedule.

### ***RECORDS MANAGEMENT POLICY***

The director shall name a Records Officer for the Idaho Department of Parks and Recreation, and that Records Officer shall administer a Records Management Program that will coordinate records management operations and direct and control the disposition of public records in accordance with laws and established procedures. Each park and program manager within the agency shall name a Records Coordinator to provide support for the Records Officer and to oversee records management in their assigned area. The Records Coordinators will work with the Records Officer to ensure that:

- Records are accessible for public inspection and their security is maintained according to the provisions of the Public Disclosure Act.
- All information systems preserve the integrity and accessibility of public records for the duration of the established retention periods.
- Only active (referred to at least three times a year) records are stored in valuable office space.
- Non-current records are shifted to low-cost records center storage on a regular basis.
- Records essential to agency authority and operations are adequately protected from damage or loss.
- The agency is prepared to recover or replace records damaged or lost in a disaster.
- Historically valuable records are preserved and transferred to the State Archives.
- Records are destroyed at the end of the retention period specified on the approved retention schedule.

### ***RECORDS OFFICER RESPONSIBILITIES***

- Plan, formulate, and prescribe basic files management and records disposition policies, system, standards, and procedures agency wide.
- Prepare records retention and disposition schedules in cooperation with agency staff, define and identify vital, historical, and/or permanent records; and establish retention periods for all records in accordance to laws, regulation, agency requirements, etc.
- Provide records management advice and assistance by preparing policies and/or procedures and on-site consultation.
- Develop, disseminate, and coordinate files maintenance, records disposition procedures, or computer assisted retrieval programs to meet current and long- term needs of the agency.
- Establish and monitor compliance with standards for filing and storage equipment throughout the agency. Keep detailed records of equipment, supplies, and staff costs, including the amount of storage space and equipment released for other uses and suggested changes to enable management to realize the greatest efficiency and effectiveness in records management.
  - Develop a forms design and control system, micrographics controls and procedures, electronic records management policies and procedures, etc.

- Train other personnel in the fundamentals of records management and their role in the records management program.
- Review retention schedules annually and update or amend as needed.
- Coordinate file management and records disposition.
- Implement destruction and transfers that are required by the records retention schedule.
- Manage a disaster plan to insure maximum availability of records for re-establishing operations quickly with minimum disruption and expense.

- Ensure the preservation of historically valuable records.
  - Prepare reports and budgets for the Records Management Program as needed.

***NON-CURRENT RECORDS NOT TO BE FILED IN OFFICE FILES***

Records that are no longer required to support current operations shall be transferred to less costly off-site storage, or be destroyed when such action is indicated by an approved records schedule. Non-current records shall not be maintained in active office files or equipment.

***ARCHIVES***

The Idaho Department of Parks and Recreation stores inactive records at the Idaho State Records Center. Historically valuable records are transferred to the State Archivist.

The transfer of public records to either facility shall follow the policy of that facility and not take place without a detailed transfer list, a copy of which is retained permanently by the Records Officer.

***DEVELOPMENT OF RECORDS RETENTION AND DISPOSITION SCHEDULES***

It is the policy of the Idaho Department of Parks and Recreation that a records retention and disposition schedule be maintained and that all agency files be reviewed at least once a year during the month of October. At that time each record will be examined by agency Records Coordinators and a determination made to destroy, transfer, or otherwise dispose of records in accordance with the policies set forth by the records retention and disposition schedule.

The records retention schedule contained in this policy constitutes full authority to transfer, microfilm, image, archive, destroy, or take other actions with respect to government records. The Records Officer shall coordinate and document all intended destruction activities.

***MICROGRAPHICS STANDARDS***

Microfilm used for archival or security purposes must meet the technical standards as defined by the American National Standards Institute (ANSI), as required by law, or according to current guidelines of the Idaho Department of Administration.

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## **ADMINISTRATIVE RECORDS**

### **SG0001. ACKNOWLEDGMENT FILES**

Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply.

**Retention Record copy:** Retain for 1 year after acknowledgment and/or referral and then destroy.

### **SG0002. ADMINISTRATIVE HEARING TRANSCRIPTS**

Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.

**Retention Record copy:** PERMANENT. Contact State Archivist.

### **SG0003. ADMINISTRATIVE REFERENCE/READING FILES**

Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.

**Retention Record copy:** Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

### **SG0004. ADMINISTRATIVE RULE RECORDS**

Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.

**Retention Record copy:** Retain by Agency for 4 years after effective date and then destroy.

### **SG0005. ADMINISTRATIVE RULEMAKING FILES**

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

**Retention Record copy:** Retain 1 year or until administrative need ends then destroy.

**SG0006. AGENCY WRITTEN HISTORIES**

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0007. ATTORNEY GENERAL'S OPINIONS**

Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0008. COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS** Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings.

*NOTE: If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist.*

*Retention Record copy:* Retain by agency for 1 year after meeting minutes have been approved and then destroy.

**SG0009. COMMITTEE AND CONFERENCE FILES**

Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0010. DAILY ACTIVITY SCHEDULES**

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.

*Retention Record copy:* Retain by agency for 1 year and then destroy.

**SG0014. EXECUTIVE CORRESPONDENCE**

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0015. FEASIBILITY STUDIES**

Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0016. FINDING AIDS**

Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.

*Retention Record copy:* Until records to which they pertain are destroyed or destroy when no longer needed for reference.

**SG0017. FORMS DEVELOPMENT FILES**

Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.

*Retention Record copy:* Retain for 1 year after form is discontinued, superseded, or canceled and then destroy.

**SG0018. CORRESPONDENCE (ROUTINE)**

Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs.

Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above. *Retention Record copy:* Retain by Agency for 3 years and then destroy.

**SG0021. INTERNAL ADMINISTRATIVE CORRESPONDENCE**

*Retention Record copy:* Retain by agency for 2 years and then destroy.

**SG0022. INTERNAL COMMITTEE AND CONFERENCE FILES**

Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.

*Retention Record copy:* Retain by agency for 2 years after termination of committee and then destroy.

**SG0023. LITIGATION CASE FILES**

Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

**SG0024. MAILING LISTS**

Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.

*Retention Record copy:* Retain after list is discontinued, superseded, or canceled and then destroy.

**SG0025. MANAGEMENT IMPROVEMENT REPORTS**

Reports on analysis and implementation of programs and operation of those programs.

*Retention Record copy:* Retain by agency for 10 years and then destroy.

**SG0026. ORGANIZATIONAL FILES**

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

**SG0028. PENDING FILES**

Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

*Retention Record copy:* Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.

**SG0029. PERFORMANCE AUDIT REPORTS**

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

**SG0030. POLICIES AND PROCEDURES MANUAL**

Policies and procedures that govern the operation and administration of various programs within the organization.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

**SG0031. POLICY AND PROCEDURE CASE FILES**

Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).

*Retention Record copy:* Retain by agency for 2 years after superseded and then destroy.

**SG0032. PROPOSED LEGISLATION RECORDS**

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

**SG0033. PUBLICATIONS**

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.

*Retention Record copy:* **PERMANENT**. Creating agency shall transfer one copy to State Archives when published.

**SG0034. PUBLIC RECORD REGISTER SHEETS**

Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.

*Retention Record copy:* Retain by agency for reference.

**SG0035. RECORDS DISPOSITION FILES**

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

**SG0036. RECORDS MANAGEMENT FILES**

Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

**SG0037. RECORDS TRANSFER SHEETS**

Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.

**Retention Record copy:** Retain by agency for 5 years after records are destroyed and then destroy.

**SG0038. TECHNICAL REFERENCE FILES**

These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

**Retention Record copy:** Retain by agency 1 year or until administrative need ends and then destroy.

**SG0042. WORKING PAPERS**

Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyses, notes, interim reports regarding a particular case files, and financial performance audits.

**Retention Record copy:** Retain by agency until administrative need ends, then destroy.

# BOARD AND COMMISSION RECORDS

## SG1501. APPEAL AND REVIEW RECORDS

Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation.

*Retention Record copy:*

A. Case

Files:

**PERMANENT.** Transfer to State Archives after 3 years.

B. Working

Files:

Retain until case is closed and then destroy.

## SG1502. BOARD AND COMMISSION MEMBER RECORDS

Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

## BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS

Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to resumes; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.

*Retention Record copy:* **PERMANENT.** Transfer to State Archives after 3 years.

## SG1504. BOARD AND COMMISSION MEETING MINUTES

Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related

correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.

***Retention Record copy:*** **PERMANENT.** Transfer to State Archives after 3 years.

**SG1505. BOARD AND COMMISSION FORMATION AND ORGANIZATIONAL RECORDS**

Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.

*Retention Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

**SG1519. REPORTS AND STUDIES**

Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; visitation statistics; working papers and drafts; and related correspondence, and documentation.

*Retention Record copy:*

A. One copy of final report, product, or study:

**PERMANENT**. Transfer to State Archives after 3 years.

B. Working papers, background documentation, and draft material: Retain by agency for 3 years after final document produced, or as required by government or agency, and then destroy.

**SG1520. SPECIAL COMPLAINT, MEDIATION OR HUMAN RIGHTS CASE FILE**

Series may include supplemental information. Information covered by Idaho Code §9-340C is exempt from disclosure.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

## **BUDGET RECORDS**

### **SG0101. BUDGET REPORTS, ANNUAL**

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG0104. BUDGET ALLOCATION FILES**

Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0105. BUDGET BACKGROUND RECORDS**

Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc. Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0107. BUDGET POLICY FILES**

Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG0108. GRANT CASE FILES**

Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets.

*Retention Record copy:* Retain by agency for 5 years after grant has expired, unless otherwise noted in the grant, then destroy.

### **SG0109. GRANT CONTROL FILES**

Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

*Retention Record copy:* Retain by agency until superseded or obsolete and then destroy.

**SG0110. BOARD QUARTERLY FINANCIAL REPORTS**

Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.

*Retention Record copy:* **PERMANENT**. Transfer to State Archives after 3 years.

**SG0111. UNSUCCESSFUL GRANT APPLICATION FILES**

Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal.

*Retention Record copy:* Retain for 5 years after rejection and withdrawal and then destroy.

## **CARTOGRAPHIC RECORDS**

### **SG0201. CARTOGRAPHIC RECORDS**

Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery.

These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG0202. GEOGRAPHIC INFORMATION SYSTEMS (GIS)**

When agencies retain data in Geographic Information Systems (GIS), including off-line, AND the related records are judged to be archival (have long term and research value beyond the agency), it is particularly crucial that the documentation be preserved along with the digital records. When archival electronic (digital) records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. May include maps and data related to hazardous materials storage, natural resource, mine and well-head locations (ex: natural gas), as well as representations of compilations of demographic information.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

*Refer to* SG0408 Data Documentation for Permanent Databases.

## **COMMUNICATION RECORDS**

### **SG0301. MAIL CONTROL RECORDS**

Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).

*Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0302. STATE MAIL AND DELIVERY SERVICE RECEIPTS**

Records of receipts for mail and packages received through the state mail system.

*Retention Record copy:* Retain by agency for 1 year and then destroy.

### **SG0303. TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS**

Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0304. TELECOMMUNICATIONS SERVICE AGREEMENTS**

Copies of agreements with background data and other records relating to agreements for telecommunications services.

*Retention Record copy:* Retain by agency for 4 years after expiration or cancellation of agreement and then destroy.

### **SG0305. TELECOMMUNICATIONS SERVICE RECORDS**

Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0306. TELECOMMUNICATIONS STATISTICAL REPORTS**

Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0307. TELEPHONE MESSAGE REGISTERS**

Message registers, logs, performance reports, daily load reports, and related or similar records.

*Retention Record copy:* Retain for 6 months and then destroy.

### **SG0308. TELEPHONE MESSAGES**

Incoming and outgoing telephone messages.

*Retention Record copy:* Retain for 2 months and then destroy.

## **DATA PROCESSING RECORDS**

### **SG0401. ACTIVITY MONITORING RECORDS**

Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.

*Retention Record copy:* Retain by agency 1 year or until administrative need ends and then destroy.

### **SG0402. BATCH/DATA ENTRY CONTROL FORMS**

Information on all batch or data entry records received by the mainframe.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0403. COMPUTER HARDWARE MAINTENANCE RECORDS**

Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.

*Retention Record copy:* Retain by agency for 1 year after disposal of equipment and then destroy

### **SG0404. COMPUTER JOB SCHEDULES AND REPORTS**

Schedules or similar records showing computer jobs to be run, and other reports by computer operators or programmers of work performed.

*Retention Record copy:* Retain by agency for 1 year or until administrative need ends and then destroy.

### **SG0405. COMPUTER UTILIZATION AND BILLING REPORTS**

Records showing computer use by each agency and any charges for space or time.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0406. COMPUTER-PRODUCED OUTPUT**

Machine-produced reports showing transactions that were accepted, rejected, suspended, or processed.

*Retention Record copy:* Retain by agency for 2 years and then destroy.

### **SG0407. DATA DOCUMENTATION FOR NON-PERMANENT**

**DATABASES** Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. *This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.*

*Retention Record copy:* Retain by agency for 1 year after superseded, or until deletion of database, and then destroy.

#### **SG0408. DATA DOCUMENTATION FOR PRIMARY OPERATIONS DATABASES**

Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. This documentation only includes that of data bases whose information is considered permanent or otherwise significant. User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for databases whose information are considered permanent or otherwise significant. Documentation may include metadata and information organized in data warehouse systems.*

**Retention Record copy:** PERMANENT. Contact State Archivist.

#### **SG0409. DATA PROCESSING PLANNING RECORDS**

Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyzes, and short-range plans.

**Retention Record copy:** PERMANENT. Contact State Archivist.

#### **SG0410. PROGRAM SOURCE CODE**

Automated program code which generates the machine-language instructions used to operate an automated information system. Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.

**Retention Record copy:** Retain by agency for 3 years after the program is discontinued and then destroy.

#### **SG0412. SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES**

User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.*

**Retention Record copy:** Retain by agency for 1 year after superseded, or until deletion of database, and then destroy.

**SG0413. SYSTEM DOCUMENTATION FOR PERMANENT DATABASES** User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is considered permanent or otherwise significant.

*Retention Record copy:* **PERMANENT**. Transfer to State Archives immediately.

*Duplicate copies:* Retain until administrative need ends and then destroy.

## **FACILITY MANAGEMENT RECORDS**

### **SG0501. AMERICANS WITH DISABILITIES ACT (ADA) FILES**

Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.

*Retention Record copy:* Retain by agency for 15 years and then destroy.

### **SG0502. APPRAISAL FILES**

Files including location, description, value, and photographs of property.

*Retention Record copy:* Retain until superseded or obsolete and then destroy.

### **SG0503. AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS**

Final plans and specifications for approved and constructed state buildings.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG0504. BUILDING AND EQUIPMENT SERVICE FILES**

Requests for building and equipment maintenance services, excluding fiscal copies.

*Retention Record copy:* Retain by agency for 3 years after fiscal year ends and then destroy.

### **SG0505. CONSTRUCTION BUDGET REQUESTS**

Construction requests sent to the Division of Public Works that reveal budgetary impacts of planned construction.

*Retention Record copy:* Retain by Division of Public Works for 5 years and then destroy.

### **SG0506. CONSTRUCTION PLANS IN-REVIEW**

Preliminary designs and specifications prepared by architectural firms for review by state agency.

*Retention Record copy:* Retain for 1 year after approval or rejection of final plans and then destroy.

### **SG0507. CONSTRUCTION PROJECT CASE FILES**

Case files documenting the construction and/or renovation of state-owned buildings and structures and costs incurred.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG0508. FACILITIES MANAGEMENT GUIDELINES**

Information pertaining to handicapped access, historic preservation, energy conservation, environmental protection, and planning.

*Retention Record copy:* Retain for 3 years and then destroy.

**SG0509. MAINTENANCE WORK ORDERS**

Requests from agencies for repair of building equipment, minor construction, or painting.

*Retention Record copy:* Retain by Division of Public Works for 3 years and then destroy.

**SG0510. NATURAL DISASTER AND DAMAGE SURVEY OF PUBLIC BUILDINGS**

Survey and analysis of damage done to public buildings during natural disasters or acts of terrorism.

*Retention Record copy:* PERMANENT. Contact State Archivist.

**SG0511. SPACE UTILIZATION REPORTS**

Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

*Retention Record copy:* Retain until superseded or obsolete and then destroy.

**SG0512. UNDER-CONSTRUCTION PLANS AND SPECIFICATIONS** Specifications used by contractors and architects as guidelines to construct previously designed buildings.

*Retention Record copy:* Retain until superseded or obsolete and then destroy.

**SG0513. REAL PROPERTY ACQUISITION FILES**

Title papers documentation the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.

*Retention Record copy:* PERMANENT. Contact State Archivist.

## **FINANCIAL RECORDS**

### **SG0601. ACCOUNTING ADMINISTRATIVE FILES**

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

**Retention Record copy:** Retain by Agency for 5 years and after audited and then destroy.

### **SG0602. ACCOUNTS RECEIVABLE INVOICES**

Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency.

**Retention Record copy:** Retain by Agency for 3 years and after audited and then destroy.

### **SG0603. ADJUSTMENT FORMS**

Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval.

**Retention Record copy:** Retain by Agency for 3 years and after audited and then destroy.

### **SG0604. AUDITOR'S FINANCIAL REPORT**

Report prepared by internal or external auditors as a result of a financial audit.

**Retention Record copy:** PERMANENT. Contact State Archivist.

### **SG0610. CASH RECEIPTS**

Agency copy of receipts given to customers who pay cash to the agency for services rendered.

**Retention Record copy:** Retain by agency for 3 years and after audited and then destroy.

### **SG0613. COST REPORT DATA FILES**

Ledgers and forms used to accumulate data for use in cost reports.

**Retention Record copy:** Retain by agency for 5 years and after audited and then destroy.

### **SG0614. DEPOSITS WITH STATE TREASURER**

Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.

**Retention Record copy:** Retain for 5 years and after audited and then destroy.

**SG0615. EMPLOYEE TRAVEL REIMBURSEMENT FILES**

Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel.

*Retention Record copy:* Retain by Agency for 5 years and after audited and then destroy.

**SG0616. EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES**

Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

*Retention Record copy:* Retain for 5 years and after audited and then destroy.

**SG0617. EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

**SG0620. GENERAL ACCOUNTING LEDGER**

General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary.

*Retention Record copy:* Retain for 7 years and after audited and then destroy.

**SG0621. INVENTORY OF FIXED ASSETS**

These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

**SG0622. JOURNAL ENTRY RECORDS**

Entries listing adjustments to an organization's credit or debit financial statements.

*Retention Record copy:* Retain for 10 years and then destroy.

**SG0624. PERFORMANCE BONDS**

Bonds made payable to the state conditional to the performance of all activity requirements and state and federal law.

*Retention Record copy:* Retain by agency for 5 years after expiration and then destroy.

**SG0626. PERSONNEL ACCOUNTING ADMINISTRATIVE FILES**

Files used for workload and personnel management purposes. Includes correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

*Retention Record copy:* Retain by agency for 5 years and after audited and then destroy.

**SG0627. PETTY CASH RECORDS**

Records which verify all monies received or expended through a petty cash account. Includes cash receipts, adding machine tapes, daily accounting records, reconciliation, transmittals, etc.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

**SG0628. REFUND REQUESTS**

Form signed by the customer which requests a refund of monies paid to the agency.

*Retention Record copy:* Retain by agency for 5 years and after audited and then destroy.

**SG0631. TELEPHONE BILLS**

Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

**SG0632. TRAVEL AND TRANSPORTATION FILES**

Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

**SG0634. WARRANT REQUESTS**

Expenditures processed by state agencies to the Office of the State Controllers statewide accounting system to pay vendors for supplies and/or services the vendors have provided to the agencies.

*Retention Record copy:* Retain by the Agency for 3 years and after audited and then destroy.

## HUMAN RESOURCE RECORDS

**INTRODUCTION:** *It is the responsibility of the State Controllers Office (SCO), PERSI, the State Insurance Fund, Department of Administration Office of Insurance Management, and Division of Human Resources (DHR) to appropriately maintain certain official state files as well as payroll, pension, insurance, benefit information and employment history.*

*Each state Agency maintains an employee's active personnel file. Additional official state records are kept by the above Agencies. The employing Agency may retain or destroy reference copies of these documents. If additional and significant information is added to a duplicate then it should be reassessed for retention.*

### **SG0750. I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION**

Documentation of employment eligibility compliance with the United States Dept of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires.

*Retention Record copy:* Retain for 3 years after termination.

**Citation(s):** 8 CFR 274A.2

**SG0752. APPLICATIONS - CLASSIFIED EMPLOYMENT (UNSOLICITED)** Unsolicited applications from individuals requesting employment directly through the agency. Since each agency cannot accept unsolicited applications directly (must first go through DHR), there is no requirement to retain unsolicited applications.

*Retention Record copy:* None (forward to DHR upon receipt).

### **SG0753. APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)**

Unsolicited applications for jobs that are not currently being filled may be destroyed.

*Retention Record copy:*

A. Unsuccessful

Applicants: Retain 3 years.

B. Successful Applicants:

Retain for 5 years after last day of employment.

### **SG0754. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS**

Records generated out of compliance, reporting or complaints filed with the two agencies. May contain reports of OFCCP violations and EEOC reports, investigations, case files, complaints, etc.

*Retention Record copy:*

A. EEOC:

Retain 3 years after resolution. B.

OFCCP:

Retain 3 years after project completion.

**Citation(s):** Business Requirement (29 CFR 1602.12 – For Reference Only)

**SG0760. GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.**

Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention.

*NOTE: SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year.*

**Retention Record copy:** Retain for 3 years.

**Citation(s):** Business Requirement (SCO is responsible for retention of original garnishment – 7 years after paid)

**SG0765. MEDICAL FILES - TERMINATED EMPLOYEE**

Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area.

*NOTE: These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have their own retention).*

**Retention Record copy:** Retain for 5 years after termination. (If involved in court case, retain until settlement plus 5 years.)

**SG0768. PERSI TRANSMITTAL DOCUMENTS / REPORT**

Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records.

*NOTE: PERSI auditors have access to documents from their office.*

**Retention Record copy:** Retain until superseded.

**Citation(s):** Business Requirement

**SG0770. PERSONNEL FILES - FORMER EMPLOYEES**

Agency copy of employee's employment history. May contain application, resume, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history.

*NOTE: Office of Insurance Management does not receive a copy of the "Beneficiary Designation/Change of Beneficiary/Change Of Name" form, so the agency retains the original.*

**Retention Record copy:** Retain for 5 years after last day of employment.

**Citation(s):** 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5;  
29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR  
1620.33; 29 CFR 1627.3; 29 CFR 1627.3

**SG0771. PERSONNEL FILES - ACTIVE EMPLOYEE FILES**

The following documents may be purged from employee files after they have reached their individual minimum document retention periods outlined below. This process is included to allow HR the option to eliminate individual documents from active files as they become obsolete.

*NOTE: It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis.*

**Retention Record copy:**

**A. Payroll Deduction Forms:**

- 1. W-4's

Retain 4 years or until superseded, whichever is later (29 CFR 516.6).

- 2. Flexible Spending

Until superseded (original goes to Office of Insurance Management). (Business Requirement) B.

**Medical Applications:**

Until superseded (Original goes to Office of Insurance Management). (Business Requirement) C.

**Insurance Beneficiary Changes:**

- 1. PERSI

Until superseded. (Original goes to PERSI). (Business Requirement)

- 2. Life Insurance

Until superseded or employee is approved for long term disability, at which time the original is sent to the Office of Insurance Management. (Business Requirement)

- 3. Supplemental Insurance (NCPERS, AFLAC, etc.)

Until superseded. (Original goes to OIM) (Business Requirement)

**D. Veterans Status Form**

- 1. Retain 60 days after information from form has been entered into statewide payroll system.

**Citation(s):** IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3

**SG0780. PROBLEM SOLVING (GRIEVANCE) FILES - EMPLOYEE**

Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc.

***Retention Record copy:*** Retain for 5 years after last day of employment.

**Citation(s):** Business Requirement

#### **SG0782. RECRUITMENT FILES - CLASSIFIED POSITIONS**

Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation.

*NOTE: The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency.*

**Retention Record copy:** Retain for 3 years.

*NOTE: Non-classified positions, retain for 3 years. Citation(s):*  
Business Requirement (29 CFR 1602.14 – Reference Only as DHR retains official records)

#### **SG0784. REPORTS - DIVISION OF HUMAN RESOURCES AND CONTROLLERS OFFICE**

Miscellaneous reports generated by DHR and SCO, including Alphabetical List Of Employees, Appointment Type Summary, Classified Code List by Agency/ Employees, Deduction Register, Deleted Positions, Health and Dental Insurance Registers, Leave, Life Insurance, Miscellaneous Employee Reports, PCN Expenditure, Payroll Register, Position Lists, etc.

*NOTE: SCO is responsible for retention of original reports.*

**Retention Record copy:** Until obsolete (destroy when no longer required by the Agency).

**Citation:** Business Requirement

#### **SG0786. TRAINING RECORDS - EMPLOYEE**

This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc.

**Retention Record copy:** Retain for 5 years after last day of employment.

**Citation:** Business Requirement

#### **SG0787. TRAINING RECORDS - MISCELLANEOUS**

This series includes various records created during the training process. May include nomination for training, training registration, pass/fail information, etc.

*NOTE: Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency..*

**Retention Record copy:** Retain for 2 years.

**Citation:** Business Requirement

#### **SG0788. TRAINING PROFILES - PROGRAM ADMINISTRATION**

This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.

**Retention Record copy:** Retain for 2 years.

**Citation:** Business Requirement

## **LAW ENFORCEMENT RECORDS**

### **SG1621. EQUIPMENT ISSUED RECORDS**

Records documenting equipment issued to an agency law enforcement agency and other agency personnel. Items include but are not limited to handcuffs, keys, uniforms, badges, personal protective and fire fighting equipment, and lockers. May include inventories, optional equipment lists, data sheets, and other records. Information often includes date, employee name, number, and section, description of equipment, and related data.

*Retention Record copy:* Retain by agency until superseded, obsolete or no longer needed and then destroy.

### **SG1629. INCIDENT CASE FILE INDEXES**

Indexes to incident case files used as cross references between case numbers, names, dates, modus operandi, and other descriptive information.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

### **SG1630. INCIDENT CASE FILES**

Incident and accident reports. Central case files documenting complaints or other actions or incidents investigated by the department. Usually filed by case number. Records may include investigative reports, fingerprint cards, original arrest reports, supplemental reports, photographs, correspondence, teletypes, court orders, court dispositions, officer notes, laboratory reports, DUI test records including chemical analyses (also known as intoxilyzer or breathalyzer test records), citizen arrest certificates, copies of warrants, search warrants, and booking sheets, property/evidence reports, custody reports, and other related documents. Information usually includes suspect identification, alleged activity, location, date, validity of source information and other data. Sources include law enforcement and regulatory agencies and private citizens.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

### **SG1642. LOST AND FOUND PROPERTY RECORDS**

Records documenting agency receipt and maintenance of lost and found or abandoned property such as money, bicycles, automobiles, and other items not related to a crime. Includes receipts, inventory lists, destruction logs, property reports, and related records.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

## **MOTOR VEHICLE RECORDS (STATE-OWNED)**

### **SG0801. MOTOR VEHICLE AUTOMOBILE TITLES**

Records which prove state ownership of the vehicle.

*Retention Record copy:* Retain until vehicle is sold and then transfer to buyer.

### **SG0802. CERTIFICATES OF MILEAGE**

Certificates issued by the dealer/manufacturer certifying the mileage is accurate on each vehicle purchased by the state.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0803. GASOLINE SALES TICKETS**

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

**SG0804. INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT** Adjuster's reports on vehicle repair estimates following an accident. *Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0806. MOTOR VEHICLE COST FILES**

Motor vehicle ledgers and work sheets providing cost and expense data.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

**SG0807. MOTOR VEHICLE PUBLIC EMPLOYEE OPERATIONAL FILES** Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.

*Retention Record copy:* Retain by agency for 5 years and then destroy.

### **SG0808. MOTOR VEHICLE RELEASE FILES**

Records relating to the transfer, sale, donation, or exchange of state vehicles.

*Retention Record copy:* Retain by agency for 5 years after vehicle leaves custody and then destroy.

### **SG0809. MOTOR VEHICLE MAINTENANCE, OPERATION & REGISTRATION FILES**

Maintenance and operating records, including those relating to service, repair, gas and oil consumption, dispatching and scheduling, and copies of legal registrations required by law to be maintained with each state vehicles.

*Retention Record copy:* Retain by agency until obsolete (usually for the lifetime of the vehicle) and then destroy.

## **PAYROLL RECORDS**

### **SG0901. ADMINISTRATIVE PAYROLL REPORTS**

Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.

*Retention Record copy:* Retain by agency for 3 years and then destroy.

### **SG0902. BUDGET AUTHORIZATION REFERENCE**

Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

*Retention Record copy:* Retain by agency until superseded and then destroy.

### **SG0903. DEDUCTIONS AND OTHER EARNING REGISTERS**

Report used to reference the amount of retirement deducted and other miscellaneous deductions.

*Retention Record copy:* Retain by the agency for 3 years and after audited and then destroy.

### **SG0906. FULL-TIME EMPLOYEE REPORT**

Report which informs users of the full-time equivalent count for each agency.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

### **SG0911. LEAVE APPLICATIONS**

Applications for leave and supporting papers relating to request for and approval of employee leave.

*Retention Record copy:* Retain by agency for 6 months and then destroy.

### **SG0913. LEAVE SUMMARY REPORT**

Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file.

*Retention Record copy:* Retain until report is made part of official agency personnel file.

### **SG0914. NOTICES OF PAYROLL ACTION**

Notices which document all payroll actions.

*Retention Record copy:* Retain until notices are made part of official agency personnel file.

**SG0917. RETIREMENT BENEFITS ASSISTANCE FILES**

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.

*Retention Record copy:* Retain by agency for 1 year and then destroy.

**SG0919. RETROACTIVE PAY REQUESTS FOR STATE EMPLOYEES**

Records which document requests for retroactive payments to state employees, such as when a pay increase was not done in a timely manner. Information includes name, low organization number, social security number, effective date, number of regular hours, and new hourly rate. These records are kept for audit purposes. The actual retroactive payment is part of the master payroll files maintained by the Division of Statewide Payroll.

*Retention Record copy:* Retain by agency as part of employee's personnel file for 3 years and then destroy.

**SG0923. TIME AND ATTENDANCE REPORTS**

State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.

*Retention Record copy:* Retain by agency for 3 years and after audited and then destroy.

## **PROPERTY RECORDS**

### **SG1001. DECLARATION OF SURPLUS PROPERTY**

Form required by the Board of Examiners indicated what property an agency wishes to surplus.

*Retention Record copy:* Retain for 3 years after final disposition of property then destroy.

### **SG1002. PROPERTY DISPOSAL CASE FILES**

Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.

*Retention Record copy:* Retain for 3 years and after audited and then destroy.

### **SG1003. REAL PROPERTY SALE FILES**

Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

## **PUBLIC AFFAIRS RECORDS**

### **SG1201. AGENCY COMMENDATION FILES**

Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

### **SG1202. COMPLAINT / INFORMANT FILES**

Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.

*Retention Record copy:* Retain by agency for 7 years after final resolution and then destroy.

### **SG1203. INDEXES AND CHECK LISTS**

Bibliographies, check lists, and indexes of agency publications and news releases, except those used as indexes to public relations files.

*Retention Record copy:* Retain until superseded or obsolete and then destroy.

### **SG1204. INFORMATION PROJECT FILES**

Informational services project case files maintained in formally designated information offices.

*Retention Record copy:* Retain for 1 year after close of file or completion of project and then destroy.

### **SG1205. NEWS RELEASES**

A copy of prepared statements or announcements issued for distribution to the news media. A news release may be a textual record or a non-textual record such as a film or video sound recording.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

### **SG1206. PUBLIC RELATIONS FILES**

Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.

*Retention Record copy:* **PERMANENT.** Contact State Archivist.

## **PURCHASING RECORDS**

### **SG1101. BIDDERS LIST OR CARD FILES**

Lists of acceptable bidders who are eligible for contracting with the State to provide products or services.

*Retention Record copy:* Retain for 1 year and then destroy.

### **SG1102. CANCELLED SOLICITATION FILES**

Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to the awarding of a contract. Information includes pre-solicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.

*Retention Record copy:* Retain for 3 years after contract termination and then destroy.

### **SG1103. CONTRACT APPEALS CASE FILES**

Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records.

*Retention Record copy:* Retain for 3 years after contract termination and then destroy.

### **SG1104. CONTRACT PURCHASING FILES**

Files which document transactions of \$10,000 or less and construction contracts under \$2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments.

Files which document transactions of more than \$10,000 and construction contracts exceeding \$2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.

*Retention Record copy:* Retain for 3 years after final payment or after contract termination and then destroy.

### **SG1107. LEASING CONTRACT FILES**

Building or equipment leases and related records documenting agreements, services, and payments.

*Retention Record copy:* Retain for 3 years after contract termination and then destroy.

### **SG1108. PROFESSIONAL CONTRACTUAL AGREEMENT FILES**

Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.

*Retention Record copy:* Retain for 3 years after last payment or after contract termination and then destroy.

**SG1110. PURCHASE REQUISITION FILES**

Requisitions for supplies and equipment for current inventory.

*Retention Record copy:* Retain for 3 years after contract termination and then destroy.

**SG1112. SUCCESSFUL BIDS AND PROPOSALS FILES**

Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.

*Retention Record copy:* Retain for 3 years after contract termination and then destroy.

**SG1115. UNOPENED BIDS AND PROPOSALS**

Solicited and unsolicited bids and proposals to provide products or services which, due to funding or administrative reevaluation, are no longer required by the agency or will not be open to the bidding process.

*Retention Record copy:* Retain for 1 year and then destroy.

**SG1116. UNSUCCESSFUL BIDS AND PROPOSALS FILES**

Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.

*Retention Record copy:* Retain for 2 years and then destroy.

## **AGENCY SPECIFIC DOCUMENTS**

### **SG2200 PLANNING DOCUMENTS**

Agency strategic plans, park master plans, Statewide Comprehensive Outdoor Recreation and Tourism Plans, and documents associated with their production.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG2201 USAGE FORMS**

Application or reservation forms, logs or other documents related to the request for use or actual use of shooting ranges, group campsites, yurts, cabins, picnic shelters or other public facilities operated by the agency.

*Retention Record copy:* Retain for 1 year and then destroy.

### **SG2202 VISITATION REPORTS**

Documents associated with how visitors are counted and regular reports on park or facility usage.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG2203 AGREEMENTS**

Concession agreements, leases, use permits and memorandums of agreement.

*Retention Record copy:* **PERMANENT**. Contact State Archivist.

### **SG2204 RECREATION REGISTRATION RECORDS**

Records documenting registration of recreation vehicles and/or purchase of recreation permits. Includes receipts, inventory lists and related records.

*Retention Record copy:* Record of Boat registrations, electronic or paper, will be retained permanently as record of the issued registration identification number in accordance with IC 67-7004. All other records, paper and electronic, will be retained by IDPR for current plus 5 sticker years and then destroyed.



