Department of

Budget and Fiscal Planning

Records Control Handbook
Retention Schedule No. 718

*Approved By: _Thomas W Schmidt_ _6/19/78_
Secretary   Date
Department of Budget and
Fiscal Planning

*Approved By: _____ _____
Archivist   Date
Hall of Records
Department of General Services

(*The above signatures constitute legal approval of the records
retention schedule contained in this handbook.)

PART 4.

RECORDS SYSTEM
Retention Schedule No. 718

(Together, with related filing patterns
and retention periods, the attached
master filing plan includes all records
created and/or received by the
Department of Budget and Fiscal Planning.)

Column (1) is the item number used to identify all files.

Column (2) lists the file subject classified by functional category.

Column (3) is the recommended filing method(s) and/or special
maintenance instructions.

Column (4) indicates (a) the number of years records are to be
retained in the office; (b) when inactive records are to
be retired to State Records Center for low cost storage;
and (c) when permanent records are to be transferred to the
Hall of Records for permanent protection. The records
retention schedule is an effective means to bring about
savings in space equipment, supplies, and other costs
associated with records creation and maintenance.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
401	ADMINISTRATIVE RECORDS		
401-1	Confidential Files	Folder chronologically by year date.	Retain 4 years after subsequent audit, then destroy.
401-2	Correspondence (General)	Arrange by general headings, and break down into divisions and subdivisions as needed.	Destroy after 3 years.
401-3	Departmental Assignments	Folder alphabetically by title and year date.	Destroy when superseded or obsolete.
401-4	Departmental Audits	Folder alphabetically by report title and year date.	Destroy after 6 years.
401-5	Directives (External)	Folder alphabetically by issuing agency.	Destroy when superseded or obsolete.
401-6	Directives (Internal)	Folder alphabetically by subject or numerically by number. Keep in loose-leaf binder(s) or Acco fastener(s) apart from file cabinet(s).	Retain permanently. Do not destroy.
401-7	Federal Audits	Folder alphabetically by report title and year date.	Destroy after 3 years.
401-8	Federal Program Reviews	Folder alphabetically by audited agency or program and year date.	Destroy after 6 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
401-9	Governor's letters	Set up folder by name of initiator/writer of letter(s). Cutoff at the close of calendar year.	Destroy when not needed.
401-10	Handbooks/Manuals	Do not intermingle with departmental subject files. Maintain on desk tops or in bookcases for ready reference.	Retain record copy permanently. Do not destroy.
401-11	Independent Audits	Folder alphabetically by auditing firm and year date.	Destroy after 3 years.
401-12	Legislative Audits (Internal)	Case folder alphabetically by Report title and year date.	Retain permanently. Do not destroy.
401-13	Minutes (Cabinet)	Folder alphabetically by subject and year date.	Destroy after 3 years.
401-14	Minutes (Internal)	Folder chronologically by calendar year. Keep in file folder(s) with fastener(s).	Retain permanently.
401-15	Minutes (External)	Folder alphabetically by subject or applicable agency/organization.	Destroy after 3 years.
401-16	Organizational Charts (Internal)	Folder alphabetically by chart.	Retain permanently.
401-17	Organizational Charts (External)	Folder alphabetically by submitting agency.	Retain until updated or revised, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
401-18	Periodic Reports (Internal)	Case folder alphabetically by report title and year date. Maintain bulky oversize material in shelf file or bookcase. Use cross reference sheet if filed out of sequence.	<u>Retain permanently.</u>
401-19	Periodic Reports (External)	Case folder alphabetically by submitting agency and year date. Maintain bulky/oversize material in shelf file or bookcase. Use cross reference sheet if filed out of sequence.	Destroy after 3 years.
401-20	Records Disposal Certificates	Folder chronologically by year of disposal.	Destroy after 3 years.
401-21	Records Retention Schedules	Folder chronologically by date issued.	Destroy when superseded, revised, or updated.
401-22	Records Transfer/Storage Lists	Folder chronologically by year of transfer. Use as aid when requesting reference service from State Record Center.	<u>Retain permanently.</u>
401-23	Rules/Regulations (Internal)	Folder alphabetically by subject. Keep in loose-leaf binder(s) or Acco fastener(s) apart from file cabinet(s).	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
401-24	Rules/Regulations (External)	Folder alphabetically by originating agency. Keep in loose-leaf binder(s) or Acco fastener(s) apart from file cabinets(s).	Destroy when superseded or obsolete.
401-25	Secretary's Letters	Set up folder by name of initiator/writer of letter(s). Cutoff at the close of calendar year.	Destroy when not needed.
401-26	Short-Term Reports (Internal)	Folder alphabetically by report title and year date.	Destroy when data incorporated in annual report.
401-27	Studies/Surveys	Folder alphabetically by studied/surveyed agency and year date.	Destroy after 10 years. Transfer to State Records Center after 6 years.
401-28	Telephone Logs	Folder chronologically by month and year.	Destroy when not needed.
401-29	Work Papers (Management Plan)	Case folder alphabetically by applicable agency and year date. (See also Studies/Survey.	Destroy after 6 years.
401-30	Work Plans (Internal)	Folder alphabetically by plan and year date.	Destroy after 6 years.
401-31	Work Plans (External)	Folder alphabetically by submitting agency and year date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402	ACCOUNTING RECORDS		
402-1	Accounts Charts	Folder alphabetically by chart.	Destroy when superseded or updated.
402-2	Annual Salary Reviews	Folder chronologically by fiscal year.	Destroy after 3 years.
402-3	Bills/Invoices (Internal)	Folder chronologically by fiscal year.	Retain 6 years after State site audit, then destroy.
402-4	Bills/Invoices (External)	Folder alphabetically by submitting agency. Cutoff by fiscal year.	Destroy after 1 year.
402-5	Billable Time Lists	Conform to present filing practice.	Retain 3 years and until completion of State site audit, then destroy.
402-6	Bi-weekly Journal Vouchers(PO)	Folder alphabetically by report title and year date.	Retain 3 years and until completion of State site audit, then destroy.
402-7	Cash/Journal Vouchers(PO)	Store printout in special printout storage equipment binder, fastener, and folder.	Retain 3 years and until completion of State site audit, then destroy.
402-8	Central Payrolls(PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or not needed.
402-9	CICHA Cards	Folder alphabetically signee and year date. Cutoff by calendar year.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-10	Comptroller's Annual Reports(PO)	Include in technical collections library.	(Not applicable.)
402-11	Cost Allocation Plans (Federal)	Folder alphabetically by plan and year date.	Destroy after 3 years.
402-12	Cost Allocation Plans (State)	Folder alphabetically by plan and year date.	Destroy after 3 years.
402-13	Customer Invoices(PO)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
402-14	Deposit Certificates	Folder chronologically by fiscal year.	Retain 6 years and until completion of State site audit, then destroy.
402-15	DOT Grants	Case folder alphabetically by submitting agency, then by grantee or enrollee as needed	Destroy after 3 years.
402-16	Expense Accounts (Internal)	Case folder alphabetically by individual and fiscal year. Cutoff by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
402-17	Expense Accounts (External)	Case folder alphabetically by submitting agency and year date.	Destroy after 1 year.
402-18	Faculty Salary Cards	Keep in steel tray alphabetically by agency, then by individual.	Destroy 3 years after faculty member separation of employment.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-19	Faculty Salary Schedules	Folder alphabetically by schedule title and year date.	Destroy when superseded or obsolete.
402-20	Federal Deposits	Folder chronologically by fiscal year.	Retain 6 years and until completion of State site audit, then destroy.
402-21	Federal Grants	Case folder alphabetically by submitting agency.	Destroy after 3 years.
402-22	Financial Statements(PO)	Store printouts in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
402-23	Financial Statements	Folder alphabetically by submitting agency and year date.	Destroy after 3 years.
402-24	Financial Summaries	Folder alphabetically by report title and year date.	Destroy after 3 years.
402-25	Financial State Plans	Folder alphabetically by plan and year date.	Destroy when superseded or obsolete.
402-26	Initial Notification Reports	Case folder alphabetically by delinquent agency and year date.	Destroy after 1 year.
402-27	Fiscal Reports	Case folder alphabetically by report title and year title.	Destroy after 3 years.
402-28	General Ledgers	Conform to present filing practice.	Retain permanently. Do not destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-29	General Ledgers(PO)	Folder chronologically by year date.	Retain permanently. Do not destroy. Transfer to HR for preservation/protection, if necessary.
402-30	Lost/Canceled Checks	Folder chronologically by pay period.	Destroy after 3 years.
402-31	Obligation Accounts (GAD 5's)	Case folder alphabetically by obligating agency. Cutoff by fiscal year.	Destroy after 6 years.
402-32	Obligation Lists (Internal)	Case folder chronologically by fiscal year.	Destroy after 6 years.
402-33	Obligation Lists (External)	Case folder alphabetically by incurring agency.	Destroy after 3 years.
402-34	Overtime Authorizations	Case folder alphabetically by submitting agency and year date.	Destroy at end of each fiscal year.
402-35	Payrolls(PO)	Folder chronologically by pay period.	Retain 3 years and until completion of State site audit, then destroy.
402-36	Payroll/Check Registers(PO)	Folder chronologically by pay period.	Retain 3 years and until completion of State site audit, then destroy.
402-37	Payroll Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-38	Payroll Authorization Cards	Keep in steel tray alphabetically by individual. Include in the applicable Personnel Folder when employee transfers, resigns or retires.	(Not applicable.)
402-39	Payroll Listings (Internal)	Folder chronologically by pay period.	Retain 3 years and until completion of state site audit, then destroy.
402-40	Payroll Listings (External)	Case folder alphabetically by submitting agency. Cutoff by fiscal year.	Destroy after 3 years.
402-41	Petty Cash Funds	Folder chronologically by fiscal year.	Retain 3 years and until completion of state site audit, then destroy.
402-42	Private Grants	Case folder alphabetically by submitting agency. Segregate by monetary or nonmonetary gifts as needed.	Destroy after 3 years.
402-43	Receipt/Deposit Summaries	Folder chronologically by fiscal year.	Retain 6 years and until completion of state site audit, then destroy.
402-44	Reconciliation Statements	Folder chronologically by fiscal year.	Retain 3 years and until completion of state site audit, then destroy.
402-45	Revenue Estimates(BRE)	Case folder alphabetically by issuing organization and year date. Cutoff by fiscal year.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-46	Revenue Estimates(CEI)	Case folder alphabetically by issuing organization and year date. Cutoff by fiscal year.	Destroy after 3 years.
402-47	Revenue Estimates(DRI)	Case folder alphabetically by issuing organization and year date. Cutoff by fiscal year.	Destroy after 3 years.
402-48	Revenue Estimates(DBFP)	Case folder alphabetically by issuing organization and year date. Cutoff by fiscal year.	Destroy after 3 years.
402-49	Revenue Estimates(DSP)	Case folder alphabetically by issuing organization and year date.	Destroy after 3 years.
402-50	Revenue Estimates(PO)	Case folder alphabetically by issuing organization and year date.	Destroy after 3 years.
402-51	Revenue Estimates(UP)	Case folder alphabetically by issuing organization and year date.	Destroy after 3 years.
402-52	Revenue Estimates(USDT)	Case folder alphabetically by issuing organization and year date.	Destroy after 3 years.
402-53	Revenue Estimates(WSI)	Case folder alphabetically by issuing organization and year date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-54	Revenue Projects	Case folder alphabetically by project.	Retain 3 years and until completion of project, then destroy.
402-55	Salary Plans (State Personnel)	Folder alphabetically by plan and year date.	Destroy when superseded or obsolete.
402-56	Salary Plans (Academic Personnel)	Folder alphabetically by plan and year date.	Destroy when superseded or obsolete.
402-57	Shift Differential/Overtime Pays (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or not needed.
402-58	Statewide Accounting/Reporting System(PO)	Folder alphabetically by report title and year date.	Retain 3 years and until completion of State site audit, then destroy.
402-59	Time Reports/Sheets	Folder chronologically by pay period.	Retain 6 years and until completion of State site audit, then destroy.
402-60	Transmittals/Warrants	Folder chronologically by month and year date.	Retain 6 years until completion of State site audit, then destroy.
402-61	Travel Authorizations (Internal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
402-62	Travel Authorizations (External)	Case folder alphabetically by requesting agency and fiscal year.	Destroy after 1 year.
402-63	Travel Requests (Internal)	Folder alphabetically by individual and year date.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
402-64	Travel Requests (External)	Case folder alphabetically by requesting agency. Cutoff by fiscal year.	Destroy after 1 year.
402-65	Year-to-Date Reports (PO)	Store in special printout storage equipment and supplies.	Retain 3 years and until completion of Federal/State site audits, then destroy.
403	BUDGET RECORDS		
403-1	Accounts Receivable (PO)	Store printout in special printout storage equipment.	Retain 3 years and until completion of State site audit, then destroy.
403-2	Additional Allocated Positions	Folder chronologically by fiscal year.	Destroy after completion of budget cycle.
403-3	Amendment Balancing Errors (PO)	Store printout in special storage equipment, binder, and folder.	Destroy when superseded or obsolete.
403-4	Appropriation Hearings	Folder chronologically by legislative session.	Destroy after 3 years.
403-5	Budgets (Departmental)	Folder chronologically by fiscal year.	Destroy after subsequent issue is received.
403-6	Budgets (Federal)	Maintain record copy in departmental library apart from file cabinet(s).	Destroy after subsequent issue is received.
403-7	Budgets (Other States)	Maintain record copy in departmental library apart from file cabinet(s).	Destroy after subsequent issue is received.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
403-8	Budget Amendment Sheets	Case folder alphabetically by submitting agency and year date. Cutoff by fiscal year.	Destroy after 6 years. Transfer to State Records Center after 3 years, then destroy.
403-9	Budget Appropriations/Amendments (PO)	Store printout in special storage equipment, binder, and folder.	Destroy when superseded or obsolete.
403-10	Budget Book Requests	Folder chronologically by fiscal year. Do not file routine requests for budgets. Use the endorsement method, and return request with material to the requestor.	Destroy promptly after reply or referral to another office.
403-11	Budget Book Sections (PO)	Folder alphabetically by submitting agency and year date.	Destroy when superseded or obsolete.
403-12	Budget Estimates	Conform to present filing practice. Folder alphabetically by submitting agency and year date. Keep in loose-leaf binder(s) and number consecutively.	Destroy after 15 years. Transfer to SRC after 3 years, then destroy. Do not send binders with budget estimates. Place papers in Records Center cartons with separators.
403-13	Budget Form 5's (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
403-14	Budget Formulations (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
403-15	Budget Request Statements	Folder chronologically by fiscal year.	Destroy after 3 years.
403-16	Budget Reconciliations	Case folder alphabetically by agency and year date.	Destroy after 3 years.
403-17	Budget Work Papers	Case folder alphabetically by agency and year date.	Destroy promptly after completion of budget cycle.
403-18	Local Government Finances (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or not needed.
403-19	College Enrollments (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-20	Consumer Price Indexes (PO)	Store printout in special printout storage equipment, binder, fasteners, and folder.	Destroy when superseded or obsolete.
403-21	Construction Cost Indexes (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-22	Deficiency Appropriation Requests	Case folder alphabetically by requesting agency and year date.	Destroy after 3 years.
403-23	Energy Conservation Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or not needed.
403-24	Exhibit C Reports (PO)	Store printout in special printout storage equipment, binder, fastener, and folder	Destroy after 6 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
403-25	Federal Budget Proposals	Folder chronologically by fiscal year.	Destroy after new proposal is received.
403-26	Federal Revenue Shares (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-27	Fiscal Digests (Final)	Maintain record copy in departmental library. Do not intermingle with official departmental files.	(Not applicable.)
403-28	Form 5's (Budget)	Keep alphabetically by agency and in numerical sequence in looseleaf binder(s). Do not discard binder(s).	Destroy after 15 years. Transfer to SRC after 3 years.
403-29	General Fund Allocations (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy after 6 years.
403-30	Hearing Schedules	Folder chronologically by fiscal year.	Destroy promptly after end of legislative session.
403-31	Instructions/Budgeted Funds	Folder chronologically by fiscal year.	Destroy when superseded or revised.
403-32	Instructions/Nonbudgeted Funds	Folder chronologically by fiscal year.	Destroy when superseded or revised.
403-33	Local Property Taxes (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-34	MARC Papers	Folder chronologically by fiscal year.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
403-35	Medicaid Program Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-36	Object/Program Transfers	Case folder alphabetically by requesting agency and year date.	Destroy after 6 years.
403-37	Operating Budget Summaries (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy after 6 years.
403-38	Preliminary Funding Needs	Case folder alphabetically by submitting agency and fiscal year.	Destroy after 6 years.
403-39	Program Efficiency Studies (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
403-40	Rates/Schedules (Budget)	Folder chronologically by fiscal year.	Destroy when superseded or revised.
403-41	Reversion Statements	Folder chronologically by fiscal year.	Destroy after 6 years.
403-42	Revenue Estimates (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-43	Revenue Forecastings (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-44	Revenue Reports (PO)	Store in special printout storage equipment and supplies.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
403-45	Taxable Net Incomes (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-46	State Aid to Subdivisions (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
403-47	State Budget Information Registers (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
403-48	Supplemental Budgets	Folder alphabetically by title and year date.	Destroy after 6 years.
403-49	Wharton's Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
404	CAPITAL BUDGET RECORDS		
404-1	Appropriation Hearings	Folder chronologically by fiscal year.	Destroy after 3 years.
404-2	Capital Budgets	Folder chronologically by fiscal year. Maintain record copy in departmental library.	Destroy after 3 years.
404-3	Capital Budget Estimates	Case folder alphabetically by submitting agency and year date.	Destroy after 6 years. Transfer to SRC after 3 years.
404-4	Capital Expenditure Requests	Folder chronologically by fiscal year.	Destroy after 3 years.
404-5	Capital Projects	Case folder alphabetically by submitting agency, then by project as needed.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
404-6	Capital Project Requests	Case folder alphabetically by requesting agency.	Destroy after 3 years.
404-7	Capital Budget Impact Studies	Folder chronologically by fiscal year.	Destroy after 3 years.
404-8	Capital Fund Requisitions (Internal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
404-9	Capital Fund Requisitons (External)	Case folder alphabetically by submitting agency. After approval attach to related purchase order.	(Not applicable.)
404-10	Capital Project Summaries	Folder alphabetically by title and year date.	Destroy after 3 years.
404-11	Capital Purchase Orders	Case folder alphabetically by submitting agency. Cutoff by fiscal year.	Destroy after 3 years.
404-12	Personal Inspection Visits	Include in the applicable capital project folder.	(Not applicable.)
405	COLLECTION RECORDS		
405-1	Abated Accounts Lists (PO)	Folder chronologically by month and year. Cross-reference to Agency Abatement Index.	Retain 3 years and until completion of State site audit, then destroy.
405-2	Accounts Receivable (PO)	Store in shelving post(s) with oblique compartment(s).	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
405-3	Active Student Loan Ledgers (PO)	Store printout in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-4	Alphabetical Cross References/Accounts (PO)	Store printout in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-5	Cash Receipt Forms (# 10's)	Folder chronologically by date. Use dividers at regular intervals for quicker retrieval.	Retain 3 years and until completion of State site audit, then destroy.
405-6	Cash Transfers (Internal)	Folder chronologically by fiscal year.	Destroy after 3 years.
405-7	Cash Transfers (External)	Case folder alphabetically by source agency and year date.	Destroy after 3 years.
405-8	Cash Receipt Journals	Conform to present filing practice.	Retain permanently. Do not destroy.
405-9	Cash/Journal Vouchers	Conform to present filing practice.	Retain 3 years and until completion of State site audit, then destroy.
405-10	Collection Accounts	Case folder numerically by assigned account number or alphabetically by payer/debtor. Keep records series in work stations designated for collection accounts. Segregate accounts by assigned, open, closed, and year audited.	Retain closed accounts until paid in full, abated, and audited by State auditors. Transfer closed accounts to SRC, then destroy when 7 years old.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
1	Bad Debt		
2	Direct Student Loan		
3	Health		
4	Judgment		
5	MAIF		
6	Scholarship		
7	Tuition		
8	University		
405-11	Collection Contracts	Case folder alphabetically by contractor.	Retain 3 years after State audit and expiration of contract, then destroy.
405-12	Collection Dockets	Folder chronologically by year date.	Destroy after 3 years.
405-13	Collection Proposals	Case folder alphabetically by agency, association, or bureau.	Destroy after 3 years.
405-14	Dunning Notices	Include in applicable collection account folder established for each individual debtor.	(Not applicable.)
405-15	Edit Errors/Cash Proof Listings (PO)	Store in special printout storage equipment and supplies.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
405-16	Form 5's (Collection)	Folder numerically by assigned number. Use dividers at regular intervals for quick retrieval.	Retain 3 years and <u>until</u> completion of State site audit, then destroy.
405-17	Journal Vouchers	Conform to present filing practice.	Retain 3 years and <u>until</u> completion of State site audit, then destroy.
405-18	Litigation Cases	Case folder alphabetically by defendant. Cross reference to <u>Master Case Index</u>. Keep records series in work station designated for litigation cases. Segregate accounts by privately served or State served as needed.	Retain closed accounts until paid in full, abated, adjudicated, and audited by State auditors. Transfer closed accounts to SRC, then destroy when 7 years old.
405-19	Monthly Accounts Receivable (PO)	Store printout in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-20	Monthly Transaction Journals (PO)	Store printout in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-21	New Accounts Listings	Folder numerically by designated number.	Retain 3 years and <u>until</u> completion of State site audit, then destroy.
405-22	Special Checking Accounts	Folder chronologically by fiscal year.	Retain 3 years and <u>until</u> completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
405-23	Status Reports (PO)	Store in special printout storage equipment and supplies.	Destroy after 1 year.
405-24	Status Update Forms (A-20's)	Maintain numerically by assigned number.	Destroy after 1 year.
405-25	Student Loan Journals/UMCP (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-26	Student Loan Journals/UMES (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-27	Subsidiary Ledgers	Conform to present filing practice.	Retain permanently. Do not destroy.
405-28	Supplementary Cases	Case folder alphabetically by defendant. Cross reference to Master Case Index. When debtor case attached by court, transfer to Judgment Accounts for further collection activity. Keep records series in work station designated for supplementary cases.	Retain closed accounts until paid in full, abated, and audited by State auditors. Transfer closed accounts to SRC, then destroy when 7 years old.
405-29	Transmittals	Folder alphabetically by remitting source agency and year date.	Retain 3 years and until completion of State site audit, then destroy.
405-30	Update Errors Listings (PO)	Store in special printout storage equipment and supplies.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
405-31	University Hospital Accounts (PO)	Folder alphabetically by report title. Store printout in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
405-32	Write-Off Lists	Folder chronologically by year date. Cross reference to Write-Off Index.	Retain 3 years and until completion of State site audit, then destroy.
406	CONTRACTUAL RECORDS		
406-1	Amendments	Include in applicable contract folder established for source agency.	(Not applicable.)
406-2	Change Orders	Include in applicable contract folder established for source agency.	(Not applicable.)
406-3	Contracts (DBFP)	Case folder alphabetically by contractor and year date.	Retain 3 years and until expiration of contract and completion of State site audit, then destroy.
406-4	Contracts (Under $5,000)	Arrange by source agency, and then case folder alphabetically by contractor, seller, vendor, cooperator, concessioner, or organization.	Destroy after 1 year.
406-5	Contracts (Over $5,000)	Arrange by source agency, and then case folder alphabetically by contractor, seller, vendor, cooperator, concessioner, or organization.	Retain 3 years and until expiration of contract, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
406-6	Contract Listings	Folder chronologically by year date.	Destroy when superseded or obsolete.
406-7	Contractors' Lists	Folder alphabetically by title and year date.	Destroy when superseded or obsolete.
406-8	Contractual Service Requests (Internal)	Case folder alphabetically by contractor and year date.	Retain 3 years and until completion of State site audit, then destroy.
406-9	Contractual Service Requests (External)	Case folder alphabetically by requesting agency. Cross index to Master Log with designated number.	Destroy after 3 years.
406-10	Federal Aid Contracts (External)	Case folder alphabetically by submitting agency.	Destroy after 1 year.
406-11	Federal Aid Contracts (Internal)	Case folder alphabetically by project or program.	Retain 6 years and until completion of Federal/State site audits, then destroy.
406-12	Food Service Contracts	Case folder alphabetically by submitting agency.	Retain 3 years after expiration of contract, then destroy.
406-13	Other Agreements	Case folder alphabetically by individual, organization, or cooperator. Segregate by type of contract for quick retrieval purposes.	Retain 3 years after expiration of contract, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
406-14	Revisions	Include in applicable contract folder established for source agency.	(Not applicable.)
406-15	Sole Sales Contracts	Case folder alphabetically by submitting agency.	Destroy after 1 year.
406-16	Temporary Faculty Contracts	Case folder after 1 year.	Destroy after 2 years.
406-17	Vending Machine Contracts	Case folder alphabetically by submitting agency.	Destroy after 3 years.
406-18	Work Papers	Include in applicable folder.	(Not applicable.)
407	DATA PROCESSING RECORDS		
407-1	ADP Cost Estimates	Case folder alphabetically by submitting agency.	Destroy after 3 years.
407-2	ADP Commercial Proposals	Case folder alphabetically by contractor or vendor.	Destroy after 3 years.
407-3	ADP Noncommercial proposals	Case folder alphabetically by submitting agency.	Destroy after 3 years.
407-4	Billing Rates Schedules	Case folder alphabetically data center and year date.	Destroy when superseded or obsolete.
407-5	Cost Distribution Forms	Folder chronologically by month and year.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
407-6	Cost Distribution Reports (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Retain 3 years and until completion of State site audit, then destroy.
407-7	Contractual Service Requests (DP)	Case folder alphabetically by contractor.	Retain 3 years and until completion of Federal/State site audits, then destroy.
407-8	Computer Utilization Charts	Include in applicable folder established for each data center.	(Not applicable.)
407-9	Customer Information Control Systems (PO)	Store printout in special printout storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
407-10	Data Center Operational Data	Case folder alphabetically by submitting data center.	Destroy after 3 years.
407-11	Data Processing Contracts	File alphabetically by submitting agency, then case folder alphabetically by contractor, licensor, or vendor.	Retain 3 years after expiration of contract, then destroy.
407-12	Data Processing Requests	Case folder alphabetically by requesting agency.	Destroy after 3 years.
407-13	DP External Projects	Case folder alphabetically by project title or name of vendor as needed.	Retain 3 years and until completion of project, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
407-14	DP Internal Projects	Case folder alphabetically by project title.	Retain 3 years and until completion of project, then destroy.
407-15	DP User Cost Plans	Case folder alphabetically by data center and year date.	Destroy when superseded or obsolete.
407-16	Equipment Leases (ADP)	File alphabetically by submitting agency, then case folder alphabetically by vendor.	Retain 3 years after expiration of lease, then destroy.
407-17	Job Submission Audit Lists (PO)	Store printout in special print-out storage equipment, binder, fasterner, and folder.	Destroy when superseded or obsolete.
407-18	Manual Letters (DP)	Folder by letter in numerical sequence.	Destroy when superseded or obsolete.
407-19	Magnetic Tapes	Conform to present BCU filing practice. Tapes consigned to SRC for storage must be: (a) stored in heavy weight cartons in upright position with partitions between; (b) indexed by user for reference service and retrieval purposes; and (c) rewound by BCU personnel every 6 months to compensate for normal mechanical expansions and contractions encountered during long storage in SRC.	Destroy tape through scratching, erasing, or blanking when established retention period expires. Transfer to SRC for storage after completion of action.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
407-20	Program Cross Reference Lists (PO)	Store printout in special print-out storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
407-21	Receipts/Deposits Summaries .	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
407-22	Reclassification Requests (DP)	Case folder alphabetically by requesting agency.	Destroy after 3 years..
407-23	Shared Costs Allocations ·	Folder chronologically by fiscal year.	Retain 6 years until completion of State site audit, then destroy.
407-24	System Generations (PO)	Store printout in special print-out storage equipment, binder, fastener, and folder.	Destroy when superseded or obsolete.
407-25	System Modification Programs (PO)	Store printout in special storage equipment, binder, and folder.	Destroy when superseded or obsolete.
407-26	Tape File Transaction Lists (PO)	Store printout in special storage equipment, binder., and folder.	Destroy when superseded or obsolete.
407-27	Transmittals/Warrants	Folder chronologically by month and year.	Retain 6 years until completion of State site audit, then destroy.
407-28	Vendor Files.	Case folder alphabetically by vendor, cross-index to vendor eligible notebook. Keep current and updated.	(Not applicable.)

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
408	ENGINEERING RECORDS		
408-1	Architectural Agreements	File alphabetically by submitting agency, then case folder alphabetically by name of architect or engineer.	Destroy after 2 years.
408-2	Consultant Engineering Contracts	File alphabetically by submitting agency, then case folder alphabetically by name of consultant.	Destroy after 2 years.
408-3	Engineering Contracts	File alphabetically by submitting agency, then case folder alphabetically by name of contractor.	Destroy after 2 years
408-4	Engineering Specifications	Folder alphabetically by subject.	Destroy when superseded or obsolete.
408-5	Engineering Projects	File alphabetically by submitting agency, then case folder alphabetically by project title.	Destroy after 3 years.
408-6	Federal Projects	File alphabetically by submitting agency, then case folder alphabetically by project title.	Destroy after 3 years.
408-7	Plans (Engineering)	Case folder alphabetically by submitting agency.	Destroy after 2 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
408-8	Project Notifications/Reviews	Case folder alphabetically by applying agency, county, or municipality.	Destroy after 3 years.
408-9	State Agency Projects	File alphabetically by submitting agency, then case folder alphabetically by project title.	Destroy after 3 years.
409	FOOD SERVICES RECORDS		
409-1	Canned Food Specifications	Folder chronologically by year date.	Destroy when superseded or updated.
409-2	Food Quality/Condition Certificates	Folder alphabetically by inspected product.	Destroy after 3 years.
409-3	Master Menus	Case folder alphabetically by submitting agency.	Destroy when superseded or obsolete.
409-4	Meat Operations Reports	Case folder alphabetically by agency. Cutoff by fiscal year.	Destroy after 6 years.
409-5	Price Lists	Case folder alphabetically by submitting agency.	Destroy when superseded or obsolete.
409-6	Vendor Performance Reports	Case folder alphabetically by submitting agency.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
410	INFORMATIONAL SERVICES RECORDS		
410-1	Clippings	Do not maintain clippings in a separate file. File alphabetically by appropriate subject, indicate source and date, and may be mounted or unmounted.	Destroy after 3 years.
410-2	Directories	Folder alphabetically by type of directory, such as organizational directory, personnel roster, etc. Maintain directories used in day-to-day operations on desk tops or in bookcases.	Destroy when superseded or obsolete.
410-3	Historical Data Files	Folder alphabetically by subject.	Retain permanently. Do not destroy.
410-4	Executive Releases	Folder chronologically by release date.	Destroy after 3 years.
410-5	Governor's Speeches	Folder alphabetically by subject.	Destroy after 3 years.
410-6	Library Accession Lists	Folder chronologically by year date.	Destroy after 3 years.
410-7	Mailing Lists	Folder alphabetically by name of list.	Destroy after 3 years.
410-8	Press Releases (External)	Folder alphabetically by originating agency.	Destroy after 3 years.
410-9	Press Releases (Internal)	Folder chronologically by release date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
410-10	Public Inquiries (Printed Material)	Folder chronologically by month and year. Use the endorsement method, and return request with material to requestor.	Destroy promptly after reply.
410-11	Publications (Internal)	Maintain in departmental library apart from official agency files.	(Not applicable.)
410-12	Publications (External)	Maintain in departmental library apart from official agency files.	(Not applicable.)
410-13	Public Notices	Include in applicable folder established for each project.	(Not applicable.)
410-14	Speeches (Departmental)	Folder alphabetically by name of speaker.	Retain permanently. Do not destroy.
410-15	Subscriptions	Case folder alphabetically by type of subscription.	Destroy after 3 years.
411	LEGAL/LEGISLATIVE RECORDS		
411-1	Bill Listings	Folder chronologically by fiscal year.	Destroy after completion of budget cycle.
411-2	Checklists	Folder chronologically by year date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
411-3	Decisions/Opinions (Departmental)	Folder alphabetically by subject or chronologically by date issued.	Destroy when superseded or obsolete.
411-4	Digest/Reports	Folder alphabetically by report title.	Destroy after 3 years.
411-5	Executive Proclamations	Folder numerically in consecutive order.	Destroy when superseded, rescinded, or obsolete.
411-6	Federal Resolutions	Folder alphabetically by House/ Senate resolution or numerically by House or Senate resolution number.	Destroy after 3 years.
411-7	Fiscal Notes	Folder alphabetically by subject or numerically by bill number.	Destroy after completion of legislative session.
411-8	House Calendars	Folder chronologically by year date.	Destroy after completion of legislative session.
411-9	Foreign Laws	Folder alphabetically by country.	Destroy after 3 years.
411-10	House Resolutions (MD)	Folder alphabetically by subject or numerically by resolution number.	Destroy 3 years after last session of General Assembly where resolution introduced.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
411-11	Hearings/Testimonies	Folder alphabetically by subject or by name of organization and year date. Segregate by Federal, State, or public organizations as needed.	Destroy when not needed.
411-12	House Synopses	Folder chronologically by legislative session.	Destroy after completion of legislative session.
411-13	Joint Resolutions (MD)	Folder alphabetically by subject or numerically by resolution number.	Destroy 3 years after last session of General Assembly where resolution introduced.
411-14	Legislative Agents' Lists	Folder chronologically by list title and year date.	Destroy when superseded or obsolete.
411-15	Legislative Orders (MD.House)	Folder chronologically by year date.	Destroy 3 years after last session of General Assembly where order introduced.
411-16	Legislative Orders (MD.Senate)	Folder chronologically by year date.	Destroy 3 years after last session of General Assembly where order introduced.
411-17	Legal Notices	Folder alphabetically by subject and date of issue.	Destroy after completion of legislative session.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
411-18	Legislative Proposals	Folder alphabetically by subject.	Destroy 3 years after last session of General Assembly where proposal introduced.
411-19	Local Ordinances	Folder alphabetically by subject, numerically by bill number, or issuing jurisdiction.	Destroy after 3 years.
411-20	Other States' Laws	Folder alphabetically by State.	Destroy after 3 years.
411-21	Resolutions (MD.Senate)	Case folder alphabetically by subject or numerically by number.	Destroy after 3 years.
411-22	Senate Calendars	Folder chronologically by year date.	Destroy after completion of legislative session.
411-23	Senate Synopses	Folder chronologically by legislative session.	Destroy after completion of legislative session.
411-24	State Laws	Folder alphabetically by subject or numerically by bill number.	Destroy 3 years after last session of General Assembly where bill introduced.
411-25	Supplemental Lists	Folder chronologically by year date.	Retain until legislative synopsis is printed, then destroy.
411-26	U.S. Laws	Folder alphabetically by subject or numerically by bill number.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
412	MOTOR VEHICLE RECORDS		
412-1	Accident Cases (Internal)	Case folder alphabetically by individual.	Retain 3 years and until settlement of case, then destroy.
412-2	Accident Cases (External)	Case folder alphabetically by submitting agency. Subdivide by individual as needed.	Destroy after reviewed by Fleet Administration.
412-3	Acquisition/Disposition Reports	Include in applicable folder established for each State vehicle.	(Not applicable.)
412-4	Commercial Rentals	Case folder alphabetically by submitting agency, then by vendor as needed.	Destroy after 3 years.
412-5	Delinquent Drivers' Reports (MFOMS-14's)	Folder alphabetically by delinquent agency.	Destroy after submission of report.
412-6	Exception Reports	Folder alphabetically by report title and year date.	Destroy after 3 years.
412-7	Mileage Reports (MFOMS-16's) - DBFP	Folder alphabetically by individual and year date.	Retain 3 years and until completion of State site audit, then destroy.
412-8	Mileage Exception Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
412-9	Mileage/Expense Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
412-10	Mileage Reports (MFOMS-16's) - NonDBFP	Case folder alphabetically by submitting agency.	Destroy after 3 years.
412-11	Motor Vehicle Inventories	Folder alphabetically by submitting agency and year date.	Retain until superseded by next inventory, then destroy.
412-12	New/Used Car Price Schedules	Folder chronologically by fiscal year.	Destroy when superseded or obsolete.
412-13	Non-Land Vehicle Lists	Folder alphabetically by list title and year date.	Destroy when superseded or obsolete.
412-14	Travel Requests (Iternal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
412-15	Travel Requests (External)	Case folder alphabetically by requesting agency. Cutoff by fiscal year.	Destroy after 3 years.
412-16	Update Status Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
412-17	Unmarked Vehicle Listings	Folder chronologically by year date.	Destroy after 3 years.
412-18	Valid Expense Listings (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
412-19	Vehicle Acquisition Reports (MFOMS-2's)	Include in applicable vehicle maintenance folder established for each vehicle.	(Not applicable.)
412-20	Vehicle Maintenance Records (Internal)	Case folder numerically by assigned vehicle ID number. Folder travels with applicable vehicle.	Retain folder 3 years and until vehicle auctioned, sold, or scrapped, then destroy.
412-21	Vehicle Maintenance Records (External)	File alphabetically by submitting agency, then case folder numerically by assigned vehicle ID number.	Retain folder 3 years and until vehicle auctioned, sold, or scrapped, then destroy.
412-22	Vehicle Exception Expense Reports (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
412-23	Vehicle Listings (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
412-24	Vehicle Reports (Internal)	Include in applicable vehicle maintenance folder established for each vehicle.	(Not applicable.)
412-25	Vehicle Reports (External)	Include in applicable vehicle maintenance folder established for each vehicle.	(Not applicable.)
413	ORGANIZATIONAL FILES		
413-1	Cities/Towns	Case folder alphabetically by name of city or town.	Destroy after 3 years.
413-2	County Governments	Case folder alphabetically by name of agency.	Destroy after 3 years.
413-3	Federal Agencies	Case folder alphabetically by name of agency.	Destroy after 3 years.
413-4	Federal Legislature (U.S.)	Case folder alphabetically by name of committee or subcommittee.	Destroy after 3 years.
413-5	Foreign States	Case folder alphabetically by name of nation or state.	Destroy after 3 years.
413-6	International Groups	Case folder alphabetically by name of organization.	Destroy after 3 years.
413-7	Other States	Case folder alphabetically by, name of state.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
413-8	Public Organizations	Case folder alphabetically by name of association or organization.	Destroy after 3 years.
413-9	State Agencies	Case folder alphabetically by name of agency.	Destroy after 3 years.
413-10	State Legislature (Maryland)	Case folder alphabetically by name of committee or subcommittee.	Destroy after 3 years.
414	PERSONNEL RECORDS		
414-1	Actions/Appeals	Case folder alphabetically by name of individual.	Retain 3 years after settlement of case, then destroy.
414-2	Announcements/Flyers	Post in conspicuous place, preferably on bulletin board(s). Do not intermingle with departmental files.	Destroy when no longer needed.
414-3	Applications (Employment)	Folder alphabetically by name of individual. Application resulting in appointment must be filed in the applicable Personnel Folder. Forward applications to DOP.	Destroy after 3 years.
414-4	Applications (Retirement)	Include in applicable personnel folder established for each employee.	(Not applicable.)

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-5	Applications/Training (Internal)	Folder chronologically by fiscal year.	Retain 6 years and until completion of State site audit, then destroy.
414-6	Applications/Training (External)	Case folder alphabetically by submitting agency.	Destroy after 3 years.
414-7	Appointment Forms (Internal)	Include in applicable individual folder established for each employee.	(Not applicable.)
414-8	Appointment Forms (External)	Case folder alphabetically by name of agency.	Destroy after 3 years.
414-9	Audits/Inspections	Folder alphabetically by report title and year date.	Destroy after 6 years.
414-10	Blood Donor Lists	Folder alphabetically by list title and year date.	Destroy when superseded or revised.
414-11	Collegiate Personnel Lists	Folder chronologically by year date.	Destroy when superseded or obsolete.
414-12	Classification Adjustments	Case folder alphabetically by using agency. Cutoff by fiscal year.	Destroy after 3 years.
414-13	Classification Lists	Folder alphabetically by name of list.	Destroy when superseded or obsolete.
414-14	Classification Notices	Make pen-and-ink changes in Standard Salary Plan.	Destroy after completion of appropriate change(s).

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-15	Classification Results/Studies	Include in applicable individual folder and/or agency case folder.	(Not applicable.)
414-16	Conflicts of Interest Statements	Folder alphabetically by name of individual.	Destroy after 3 years.
414-17	Efficiency Report Transmittals (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
414-18	Eligibility Lists	Folder alphabetically by classification title and year date.	Destroy when superseded or obsolete.
414-19	Emergency Plans	Folder alphabetically by type of plan.	Destroy when superseded or obsolete.
414-20	Emergency Salary Actions	Case folder alphabetically by submitting agency.	Destroy after 3 years.
414-21	Employee Benefit Plans	Case folder alphabetically by plan.	Destroy after 3 years.
414-22	Employee History Cards	Folder alphabetically by name of individual. Card travels with employee throughout his/her State career. For administrative purposes, keep in steel trays.	Destroy 6 years after employee separation.
414-23	Employment Inquiries	Folder alphabetically by name of applicant. Staple all related papers together with latest date on top.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-24	Employee Interview Records	Case folder alphabetically by position title. Establish individual folder when applicant accepts employment with department.	Destroy after completion of action.
414-25	Employee Training Programs	Include in applicable personnel folder established for each employee.	(Not applicable.)
414-26	Equal Employment Opportunity	Case folder alphabetically by name of individual.	Destroy after 6 years.
414-27	Equal Employment Reports	Folder alphabetically by report title and year date.	Destroy after 6 years.
414-28	Ethical Conduct Opinions	Folder numerically by assigned number. Keep in loose-leaf binder(s) apart from filing equipment.	Destroy when superseded or obsolete.
414-29	Examination Schedules	Folder alphabetically by classification title.	Destroy when superseded or obsolete.
414-30	Grievances/Disputes (Internal)	Case folder alphabetically by name of individual.	Retain 3 years after settlement of case, then destroy.
414-31	Grievances/Disputes (External)	Folder alphabetically by originating agency.	Destroy after 1 year.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-32	Incentive Awards	Folder alphabetically by subject award, individual, and year date.	Destroy after 3 years.
414-33	Increment Listings (PO)	Folder chronologically by fiscal year. Fold printout in half and place in file folder.	Destroy when superseded or obsolete.
414-34	Interchangeable Classifications	Case folder alphabetically by submitting agency. Cutoff by fiscal year.	Destroy after 3 years.
414-35	Interview Notices	Include in applicable case file established for interviewing/ recruiting position.	(Not applicable.)
414-36	Leave Cards/Records .	Folder alphabetically by name of individual. For administrative purposes, keep leave cards in steel trays.	Retain 3 years and until completion of State site audit, then destroy.
414-37	New Classification Lists	Include in applicable Salary Plan.	(Not applicable.)
414-38	New Positions Summaries	Folder alphabetically by summary title and year date.	Destroy after 3 years.
414-39	Opinions/Interpretations	Transfer and attach official opinion to appropriate personnel policy affected.	(Not applicable.)

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-40	Other Manpower Programs	Case·folder alphabetically by program title, or name of cooperator.	Destroy after 3 years.
414-41	Personnel Actions	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years. Cutoff by fiscal year.
414-42	Personnel Action Indexes	Folder alphabetically by title. Keep in loose-leaf binder(s).	Destroy when superseded or obsolete.
414-43	Personnel Bulletins	Folder alphabetically by issuing agency.	Destroy after 1 year.
414-44	Personnel Folders	Case folder alphabetically by name of individual. Store in file cabinets with locks for controlled access and security.	Destroy 3 years after employee separation. .
414-45	Personnel Policies (DOP)	Folder numerically by assigned number. Keep in loose-leaf binder(s) apart from filing equipment.	Destroy when superseded, revised, or updated.
414-46	Personnel (Policy) Amendments	Include and attach in/to applicable personnel policy established for each personnel policy.	(Not applicable.)
414-47	Personnel Transactions	Include in applicable individual folder established for each employee.	(Not applicable.)

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-48	Personnel Salary Forecasts (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
414-49	Physical Examinations	Include in applicable individual folder established for each employee.	(Not applicable.)
414-50	Position Action Requests (Internal)	Folder chronologically by fiscal year.	Destroy after 6 years.
414-51	Position Action Requests (External)	Case folder alphabetically by requesting agency and year date. Cutoff by fiscal year.	Destroy after 6 years.
414-52	Position Audit Reports	Case folder alphabetically by audited agency and year date.	Destroy after 3 years.
414-53	Position Ceilings	Folder chronologically by fiscal year.	Destroy when superseded or obsolete.
414-54	Position Control Records	Case folder alphabetically by requesting agency and fiscal year.	Destroy after 3 years.
414-55	Position Control Files (PO)	Conform to present filing practice.	Destroy when superseded or obsolete.
414-56	Position Control Sheets	Keep in loose-leaf binder(s) in chronological order.	Destroy after 6 years. Transfer to SRC after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-57	Position Descriptions (Internal)	Folder alphabetically by position title.	Destroy when superseded, revised, or abolished.
414-58	Position Description (External)	Folder alphabetically by agency and by position title.	Destroy after 3 years.
414-59	Position Description Forms	Include in applicable individual folder established for each employee.	(Not applicable.)
414-60	Position Reclassification Notices(Internal)	Include in applicable individual folder established for each employee.	(Not applicable.)
414-61	Position Reclassification Notices(External)	Case folder alphabetically by submitting agency.	Destroy after 3 years.
414-62	Promotion/Reclassification Forms	Include in applicable personnel folder established for each individual.	
414-63	Reclassification Requests (Internal)	Include in applicable individual folder established for each employee.	(Not applicable.)
414-64	Position Statements	Folder chronologically by fiscal year.	Destroy after 1 year.
414-65	Reclassification Requests (External)	Case folder alphabetically by requesting agency.	Destroy after 2 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-66	Resignation Forms	Include in applicable personnel folder established for each employee.	(Not applicable.)
414-67	Restudy Position Notices	Case folder alphabetically by submitting agency/unit and by classification as needed.	Destroy after 3 years.
414-68	Retirement Certifications	Include in applicable personnel folder established for each employee.	(Not applicable.)
414-69	Selective Placement Programs	Case folder alphabetically by program title. Segregate by Federal, local, or State funded program.	Destroy after 3 years.
414-70	Sick Leave Reports	Folder chronologically by month and year date.	Retain 3 years and until completion of State site audit, then destroy.
414-71	Service Award Lists	Folder chronologically by date.	Destroy when superseded or obsolete.
414-72	Special Programs	Case folder alphabetically by program title.	Destroy when superseded or obsolete.
414-73	Studies/Surveys (DOP)	Folder alphabetically by study or survey title.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
414-74	Suitability/Clearance	Case folder alphabetically by name of individual. Do not include derogatory, confidential, or classified material in <u>Personnel</u> folders.	Destroy after completion of action.
414-75	Tentative Leave Schedules	Folder chronologically by month and year date.	Destroy after 1 year.
414-76	Title Rate Listings (PO)	Store in special printout storage equipment and supplies.	Destroy when superseded or obsolete.
414-77	Vacation Schedules	Folder chronologically by month and year date.	Destroy after 1 year.
<u>415</u>	<u>PROCUREMENT RECORDS</u>		
415-1	Bidders' Instructions	Folder alphabetically by guideline title.	Destroy when superseded or obsolete.
415-2	Bidders' Lists	Folder alphabetically by stock item or by bidder.	Destroy when superseded or obsolete.
415-3	Bid Proposals/Invitations	Include in applicable procurement activity folder, such as custodial service, engineering, employment, etc.	(Not applicable.)
415-4	Bids (Successful)	Include in applicable purchase order case folder.	(Not applicable.)

TEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
415-5	Bids (Unsuccessful)	Include in applicable purchase order case folder.	(Not applicable.)
415-6	Calendar/Diary Requisitions (Internal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
415-7	Contractors' Certifications	Include in applicable contractual folder.	(Not applicable.)
415-8	Emergency Purchase Orders	Case folder alphabetically by submitting agency.	Destroy after 3 years.
415-9	Photocopy Equipment Requests	Case folder alphabetically by requesting agency.	Destroy after 3 years.
415-10	Purchase Contracts (Internal)	Folder alphabetically by type of contract or name of vendor and year date.	Retain 3 years and until completion of State site audit, then destroy.
415-11	Purchase Contracts (External)	Case folder alphabetically by submitting agency.	Destroy after 2 years.
415-12	Purchase Orders (Internal)	Case folder alphabetically by vendor and year date. Staple purchasing, shipping, and receiving document(s) and report(s) with the appropriate matched purchase order(s).	Retain 3 years and until completion of State site audit, then destroy.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
415-13	Purchase Orders (External)	Case folder alphabetically by submitting agency.	Destroy after 2 years.
415-14	Requests for Quotations	Case folder alphabetically by requesting agency and year date.	Destroy after 3 years.
415-15	Requisitions (Internal)	Folder chronologically by fiscal year. After approval, attach to related purchase order.	(Not applicable.)
415-16	Requisitions (External)	Case folder alphabetically by submitting agency or unit and year date. Cutoff by fiscal year.	Destroy after 2 years.
415-17	Special Requisitions (External)	Case folder alphabetically by requesting agency and year date. Cutoff by fiscal years.	Destroy after 1 year.
415-18	Sales Agreements	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years.
415-19	Short Form Contracts	Case folder alphabetically by submitting agency.	Destroy after 3 years.
415-20	Specifications/Standards	Folder alphabetically by title.	Destroy when superseded or obsolete.
415-21	Store Requisitions	Case folder alphabetically by submitting agency.	Destroy after 3 years.
415-22	Supply Schedules	Do not store in file cabinets. Maintain in bookcases or open shelf files.	Destroy when superseded or obsolete.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
415-23	Vendors' Listings	Folder chronologically by release date.	Destroy when superseded or obsolete.
416	PROPERTY/SPACE RECORDS		
416-1	Boiler/Machinery Inspections	Case folder alphabetically by applicable agency.	Destroy after 3 years.
416-2	Building Occupancy Summaries	Folder chronologically by fiscal year.	Destroy after 3 years.
416-3	Concession Specifications	Folder alphabetically by title.	Destroy when superseded or obsolete.
416-4	Equipment Inventory Cards	Maintain chronologically by fiscal year.	Retain until equipment/property is disposed, transferred, and audited, then destroy.
416-5	Excess Property Bulletins (Federal)	Folder alphabetically by issuing agency and year date.	Destroy when superseded or obsolete.
416-6	Excess Property Bulletins (State)	Folder chronologically by release date.	Destroy when superseded or obsolete.
416-7	Farm Land Leases	Case folder alphabetically by submitting agency.	Destroy after 3 years.
416-8	Fire Loss Reports	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
416-9	Floor/Office Plans	Folder alphabetically by plan.	Destroy when superseded or obsolete.
416-10	Inventory Lists	Folder chronologically by fiscal year.	Retain until equipment/property is disposed, transferred, and audited, then destroy.
416-11	Leases/Agreements	Case folder alphabetically by submitting agency or tenant. Segregate by free, fee, commercial, Federal, local government, State employee leases as needed.	Destroy after 3 years.
416-12	Materials/Supplies Sheets	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
416-13	Option Contracts	Case folder alphabetically by submitting agency.	Destroy after 3 years.
416-14	Permits/Agreements	Maintain alphabetically by submitting agency, then case folder alphabetically by permittee. Segregate by type of permit, such as taxicab, tourist, rights of way, etc., as needed.	Destroy after 3 years.
416-15	Power Plant/Utility Reports	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years.
416-16	Property Acquisition Reports	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
416-17	Property Condemnation Reports	Case folder alphabetically by submitting agency and year date.	Destroy after 3 years.
416-18	Property Disposals (Internal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
416-19	Property Disposal Requests (Internal)	Folder chronologically by fiscal year.	Retain 3 years and until completion of State site audit, then destroy.
416-20	Property Disposal Requests (External)	Case folder alphabetically by submitting agency. Cutoff by fiscal year.	Destroy after 2 years.
416-21	Property Listings	Folder alphabetically by title or agency and year date.	Destroy when superseded or obsolete.
416-22	Property Transaction Agreements	Maintain alphabetically by submitting agency, then case folder alphabetically by seller, grantor, or by tract names or number when appropriate.	Destroy after 3 years.
416-23	Rental Lists	Folder alphabetically by submitting agency and year date.	Destroy when superseded or obsolete.
416-24	Rental Rate Sheets	Include in applicable folder established for needed lease category.	(Not applicable.)
416-25	Rights of Way Reports	Case folder alphabetically by name of tract, owner, or agency as needed.	Destroy after 3 years.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
416-26	Space Allocation Plans	Folder alphabetically by plan and year date.	Destroy when superseded or obsolete.
416-27	Special Use Agreements	Case folder alphabetically by submitting agency.	Destroy after 3 years.
416-28	State Property Reports (41's)	Folder alphabetically by fiscal year.	Retain until superseded by next annual physical inventory, then destroy.
416-29	State Property Reports (42's)	Folder alphabetically by fiscal year.	Retain until superseded by next annual physical inventory, then destroy.
417	PUBLIC WORKS RECORDS (BOARD)		
417-1	Agendas	Folder chronologically by date of meeting. Segregate by BPW, DBFP, DGS, etc. Cutoff by fiscal year as needed.	Destroy after 3 years.
417-2	Back-Up Files	Case folder alphabetically by agency, then arrange by category, such as general emergency funds, general items, property disposals, etc.	Retain 4 years in office. Transfer to SRC for 2 additional years, then destroy.
417-3	Contracts (Over $100,000)	Maintain alphabetically by source agency. Subdivide alphabetically by cooperator, contractor, lessee, vendor, etc., as needed.	Destroy after 3 years.
417-4	Minutes of Meetings (BPW)	Maintain in ACCO fasteners by date of meeting.	Destroy when no longer needed.

ITEM NO. (1)	TYPE OF RECORD (2)	METHOD OF FILING (3)	RETENTION PERIOD (4)
418	REPORTS/STATISTICS FILES		
418-1	Nonrecurring Reports (Departmental)	Folder alphabetically by report title and year date.	Destroy after 3 years.
418-2	Nonrecurring Reports (Nondepartmental)	Folder alphabetically by report title and year date.	Destroy after 3 years.
418-3	Periodic/Annual Reports (Internal)	Case folder alphabetically by report title and year date. Maintain bulky/oversize material in shelf file or bookcase. Use cross reference if filed out of sequence.	Retain permanently. Do not destroy.
418-4	Periodic Reports (External)	Case folder alphabetically by submitting agency and year date. Maintain bulky/oversize material in shelf file or bookcase. Use cross reference if filed out of sequence.	Destroy after 3 years.
418-5	Short-Term Reports (Internal)	Folder alphabetically by report title or by submitting agency and year date.	Destroy when data incorporated in annual agency report.