



# Establishing Records Retention

By Laurie Sletten, CRM, CA

# Records Management Technical Bulletins

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# Preface

Like every organization, local governments create and maintain large quantities of records. Many of these records not only are of great value to the local government, but also are of concern and essential to the citizens of the community. Federal and state-mandated program requirements, changes in growth and development patterns, expanded service needs, the use of computers and other technologies for creating and using information, and the proliferation of copies in various formats, have all contributed to this enormous accumulation of records. Each publication is intended to make available to local governments the basic principles, policies, and guidelines that should be followed in establishing a sound records management program and in carrying out sound records management practices.

The series is intended for local officials, with limited resources, who lack formal records management or archival training but who have custodial responsibility for records. These local governments include townships, villages, cities, counties, school districts, and other local political subdivisions and special-purpose districts. Each of the following publications in the series includes a bibliography that refers to other reading for more detailed information and guidance.

#### **Overview:**

*Starting a Records Management Program, The Daily Management of Records and Information, Making Your Records Management Program Successful, Managing Records on Limited Resources, Funding Your Records Management Project*

#### **Creation, Collection and Storage:**

*Identifying and Locating Your Records, Establishing Records Retention, The Selection and Development of Local Government Records Storage Facilities, Developing a Records Storage System*

#### **Preservation, Promotion, Use and Access:**

*Archives for Local Governments, Protecting Records, Using and Storing Microfilm*

#### **Care, Management, and Preservation of Electronic Records:**

*E-Mail Management, Selecting and Using Document Imaging Systems, Managing Electronic Records, Preparing for E-Discovery*

Copies of these bulletins are available on the IIMC and NAGARA websites.  
IIMC at [www.iimc.com](http://www.iimc.com) • [www.nagara.org](http://www.nagara.org)

# Acknowledgements

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While writing this technical bulletin, she worked as an employee of Fluor Corporation on the Oregon Bridge Delivery Partners Project for the Oregon Department of Transportation in the capacity of Document Control Manager where she was charged with managing all records and an electronic document management system for the 10-year project to repair or replace 365 bridges throughout Oregon. She currently serves as the Records Retention Schedules Project Lead at the University of California Office of the President in Oakland, California. She is experienced in developing policies and procedures pertaining to records/information management issues, developing and coordinating records retention scheduling and disaster recovery programs; and managing imaging and records center operations and all archival functions.

Acknowledgements continued

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## Introduction:

Records are fundamental to the operation of any organization. They enable the organization to conduct business. They permit efficiency and continuity. Records are the documentation of business, providing evidence as to how decisions were made and policies implemented. They clarify obligations, as well as protect rights and privileges.

This is particularly true for governmental organizations, where records not only protect the organization's rights, but those of the citizens it serves. Government records need to be properly retained and accessible when required in order to assure government transparency (Ferriero).



Records are an important resource that must be appropriately managed, no matter what form the records take. Information in all media must be readily available, understandable and useable to support decision-making, programs, and provide accountability of the government to the public.

Records management can be defined as the systematic control of records from creation, receipt, maintenance, use and disposition ("ISO 15489" 3).

An effective records management program is designed to provide efficiency and economy in record-keeping practices; to make sure that unnecessary records are destroyed or not even created; and to ensure that important information is preserved and available for reference.

For example, if an organization does not have a records management program, it is estimated that 30

to 60 percent of the existing records have no current value and could be either destroyed or transferred out of active office space into an inactive records storage facility for less costs (Robek, Brown, and Stephens 9).

The management of records from creation, through maintenance and use, and finally, through disposition is often referred to as the record's life cycle.

A major key to managing records is establishing a records disposition program with records retention schedules. A records disposition program is required to institute a systematic and documented process for the timely disposal of records. Disposal indicates either records are destroyed or transferred to inactive storage (such as a records center or an archives) for further retention requirements after their active usage has diminished.

## What is a records retention schedule?

A records retention schedule is a control document describing the records of an organization, usually at the records series level, often establishing a timetable for the records series life cycle, prescribing an ultimate disposition for the records series, and serving as the legal authorization for the disposition of records.

Records should be kept for as long as needed to support administrative, legal, and fiscal functions, but no longer. A few records, typically no more than three to five percent of those created in a given year, should be retained permanently because of their legal, fiscal or historical significance (Pearce-Moses, archival value). The primary tool for managing the life of a record is the records retention schedule. Most records retention schedules describe record series (not documents), or electronic systems.

The record series is the unit typically used in a records retention schedule. Documents within a records series are together because of some relationship arising out of their creation, receipt, or use. Here are some examples of records series:

- time and attendance records,
- personnel files,
- budget preparation records,
- equipment inventory records, and
- surplus property disposal records.

Electronic records traditionally have been scheduled in the context of an information system. An information system is the organized collection, processing, transmission, and dissemination of information according to defined procedures. When scheduled, a system includes these categories of information: (1) inputs, (2) the information on the electronic media, (3) outputs, (4) any related indexes, and (5) the documentation needed to maintain and use the system.

For electronic records that are not affiliated with a system, most states' retention schedules are media neutral, meaning that the retention periods apply regardless of the media in which the records are stored.

Most states have an agency that provides guidance and advice on records management issues for other state agencies and local governments. Sometimes it will be a state archives or records management office found in the Secretary of State's organization, or the State Library, or a Cultural Heritage organization. Often these entities will have records retention schedules for state agencies and local governments, and/or be the point of contact on how to establish retention schedules in that state.

This agency should be consulted in order to identify existing schedules or if there is a required form or format when establishing records retention schedules. This bulletin provides an overview of the records retention scheduling process.

### Reasons to establish a records retention program

In today's world of personal computers, electronic mail systems, Instant Messaging, and social media, we experience a tremendous proliferation of records. As we encounter such growth, our ability to locate data becomes very difficult unless records are managed.

How we conduct our business has also changed. Now, it is easy to write more than one draft and collaborate with others on a final product.

For example, there may be several copies of records stored in the same place. Other copies may reside on computer backups, e-mail messages with revised drafts attached, USB thumbdrives or rewriteable CDs, on home computers, laptops, electronic tablets, or smart phones. These drafts and copies may have names that only the end user can recognize. Sometime later, the end user may no longer work for the organization. Records in an open records request, or subpoenaed, may not be easily found.

Providing authorized timeframes for records destruction (well publicized throughout the organization and followed with systematic checks for compliance), will permit faster retrieval of necessary records, including public requests and discovery activities.

### Benefits of establishing, implementing and maintaining a records retention program

No established records retention program can lead to premature, haphazard, or unauthorized destruction of records. This may be against the law and may result in fines, exposure to litigation, imprisonment, high expenses, and loss of public trust.

Records may be retained unnecessarily long. This is usually costly.

- Why look through volumes of impertinent records?
- Why store obsolete, unneeded records?



- Such records are still subject to open records requests and discovery activities.

Avoid these hassles by following retention schedules.

Arbitrarily destroying records or keeping them too long can bring lawsuits, governmental investigations or audits. Following a records retention schedule will document the systematic destruction of records, as part of the normal course of business and is legally defensible.

Consistent application of retention schedules will remove inactive records from offices / filing equipment / server space to less expensive storage, thereby enhancing active records and reducing maintenance costs; short-term records will be destroyed or moved to inactive storage; and records of continuing, permanent or archival value will be preserved.

## How to develop records retention schedules

Management support is important for your records management activities, including the establishment of retention schedules.

Management should include an announcement to all departments endorsing a records retention schedule.

### *Review of the organization*

Understand the organization's mission and functions as well as its recordkeeping requirements and practices.

### *Records inventory*

In preparation for the records inventory, probe the type of information needed and the desired format.

Prepare departments by introducing the inventory. Let them know that you will be focusing on the important question: how long should each record be kept?

A records inventory is taking stock of the records series and information systems found in the organization. The inventory could include a look at the types,

locations (active and inactive records), dates, volume (cubic feet), equipment, classification systems, and usage of an organization's records.

The inventory will reveal fundamental details which are required to determine how to create, use, maintain, and dispose of the records. Be sensitive to the fact that you will be working with the subject matter experts: records management problems will surface. Inventory is not the rose garden of records management. Yet this exacting process can engender valuable rapport with your government departments, as you answer the fundamental question how long should records be kept to meet business needs?

See the technical bulletin on records inventory for more information.

### *Appraisal – determining the retention period*

A basic principle of records management is that records should be disposed of when no longer of value. Disposition can mean destroying the records or transferring them to an alternate place for the rest of the life cycle, such as a records center or an archives. Determining the value of a records series or system is known as "appraisal." Appraisal means that the records are evaluated, based on an analysis on the administrative, fiscal, legal, and historical use of the record.

#### **Administrative value**

The administrative value of a record series or system measures how long the office will need the records, and how the records are used daily to meet operational requirements.

#### **Fiscal value**

The fiscal value of a record series or system is assessed by deciding if the records are needed for any financial audits, whether the audits are from within or outside of the organization, and how long the auditors will need the records.

#### **Legal value**

The legal value is determined by evaluating the series or system for any possible legal issues, and then reviewing the laws which govern these types of issues, such as "causes of actions" for "statutes of

limitations”. Records with legal value may be used to support rights of the organization or individuals (through an application such as the statute of limitations, for example, used to protect rights or benefits of individuals). Legal value is also assessed by reviewing Federal and State statutes (if applicable), and regulatory codes for applicable retention information. It is strongly recommended that organizations document their considerations of legal rights and values when proposing retention periods, in order to establish that a good faith effort was conducted to protect these rights. In all legal matters, careful interaction with the counsel of the local government can be meaningful. Be wary of a tendency on their part, however, to “keep everything.”

Bulletins in this series, such as E-Discovery, may shed light on retention issues.

### Historical value

Archivists weigh the significance of records in terms of the mission of the organization; past, current, and future research interests; and other records found in the organization’s archives. It is this value which determines whether a record has “archival value”.

## Drafting the retention schedule

After appraising records’ value, the organization can prepare draft records retention schedules.

### *Different types of schedules (samples provided in the appendices)*

There are many different kinds of records retention schedules and formats. Usually, there is a state agency responsible for records retention schedules and that agency will dictate the kind of schedule and format to use. Before starting a records retention scheduling project, that agency should be contacted. Please note that Public Record regulations regarding records retention may vary from one locale to another and should be known before developing any retention schedules.

### Retention Schedules (see Appendix A)

Although the term “records retention schedule” may be used generically to mean any document

which identifies records and establishes a time for their ultimate disposition, the term can have an alternate specific meaning. A records retention schedule will identify records and state how long the records need to be retained.

**Example: “Retain for 10 years, then destroy.”**

### Disposition Schedules (see Appendix B)

Although the term “disposition schedules” may be used generically to mean any document which identifies records and establishes a time for their ultimate disposition, this term can also have an alternate specific meaning. A records disposition schedule will identify records and when the record can be destroyed or transferred to inactive storage.

**Example: “Retain for 10 years, then destroy.”**

### Special Records Schedules (see Appendix C)

Retention schedules which are unique to the organization are called special records schedules.

### General Records Schedules (see Appendix D)

General records schedules list series and systems that are common to all entities within the organization, and provide retention / disposition instructions.

### Prescriptive Schedules (see Appendix E)

This type of retention schedule stipulates not only how long the record will be kept, but also where, and how.

**Example: “Retain the hardcopy records filed in alphabetical order by surname for 10 years in the office. Transfer hardcopy records to the records center after 10 years. Destroy 5 years after transfer.”**

The advantage of this type of schedule is that it provides the user with explicit instructions about how the records should be maintained in each stage of the life cycle.

The disadvantage is that if the records, for example, are no longer in hardcopy, or are no longer filed

in alphabetical order, or are no longer maintained in the office for 10 years before transfer to inactive storage, then the schedule is no longer valid and will need to be updated.

Wording has to be very careful and flexible, for it attempts to provide for contingencies.

### **Descriptive Schedules (see Appendix F)**

This type of retention schedule describes the records series.

**Example: “This series documents the employment history of the individual employee. The records may include resumes, personnel action forms, address change forms, performance assessments and other related records. The series does not include employee payroll records or benefit forms.”**

The advantage of this type of schedule is that it helps the user identify the records series.

The disadvantage is that it expands document description. The resulting retention schedule, which is bigger, can intimidate users.

### **Organizational Schedules (see Appendix G)**

This type of retention schedule is formatted so all of one department’s records series are found in the same part of the retention schedule. Users do not have to look through all of an organization’s retention schedules to locate records that are found in their offices. The drawbacks are that when departments change over time - - in name or in records - - the schedule is no longer valid and will need updating.

### **Functional Schedules (see Appendix H)**

Some records managers take a “functional” approach to retention scheduling. This means that retention schedules address records series or systems based on functions, rather than individual documents found in specific units within the organization. For example, a retention schedule would address all the accounts payable records found in the organization, rather than the individual items (documents) such as

the invoices that are found in a certain office.

For some people, finding their records in a functional retention schedule is difficult because they do not know how to categorize their records based on functions. Increased upfront training for users may be necessary when this type of schedule is used.

### **Flexible Scheduling: Bucket Schedules (see Appendix I)**

Recently, organizations are scheduling their records according to broader aggregates or functions. This methodology is often referred to as “Bucket Schedules” or “Big Bucket Retention Schedules”, or as a type of “Flexible Scheduling” or “Flexible Schedules.” The difference is that the unit scheduled is not the records series, but rather all records relating to a work process, group of work processes, or a broad program area to which the same length of retention is applicable.

#### **Example:**

##### **Records Series:**

- a. General correspondence
- b. General correspondence - Final draft
- c. General correspondence - Earlier drafts

##### **Bucket: General, Routine Office Administration Records**

Advantages of using buckets, instead of series/systems schedules are that the series concept, a difficult one to understand, is no longer relevant. There are fewer categories from which to choose, making schedules easier to apply; functions very rarely change while series and systems do change; most new records and systems will have an approved disposition schedule; and organizations will be in a better position to implement electronic recordkeeping in the future.

### **Flexible Scheduling: Records Retention Banding Schedules (see Appendix J)**

Another trend is flexibility in disposition instructions. This is referred to as “Records Retention Bands” or “Retention Banding,” or as a type of

“Flexible Scheduling” or “Flexible Schedules.” Banding allows changing work needs, without having to draw up a new retention schedule. The key to banding is that there is little risk associated with using the minimum, or maximum retention expressed in the band.

**Example: “Destroy when records are no less than 3 years old, but no more than 6 years old.” or “Delete or destroy when no longer needed, but do not keep longer than 3 years.”**

Business needs change dramatically. When records need to be retained longer or less than the retention band, a new schedule will need to be drafted and approved.

### Drafted schedule review

Once records retention schedules are drafted, and internal departmental personnel have reached consensus, proposed records retention schedules go to the next level for review, discussion, and, when necessary, revisions. Drafted retention schedules are considered; assessments of the schedules, when appropriate, are requested from other interested stakeholders (e.g., archivists for the organization’s records, legal counsel, auditors, even citizens). Any differences in suggested retention periods, or questions, are then sent back to subject matter experts, through records personnel or consultants.

### Obtaining approval

After all issues have been resolved, retention schedules are forwarded to the approving body for schedules (either an individual or committee) for review, discussion, revision, or approval. Once approved, the schedule serves as legal authority for action: this may be, for example, destroy obsolete records, or transfer historical records to an archival repository.

## Implementing the approved schedule

Once the retention schedules are approved, they are formally issued and distributed throughout the organization. Management signoff for schedule issuance and distribution strengthens compliance.

After schedules have been distributed, the records manager should provide training on how to use the retention schedules. Follow-up meetings with departments in their offices where the records are stored will help users apply the schedules with confidence. Some organizations will schedule a “purging” event when schedules are first distributed to help employees apply their schedules for the first time. This kind of event should be carefully planned and executed, positively. Making such events competitions between offices can get out of control and valuable records may be destroyed accidentally.

## Regular reviews of retention schedules and compliance

A records retention schedule should be viewed as a dynamic document. Often uses of a record series will change and the value of the record will have changed as well. Sometimes records are no longer received or created, or a new records series is created or received. Recordkeeping requirements of an organization change due to new legislative mandates or regulations. Review retention schedules annually and update as needed.

Further, a compliance review should occur on a regular basis. Some organizations implement a formal audit process; others offer annual assistance to departments, thereby viewing and resolving issues in a less formal setting. Still others require formal annual reports on the records destroyed, date span and the volumes destroyed. Regardless of the methodology chosen, or required, the compliance program should be well documented. It should provide evidence that records are destroyed, according to records retention schedules in the normal course of business.

## Legal holds - when destruction of records must be suspended

Records retention schedules should be consistently followed, unless a pending or foreseeable litigation / investigation pertains to the records. If such exists, records cannot be destroyed until these actions have been completed or resolved. Such issues should be well-documented to avoid any inadvertent records destruction. Records required for legal discovery or ongoing audit purposes beyond the prescribed retention must be maintained until cleared by the appropriate authority before destruction. This activity is often referred to as a “records freeze” or “legal hold” or “document preservation directive.”

## Summary: objectives and benefits for establishing records retention

A records disposition program requires a systematic and documented process for timely disposition of records. Disposal often indicates that records are destroyed; disposition can mean transfer to inactive storage, such as a records center or an archives, for further retention.

A major key to managing records is determining how long to keep them, and when they can be destroyed or transferred after their active use has diminished. The primary tool for documenting these determinations is the records retention schedule. This tool is variously called a records disposition schedule, records disposition authority, records control schedule, records retention schedule, or simply schedule.

Records retention is based on the life-cycle concept: usefulness of information tends to decline over time, unless records have permanent, archival value (usually only about 3-5 percent of an organization's records have archival value (Pearce-Moses, archival value). Retention periods are established and should be consistently followed (unless pending or foreseeable litigation / investigation pertains to the records). By following documented processes for records destruction, an organization attends to the normal course of business. Records are less likely to be

inconsistently or recklessly destroyed. This concept is particularly important as protection against the ominous specter of a lawsuit. Records destruction is a red flag during discovery or a governmental investigation. Failure to adhere rigorously to a documented retention policy, could lead to accusations that the organization willfully destroyed records, causing the loss of unfavorable information relevant to the lawsuit (spoliation). A court could impose sanctions, or even stronger judgment against the organization.

In recent history, dissolution of one of the five largest audit and accountancy partnerships in the world, Arthur Andersen, is a thunder-clap warning: they failed to suspend, and even encouraged destruction practices, when faced with a governmental investigation during the Enron Scandal in 2001 (Wikipedia, Enron Scandal).

If there is a pending or even foreseeable litigation / investigation, records cannot be destroyed until such actions have been completed or resolved. A records disposition program must include a well-documented process to safeguard records that are necessary for such actions. In document preservation environments, this may be referred to as a legal-hold program.

The objectives of a records disposition program are to 1) remove inactive records from office, filing equipment or server space to less expensive storage, thereby enhancing active records' use and reducing maintenance costs; 2) destroy non-permanent records of short-term value as soon as they are no longer needed; and 3) preserve records of continuing value.

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[www.archives.gov/records-mgmt/initiatives/flexible-scheduling.html](http://www.archives.gov/records-mgmt/initiatives/flexible-scheduling.html)

## Glossary

**Appraisal** – Analysis of the administrative, fiscal, legal, and historical values of a record.

**Legal Holds** – All activity to prevent the deletion or destruction of relevant e-mail messages, files or documents related to a lawsuit or governmental investigation.

**Preservation Holds** – Another way to identify a Legal Hold (see definition above).

**Records freeze** – Records that are scheduled for routine destruction but are preserved because they may be needed as evidence in litigation, investigation, audit, merger, or other special circumstance. (Pearce-Moses, freeze)

**Records inventory** - The process of surveying the records in an office, typically at the series level (Pearce-Moses, inventory). The inventory may encompass the types, locations (active and inactive records), dates, volumes (cubic feet), equipment, classification systems, and usage of an organization's records. The inventory may include other things that were targeted during the review of the organization; such as how the records are stored, or whether the records are vital.

**Records retention schedule** - A control document describing the records of an organization, usually at the records series level. It specifies the life cycle of each records series, prescribes an ultimate disposition for the records series, and serves as the legal authorization for records disposition.

**Records series** - A body of information, which may be thought of as a unit throughout its life cycle. Records in a series are related because they result from the same function or activity, have the same or similar form, have similar or connected contents, or because of their creation, receipt, or use. Traditionally, record series is the unit used in identifying and scheduling most records.



## Appendix A Retention Schedules



### Records Retention Schedule Sheriff

Description of Records	Retention Period	Comments
Cancelled Checks and Bank Statements  Cancelled checks issued by the Sheriff in payment for supplies and groceries purchased for use at the jail, name of payee, amount, purpose of payment, name of bank on which drawn, signature of Sheriff. 7-6-6, -7 (obsolete)	Retain ten (10) years, then destroy. (Refer to County Clerk schedule)	
Delinquent Property Taxes  List of all real property returned delinquent after taxes have been unpaid for a period of one year. Prepared by the Sheriff and submitted to County Court. Shows name of owner, location, description and assessed value of property, total amount of tax and period for which due, date redeemed or sold. 11A-2-11	Three (3) years, then destroy.	Sheriff created in May. Filed with County Clerk in June. 11A-2-14 Permanent

[www.wvculture.org/history/rmpb/rssheriff.html](http://www.wvculture.org/history/rmpb/rssheriff.html)  
 West Virginia General Retention Schedules for Counties  
 Sheriff Records

## Appendix B Disposition Schedules

County/Local General Retention Schedule (GEN)

GEN 10-31	EMPLOYMENT APPLICATIONS-NOT HIRED  Series includes applications from persons seeking employment who are not hired. Series also contains vacancy notices, job information bulletins, unsolicited resumes, rejection correspondence, examination material, and other related materials. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b)(8)(b). Retention based on IC 4-15-2-15 (b)(4).	DESTROY three (3) calendar years after the decision not to hire.
GEN 10-32	EMPLOYEE HAZARDOUS EXPOSURE RECORDS  Typical records could include employee exposure records and/or analyzes using exposure or medical records. Disclosure of these records may be affected by IC 5-14-3-4(a) (9).	DESTROY Thirty-five (35) calendar years after employee termination.
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GEN 10-35	STATUTE AND ADMINISTRATIVE RULE RECORDS  Documents created by a county/local government entity related to	DESTROY two (2) calendar years after amendments, adoptions, or proposal of final administrative rule was published in the Indiana Register.

THIS SCHEDULE MAY BE USED ONLY AFTER ADOPTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS.  
 Adopted December 15, 2010 by the Oversight Committee on Public Records/Indiana Commission on Public Records

[www.in.gov/icpr/2739.htm](http://www.in.gov/icpr/2739.htm)  
 Indiana Commission on Public Records  
 County/Local General Retention Schedule (GEN)

## Appendix C Special Schedules

### LOCAL AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government  
Codes and Regulations  
Inspections, Permits and Licenses

Series	Records Title	Function and Use/Contents	Retention	Disposition Instruction
L6091	Demolition Case Files	This series documents all activities surrounding the demolition of private buildings in Metro Louisville. Buildings are demolished due to their unsafe condition and the property owner's inaction to put the building in a safe condition. The activities documented range from the point of decision to demolish through the actual demolition and the placing of a lien on the property. Code Enforcement Inspection Reports; photographs of the building before and after demolition.	15	Destroy
L6092	Daily Activity Log	This series serves as a memory aid for IPL personnel when they complete data input forms for the time usage system. It also documents mileage driven in city vehicles. The series is destroyed after the computer reports are printed and checked by management, usually within 30 days. May include narrative notes and calendar notations as well as beginning and ending mileage for each trip	30 days	Destroy

<http://kdla.ky.gov/records/retentionschedules/Pages/LocalRecordsSchedules.aspx>

Kentucky Department for Libraries and Archives  
Louisville Metro Government Codes and Regulations  
Inspections, Permits and Licenses

## Appendix D General Schedules

36 records found for Accounting  
Displaying page 1 of 3:

Record Title	Description	Retention	Legal Citation	Retention Classification	Special Instructions
Accounts Payable Files	Records documenting payments made by agency for services rendered or items purchased	5 years	O.C.G.A. 11-2-725; 36-11-1	Temporary - Short Term	Vital Record - duplicate and store offsite
Accounts Receivable Files	Records documenting monies owed to and collected by the agency	5 years	O.C.G.A. 11-2-725	Temporary - Short Term	Vital Record - duplicate and store offsite
Annual Financial Statements	Annual reports of the accounts, income and liabilities of an agency	Permanent		Permanent	Vital Record - duplicate and store offsite
Bank Loan Records	Include outstanding financial obligations incurred by an agency in the form of bank loans	5 years after settlement of loan		Temporary - Short Term	
Bank Statements	Periodic computations of deposits and credits to a bank account	5 years	O.C.G.A. 9-3-25	Temporary - Short Term	Vital Record - duplicate and store offsite

[http://sos.georgia.gov/archives/who\\_are\\_we/rims/retention\\_schedules/retsched/RecordCategory.asp?category=Accounting](http://sos.georgia.gov/archives/who_are_we/rims/retention_schedules/retsched/RecordCategory.asp?category=Accounting)  
Georgia General Schedule  
Local Retention Schedule Database

## Appendix E Prescriptive Schedules

Local Government Filesets, continued

CG-1	<p><b>MEETING FILES (OFFICIAL MINUTES)</b></p> <p><b>MEETING FILES (ALL OTHER BACKUP)</b></p> <p>The Official Minutes constitute the official accounts of the proceedings and actions of governing body, boards, commissions, committees, community councils and special work groups.</p> <p>Other backup may include notices of meeting, agendas, packets, meeting dockets, roll call, correspondence, complaints, reports, transcripts, legal opinions, financial studies, declarations, recommendations, amendments to council rules, ordinances and resolutions, background papers and audio/visual products.</p>	<p>Permanent</p> <p>Retain all other backup data for 5 years.</p>
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CG-5	<p><b>CODES, ORDINANCES &amp; RESOLUTIONS: ADOPTED</b></p> <p>May include charter, amendments, code supplements, lists of all ordinances/resolutions, ordinance/resolution number and ultimate decision.</p>	<p>Permanent</p> <div style="border: 2px solid red; padding: 5px;"> <p>Maintain certified copy of all official ordinances in a separate ordinance file.</p> </div> <p>AS 29.20.380</p>
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[http://archives.alaska.gov/for\\_state\\_agencies/for\\_state\\_agencies.html](http://archives.alaska.gov/for_state_agencies/for_state_agencies.html)

Alaska Records Retention Schedules (RRS)

Local Government #300 (PDF)

## Appendix F Descriptive Schedules

### State of Mississippi Local Government Records

#### RECORDS RETENTION SCHEDULE

**Counties**

**Building Permit**

SERIES #	TITLE	DESCRIPTION	RETENTION
GSC 10 01	Building Plans	Plans for residential or commercial building projects submitted during building permit process.	<p>Until certificate of occupancy issued or expiration of permit.</p> <p>Plans for governmental building projects must be retained for the life of the structure (see GSC-10-02).</p> <p>Approved: 1/16/2001</p>
GSC 10 02	Building Plans - Public Projects	Building plans for governmental building projects.	<p>Permanent</p> <p>Approved: 7/17/2001</p>
GSC 10 04	Permit Files - Single Use	Permit files documenting permit application and approval of single use permits such as electrical, roofing, gas, mechanical, or similar activity.	<p>Three (3) years.</p> <p>Approved: 1/16/2001</p>

<http://mdah.state.ms.us/recman/schedulemain.php>

Mississippi Records Retention Schedule for Counties

Building Permit Records

## Appendix G Organizational Schedules

From page 1

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION  
 CHAPTER 19 LOCAL GOVERNMENT RECORDS RETENTION AND DISPOSITION SCHEDULE (LGRRDS)  
 PART 6 LGRRDS, OFFICE OF THE COUNTY TREASURER

[1.19.6.117 NMAC - Rp, 1.19.6.117 NMAC, 07/24/2006]

1.19.6.118 INVESTMENT CONFIRMATION:  
 A. Program: investments  
 B. Maintenance system: local government preference  
 C. Description: records confirming that transactions between the treasurer and the broker have been completed. Confirmation may include firm name and address, trade date, settlement date, account number, initial investment amount, investment description, purchase or sell price, accrued interest, etc.  
 D. Retention: six years after date of confirmation  
 [1.19.6.118 NMAC - Rp, 1.19.6.118 NMAC, 07/24/2006]

1.19.6.119 INVESTMENT FILE:  
 A. Program: investments  
 B. Maintenance system: local government preference  
 C. Description: records concerning investment of county funds. File may include firm names and addresses, trade dates, settlement dates, account numbers, investment descriptions, investment amounts, accrued interest, quote sheets, repurchase agreements, account information, investment forms, copy of payment voucher, state treasurer's validated deposit slip with attached sale transaction, wiring instructions, etc.  
 D. Retention: six years after close of fiscal year in which created  
 [1.19.6.119 NMAC - Rp 1.19.6.119 NMAC, 07/24/2006]

From page 5

[www.nmcpr.state.nm.us/nmac/parts/title01/01.019.0006.pdf](http://www.nmcpr.state.nm.us/nmac/parts/title01/01.019.0006.pdf)  
 New Mexico County Treasurer

## Appendix H Functional Schedules

City General Records Retention Schedule, July 2010  
*A Digest of OAR Chapter 166 Applicable to Oregon Cities*

Division 200  
 City General Records Retention Schedule

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166-200-0010

### Administrative Records

(1) **Activity and Room Scheduling and Reservation Records** Records document scheduling and reservations related to public participation in and use of various city activities, events, classes, and meeting rooms. Includes schedules, logs, lists, requests, and similar records. SEE ALSO Participant Registration and Attendance Records and Park and Facility Use Permits in the Parks and Recreation section for records documenting public use of services or facilities for which formal registrations or permits are required. (Minimum retention: 1 year).

(2) **Activity Reports**, General Daily, weekly, monthly, or similar reports other than annual reports documenting the activities of city employees. Useful for compiling annual reports, planning and budgeting, monitoring work progress and other purposes. Usually tracks type of activity, employees and/or volunteers involved, time spent on activity, work completed, and related information in narrative or statistical form. SEE ALSO Grant Records in the Financial-General section for reports documenting activities directly related to projects funded by grants. (Minimum retention: 2 years).

<http://arcweb.sos.state.or.us/pages.recmgmt/sched/index.html>  
 Oregon General Retention Schedules for Cities  
 Administrative Records

Appendix I Bucket Schedules

**RECORDS RETENTION AND DISPOSITION SCHEDULE**

PAGE 2 of 2

**ALL ARIZONA PUBLIC COMMUNITY COLLEGES AND UNIVERSITIES**

Function  
**ADMISSIONS AND REGISTRARS' OFFICES' RECORDS**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. RETENTION (YR.)				REMARKS (Include start point of retention.)
		Code	Off.	R.C.	Total	
5.	General, Routine Admissions and Registrar Office Records. These records document the internal administration or housekeeping activities of the office. In general, the records relate to the organization of the office, staffing, procedures, systems, and communications. They do not serve as unique documentation of the programs or functions that protect the rights of citizens or employees, demonstrate government accountability, nor do these records document the development of the office or the history of the State of Arizona. These records may include but are not limited to documentation of the day-to-day administration and training of office personnel; supplies and office services; the use of office space, equipment, and utilities; and unit activity relating to specific and defined short-term administrative projects; and related documentation and correspondence. They also include records specifically related to Admissions Offices and Registrars' Offices such as routine class schedules, rosters and lists; non- matriculated students' admissions records; credit/non-credit approvals; athletic eligibility records; etc. These are records of little value and of a routine nature that are used to further some activity. As facilitative records, they have no continuing value to the organization and, generally, are only needed for a short period of time.					Delete or destroy when no longer needed, or as long as any federal or state requirements dictate, whichever is longer.

[www.lib.az.us/records/documents/pdf/Higher%20Education%20Admissions-Registrars%20Records-7-28-2006.pdf](http://www.lib.az.us/records/documents/pdf/Higher%20Education%20Admissions-Registrars%20Records-7-28-2006.pdf)

Arizona Public Community Colleges and Universities  
Admissions' and Registrars' Offices Records Bucket Schedule

## Appendix J Retention Banding Schedules

**General Records Retention Schedule for  
Arizona Community College Districts, Counties, Municipalities and  
Special Districts  
Personnel/Human Resources Records**

Item #   Records Series    Retention (Yrs.)    Remarks

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11.	Employee Suggestion Program Records (including award program records)	-	After administrative value has been served by no more than 5 years after either calendar year or fiscal year created or received
12.	Employee Summary Records (listing of current and former employees including name, dates of employment and job titles used to answer job reference questions)	15	After either calendar year or fiscal year employee terminated
13.	Employee Survey / Questionnaire Records (including attitude surveys, selective certification surveys, salary surveys and other surveys not filed with specific program records)	-	After administrative value has been served but no more than 10 years after either calendar year or fiscal year created or received

GladysAnn Wells, Director Arizona State Library, Archives and Public Records

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[www.lib.az.us/records/county.aspx](http://www.lib.az.us/records/county.aspx)  
Arizona General Retention Schedules for Counties  
Personnel/Human Resources Records