

RECORDS MANAGEMENT MANUAL

STATE GOVERNMENT AGENCIES

SCHEDULE NO. 1

ADMINISTRATIVE RECORDS

1-1. Acknowledgement Files

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

Retention

Record copy: Retain for 3 months after acknowledgment and/or referral and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-2. Administrative Hearing Transcripts

Transcripts of hearing conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached.

Retention

Record copy: Permanent.

Duplicate copies: Retain by agency for 5 years and then destroy.

1-3. Administrative Reference/Reading Files

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

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-4. Administrative Rulemaking Files

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

Retention

Record copy: Retain by agency for 3 months or until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-5. Agency Written Histories

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories.

Retention

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

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1-6. Attorney General's Opinions

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

Retention

Record copy: Permanent. Retain by the Office of the Attorney General for 5 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

1-7. Committee and Conference Files

Records created by a committee or conference which has been created by the General Assembly or Governor, including advisory committee's relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports and related records documenting the accomplishments of official boards and committees.

Retention

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 5 years and then destroy.

1-8. Daily Activity Schedules

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. See also Executive Calendars or Routine Activity Calendars.

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-9. Executive Calendars

Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees. See Daily Activity Schedules.

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

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1-10. Executive Correspondence

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

Retention

Record copy: Permanent.

Retain by agency for 5 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

1-11. Feasibility Studies

Studies conducted before the installation of any technology or equipment. Studies and systems analyses for the initial establishment and major changes of these systems.

Retention

Record copy: Retain for the life of the technology or equipment plus 1 year.

Duplicate copies: Retain by agency for 2 years and then destroy.

1-12. Finding Aids

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

Retention

Record copy: Retain until no longer needed then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-13. Forms Development Files

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

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-14. General Correspondence (Routine)

Records that are general in nature and do not relate directly to primary program responsibilities of an office or agency. Letters or appreciation, congratulations, charity fund, parking assignments, etc.

Retention

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

Duplicate copies: Retain by agency for 3 months and then destroy.

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1-15. Government Records Access Appeal Case Files

Case Files that contain information on government records access appeals to the designated Records Officer, Chief Administrative Officer, State Archivist, and the District Court. They contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the appeal process.

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-16. Incoming Document Log

Records which provide detailed information on incoming documents that require distribution or action.

Retention

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

Duplicate copies: Retain by agency for 6 months and then destroy.

1-17. Internal Administrative Correspondence

Records of a general nature (not policy) which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications.

Retention

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

Duplicate copies: Retain by agency for 6 months and then destroy.

1-18. Internal Committee and Conference Files

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

Retention

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

Duplicate copies: Retain by agency for 1 year and then destroy.

1-19. Litigation Case Files

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

Retention

Record copy: Portions of this series may be kept permanently by the State Archives through the Attorney General's office. Court records in this series are also available in the court having jurisdiction over these cases.

Duplicate copies: 6 years after case is closed and then destroy.

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1-20. Management Improvement Reports

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

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-21. Minutes of the Governing Body

Records of official proceedings of the governing body. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decision. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion and for use in making decisions on institution policy, planning and administrative matters.

Retention

Record copy: Permanent.

Ad hoc committees (non-official): 3 Years

1-22. Organizational Files

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

Retention

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency until superseded and then destroy.

1-23. Performance Audit Reports

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity.

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

1-24. Policies and Procedures Manual

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

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

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1-25. Policy and Procedure Case Files

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

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-26. Proposed Legislation Records

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

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

1-27. Publications

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects.

Retention

Record copy: Permanent. Creating agency shall transfer one copy to State Archives when published.

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

1-28. Public Record Register Sheets

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

Retention

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

Duplicate copies: Retain until no longer needed then destroy.

1-29. Records Disposition Files

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs. May also contain documentation of records maintained and destroyed by the State Archives.

Retention

Record copy: Permanent.

Duplicate copies: Retain for 1 year and then destroy.

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1-30. Records Management Files

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

Retention

Record copy: Retain by agency until updated or superseded and then destroy.

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

1-31. Technical Reference Files

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

Retention

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-32. Transitory Files

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

Retention

Record copy: Retain by agency for 3 months or until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-33. Transmittal Correspondence

Letters or other attachments to records which do not provide any additional information to what is being sent.

Retention

Record copy: Retain by agency for 3 months and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-34. Word Processing Files

Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes and is used to produce a hard copy which is then maintained in organized files.

Retention

Record copy: Retain by agency until hard copy is filed and administrative need ends and then delete.

Duplicate copies: Retain until no longer needed then destroy.

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1-35. Working Papers

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

Retention

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain for 6 months and then destroy.