



Idaho Records Center

A Program of the Idaho State Archives

*Idaho Department of Health and Welfare
ITSD
Schedule of the
Records Management Guide*

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C.L. "BUTCH" OTTER, GOVERNOR

Idaho State Historical Society
Janet Gallimore, Executive Director

Rod House, State Archivist
Idaho State Archives
2205 Old Penitentiary Road
Boise, Idaho 83712
Phone: (208) 334-2620
Email: rod.house@ishs.idaho.gov
Fax: (208) 334-2626

history.idaho.gov

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

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

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center, Department of Administration, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	A – Indicates the record is or may be permanent and have historic value R – Indicates a required review by the Records Manager to determine value
Vital	X – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	RA – Refers to the security needs of a record series. Must be justified. <i>Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.</i> Records may contain, but are not limited to, confidential, personal or proprietary information.
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31 st)
FE	Fiscal Year End (June 30 th)
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Archivist.

FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Archivist or the agency's Records Manager for guidance.

HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as “RA – Restrict Access,” copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency’s Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CREATING AN AGENCY’S RETENTION SCHEDULE

Once an inventory is completed and a summary of the record series which occur in the agency’s office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. **NOTE:** For many common series, like “correspondence,” the Office of Record will probably be the “office of origin” until it is time to transfer the inactive years of material to the State Archives. Other records have obvious “homes,” like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Archivist, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

HOW TO USE THE RETENTION SCHEDULE FORMAT

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at http://adm.idaho.gov/purchasing/record_cnt.htm.

SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	LOSS CONTROL INSPECTION REPORTS An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. GUIDANCE: - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Management	US +12, then destroy			
SG18312	STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS Records related to borrower’s eligibility and participation. All audit requirements to be met prior to disposal. GUIDANCE: - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			RA -Access: FERPA, Confidential Record.
SG18559	COMPUTER SYSTEMS - HARDWARE DOCUMENTATION Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. GUIDANCE: - Series may relate to property management schedules.		PM	A	X	RA -Access may be restricted as part of facility security plans.

NOTE: A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4001	<p>DIVISION ADMINISTRATOR’S OFFICE RECORDS</p> <p>Series provides a record of the administrative activities of the Division Administrator’s office such as management leadership of the Division.</p> <p>Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports.</p> <p>Also may include: minutes, agendas, tape recordings, and committee records.</p> <p>Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Division and/or its leadership.</p>		PM	A	X	
SG4002	<p>DIVISION ADMINISTRATOR’S OFFICE COMPLAINT AND INVESTIGATION RECORDS</p> <p>Series documents complaints (that originate in the Division Administrator’s Office) brought against the Department, its policies/procedures, or its employees alleging violation of laws and/or administrative rules that govern operation of the Department and documentation of any resulting disciplinary actions.</p> <p>Records may include, but are not limited to: correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.</p>		AC + 7, then destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18503	ADMINISTRATION – CORRESPONDENCE - EXECUTIVE Correspondence pertaining to the programs, administration, etc. of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	R	X	RA –May be restricted due to personal information.
SG18504	ADMINISTRATION – CORRESPONDENCE - GENERAL Correspondence pertaining to the routine operations of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		AC +3, then destroy			RA –May be restricted due to personal information.
SG18507	ADMINISTRATION – DIVISION RECORDS Series documents the activities, decisions, and reports of divisions that oversee or advise programs or functions of the agency. Records may include: Division agendas, staff-level meeting minutes, proposed budgets, reports and routine correspondence. NOTE: Division minutes and correspondence may become part of agency history that is permanent. Some materials may warrant long-term retention.		AC +3, then destroy			R

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18508	<p>ADMINISTRATION – DONATION / GIFT RECORDS</p> <p>Records documenting the donation of archival material, artifacts, manuscripts, and publications to the agency. May include descriptive lists, transfer of publication/copyrights, restrictions.</p> <p>GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.</p>		PM			RA –Access may be restricted due to contents of documentation, especially with artifacts, and cultural resources.
SG18512	<p>ADMINISTRATION – FORMS – RECORDS INVENTORY</p> <p>Lists of all record series used by an agency, resulting from inventory.</p>		PM	A	X	
SG18513	<p>ADMINISTRATION – MAIL AND TELECOMMUNICATIONS LISTINGS</p> <p>Any records listing address, phone numbers, fax numbers or email addresses.</p>		US, then destroy			RA –May be restricted due to personal information, security of individuals.

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18514	ADMINISTRATION – MEETINGS – AGENDA AND MINUTES Official minutes and agenda of open meetings. GUIDANCE: - The archival requirement will be met by sending a copy to State Archives. - Final version - Approved formal minutes by the governing body.		PM	A	X	
SG18515	ADMINISTRATION – MEETINGS - CLOSED Certified agendas or tape recordings of closed meetings. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	A	X	RA –May be restricted depending on content.
SG18516	ADMINISTRATION – ORGANIZATION CHARTS Any documentation that shows program accountability.		PM	A	X	
SG18517	ADMINISTRATION – PLANS AND PLANNING RECORDS Plans, etc. relating to planning new or redefining programs, services, etc.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18518	ADMINISTRATION – PROPOSED LEGISLATION Drafts of proposed legislation and related correspondence.		AC +3, then destroy			
SG18520	ADMINISTRATION – STRATEGIC PLANS Information resources and operational strategic plans.		PM	A	X	
SG0308	TELEPHONE MESSAGES Incoming and outgoing telephone messages.		AC +2 months, then destroy			
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4003	DIVISION ADMINISTRATOR’S OFFICE – CORRESPONDENCE Correspondence pertaining to the Division Administrator's Office and/or his management assistant. Correspondence that is not included in or directly related to another record series in this schedule.		PM	R	X	RA – Access may be restricted due to content, Social Security numbers, etc., attorney-client, or proprietary information.
SG1821	ADMINISTRATIVE - CORRESPONDENCE - GENERAL TRACKING RECORDS Any record to track incoming / outgoing mail, correspondence, etc.		AC +1, then destroy			
SG1824	ADMINISTRATIVE - DESK CALENDARS / APPOINTMENT BOOKS Document appointments, itineraries, etc. of an agency official or employee.		CE +1, then destroy			RA -While active, these records may be restricted to secure officials and employees.
SG18519	ADMINISTRATION – STAFF MEETING MINUTES Minutes from internal agency staff meeting.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	CARTOGRAPHIC RECORDS Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.		PM			Contact State Archivist.
SG1825	ADMINISTRATIVE – DIRECTIVES Documents that officially initiate, amend, etc. general office procedures.		PM	A	X	
SG1879	EQUIPMENT - MANUALS		LA, then destroy			
SG1827	ADMINISTRATIVE - EXECUTIVE ORDERS Documents that initiate, etc. procedures that govern an agency and its programs.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18154	FISCAL - SIGNATURE AUTHORIZATIONS Records authorizing an employee to initiate financial transactions for the agency.		US +FE +3, then destroy			RA -Access may be limited to protect financial systems.
SG1835	ADMINISTRATIVE - OFFICE PROCEDURES Any manual, etc. that established standard office procedures.		PM	A	X	
SG1837	ADMINISTRATIVE - PHOTOCOPIER USE LOGS AND REPORTS		AC + 1, then destroy			
SG1839	ADMINISTRATIVE - PUBLICATION DEVELOPMENT FILES Background material, drafts, original artwork etc. used in publication.		AC +3, then destroy	R		RA -Some materials may have archival value, ex: artwork.

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SG1840	ADMINISTRATIVE - REQUISITIONS FOR IN-AGENCY COPY / PRINTING SERVICE Includes word processing and data processing.		AC +1, then destroy			
SG1842	ADMINISTRATIVE – RULES, POLICIES AND PROCEDURES Manuals, guidelines, etc. that set out rules, policies, etc. that govern an institution's programs.		PM	A	X	
SG1843	ADMINISTRATIVE - SPEECHES AND PAPERS Notes or text or speeches, papers, etc. delivered in conjunction with work.		PM	A	X	
SG18526	Annual Reports Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics; graphs; diagrams; member lists; descriptions of programs; events and exhibits; and annual financial statements.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18269	REPORTS - BIENNIAL OR ANNUAL AGENCY – NARRATIVE Narrative reports sent to the governor and legislature as required by statute.		PM	A	X	
SG18270	REPORTS - REPORTS ON PERFORMANCE MEASURES Reports on agency performance submitted to executive and legislative budget offices. GUIDANCE: - Cut-off date of July 1st of odd-numbered calendar years.		PM	A	X	
SG0631	TELEPHONE BILLS Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0632	TRAVEL AND TRANSPORTATION FILES Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1201	AGENCY COMMENDATION FILES Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.		PM			Contact State Archivist.
SG1202	COMPLAINT / INFORMANT FILES Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.		AC +7, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, ITSD, DATA PROCESSING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0401	ACTIVITY MONITORING RECORDS Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.		AV +1, then destroy			
SG0403	COMPUTER HARDWARE MAINTENANCE RECORDS Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.		LA +1, then destroy			
SG0405	COMPUTER UTILIZATION AND BILLING REPORTS Records showing computer use by each agency and any charges for space or time.		AC +5, then destroy			
SG0406	COMPUTER-PRODUCED OUTPUT Machine-produced reports showing transactions that were accepted, rejected, suspended, or processed.		AC +2, then destroy			

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Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, ITSD, DATA PROCESSING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0413	<p>SYSTEM DOCUMENTATION FOR PERMANENT DATABASES</p> <p>User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is considered permanent or otherwise significant.</p> <p>GUIDANCE: - Transfer to State Archives immediately.</p>		<p>PM</p> <p><i>Duplicate copies: AV, then destroy</i></p>			

LEGEND:
Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded
Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.
Vital: X-Record is vital for immediate operation of the office of origin or the institution
Guidance: RA-Refers to the security needs of a record series. Must be justified.

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