



Idaho Records Center

A Program of the Idaho State Archives

Idaho Board of Medicine Schedule of the Records Management Guide

(This Schedule Revised December, 2011)



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TABLE OF CONTENTS

GUIDELINES	A-9-1
INTRODUCTION TO RECORDS RETENTION SCHEDULE	A-9-2
HOW TO USE THESE SCHEDULES	A-9-4
ADMINISTRATIVE RECORDS	1
Acknowledgment Files	1
Administrative Hearing Transcripts.....	1
Administrative Rule Records	1
Administrative Rulemaking Files	2
Appeal and Review Records	2
Attorney General’s Opinions	2
Committee and Administrative Hearing Recordings	3
Executive Correspondence	3
Feasibility Studies	3
Correspondence (Routine)	4
Internal Committee and Conference Files	4
Litigation Case Files (Board as A Party)	5
Prelitigation Case Files	5
Mailing Lists	5
Management Improvement Reports	6
Performance Audit Reports	6
Policies and Procedures Manual	6
Policy and Procedure Case Files	6
Proposed Legislation Records	7
Publications	7
Records Disposition Files	7
Records Management Files	7
Records Transfer Sheets	8
Board and Commission Member Records.....	8
Board and Commission Members Personnel Records	8
Board and Commission Meeting Minutes	9
Board and Commission Formation and Organizational Records	9
Complaint and Disciplinary Records, Individual	10
Complaint and Investigation Records, Establishment	10
Special Complaint, Mediation or Human Rights Case File	11
Incomplete License Application Records	11
Licensee Rosters	12
Licensing Records, Individual	12
BUDGET RECORDS.....	13
Budget Reports, Annual	13
Budget Allocation Files	13
COMMUNICATION RECORDS	14
Telecommunications Reference Voucher and Billing Records	14
Telecommunications Service Agreements	14
Telecommunications Statistical Reports.....	14

PERMANENT DATABASE RECORDS	15
System Documentation for Permanent Databases	15
FACILITY MANAGEMENT RECORDS.....	16
Americans with Disabilities Act (ADA) Files	16
Building and Equipment Service Files	16
FINANCIAL RECORDS	17
Accounting Administrative Files.....	17
Accounts Receivable Invoices	17
Adjustment Forms.....	17
Bank Daily Totals	17
Bank Statements	18
Cost Report Data Files	18
Deposits with State Treasurer	18
Employee Travel Reimbursement Files	18
General Accounting Ledger	19
Inventory of Fixed Assets	19
Petty Cash Records.....	19
Declaration of Surplus Property.....	19
Property Disposal Case Files	19
Real Property Sale Files.....	20
Refund Requests.....	20
Telephone Bills	20
Travel and Transportation Files.....	21
FINANCIAL RECORDS	22
Board and Commission Members Personnel Records	22
Applications – Non-Classified Employment (Unsolicited).....	22
Applications – Classified Employment (Unsolicited)	23
Recruitment Files – Classified Positions	23
Medical Files – Terminated Employee	24
Personnel Files – Former Employees	25
Personnel Files – Active Employee Files	26
Personnel – Supervisor Working Files	27
MOTOR VEHICLE RECORDS	28
Motor Vehicle Automobile Titles	28
Insurance Adjuster’s Estimates Accident Report.....	28
Motor Vehicle Maintenance, Operation And Registration Files.....	28
Motor Vehicle Public Employee Operational Files	28
PAYROLL RECORDS	29
Administrative Payroll Reports	29
Leave Applications.....	29
Notices of Payroll Action.....	29
Retirement Benefits Assistance Files	29
Time and Attendance Reports	30

PUBLIC AFFAIRS RECORDS	31
Agency Commendation Files.....	31
Public Relations Files	31
Professional Contractual Agreement Files	31
SG NUMBER INDEX	L-1
INDEX	1

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	<p>A – Indicates the record is or may be permanent and have historic value</p> <p>R – Indicates a required review by the Records Manager to determine value</p>
Vital	X – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	<p>RA – Refers to the security needs of a record series. Must be justified.</p> <p><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></p> <p>Records may contain, but are not limited to, confidential, personal or proprietary information.</p>
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 Manage- ment	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, Confi- dential 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 BOARD OF MEDICINE, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0001	<p>ACKNOWLEDGMENT FILES</p> <p>Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply.</p> <p>GUIDANCE: - AC - After acknowledgement and/or referral.</p>		AC +1, then destroy			
SG0002	<p>ADMINISTRATIVE HEARING TRANSCRIPTS</p> <p>Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.</p>		PM			Contact State Archivist.
SG0004	<p>ADMINISTRATIVE RULE RECORDS</p> <p>Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.</p>		AC +4, 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 BOARD OF MEDICINE, ADMINISTRATIVE RECORDS

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SG0005	ADMINISTRATIVE RULEMAKING FILES Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.		AV or 1, then destroy			
SG1501	APPEAL AND REVIEW RECORDS Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation.		<i>Case Files:</i> AC +3, then PM <i>Working Files:</i> AC, then destroy			
SG0007	ATTORNEY GENERAL'S OPINIONS Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.		PM			Contact State Archivist.

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SG0008	<p>COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS</p> <p>Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings.</p> <p>NOTE: If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist.</p> <p>GUIDANCE: - AC - After meeting minutes have been approved.</p>		AC +1, then destroy			
SG0014	<p>EXECUTIVE CORRESPONDENCE</p> <p>Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.</p>		PM			Contact State Archivist.
SG0015	<p>FEASIBILITY STUDIES</p> <p>Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.</p>		PM			Contact State Archivist.

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SG0018	<p>CORRESPONDENCE (ROUTINE)</p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p>		AC +3, then destroy			
SG0022	<p>INTERNAL COMMITTEE AND CONFERENCE FILES</p> <p>Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.</p> <p>GUIDANCE: - AC - After termination of committee.</p>		AC +2, then destroy			

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SG0023	<p>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.</p> <p>For IBOM Reference ONLY (Board as a Party)</p>		PM			Contact State Archivist.
SG2000	<p>PRELITIGATION CASE FILES Files include, but are not limited to, correspondence, evidence, documents, exhibits, affidavits, responses & related information.</p> <p>GUIDANCE: No record of proceedings shall be kept. At the close of a proceeding, all evidence & documents shall be returned to the parties or destroyed. Retain summary of routine administrative functions for 3 years & then destroy.</p>		Summary of routine administrative functions: AC + 3, then destroy			
SG0024	<p>MAILING LISTS Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.</p>		US, 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
SG0025	MANAGEMENT IMPROVEMENT REPORTS Reports on analysis and implementation of programs and operation of those programs.		AC +10, then destroy			
SG0029	PERFORMANCE AUDIT REPORTS These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.		PM			Contact State Archivist.
SG0030	POLICIES AND PROCEDURES MANUAL Policies and procedures that govern the operation and administration of various programs within the organization.		PM			Contact State Archivist.
SG0031	POLICY AND PROCEDURE CASE FILES Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).		US +2, then destroy			

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SG0032	PROPOSED LEGISLATION RECORDS Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.		PM			Contact State Archivist.
SG0033	PUBLICATIONS Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.		PM			
SG0035	RECORDS DISPOSITION FILES Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.		PM			Contact State Archivist.
SG0036	RECORDS MANAGEMENT FILES Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.		PM			Contact State Archivist.

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SG0037	RECORDS TRANSFER SHEETS Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.		AC +5, then destroy			
SG1502	BOARD AND COMMISSION MEMBER RECORDS Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member.		AC +3, then destroy			
SG1503	BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to résumés; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.		AC +3, then PM			

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SG1504	BOARD AND COMMISSION MEETING MINUTES Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.		AC +3, then PM			
SG1505	BOARD AND COMMISSION FORMATION AND ORGANIZATIONAL RECORDS Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.		AC +3, then PM			

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SG1508	<p>COMPLAINT AND DISCIPLINARY RECORDS, INDIVIDUAL</p> <p>Series documents complaints brought against licensed and unlicensed individuals alleging professional practice violations and any resulting disciplinary actions. Types of complaints may include violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation.</p>		AC +5, then destroy			
SG1509	<p>COMPLAINT AND INVESTIGATION RECORDS, ESTABLISHMENT</p> <p>Series documents complaints brought against establishments alleging violation of laws and administrative rules that govern operation of the establishment. 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 +10, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1520	<p>SPECIAL COMPLAINT, MEDIATION OR HUMAN RIGHTS CASE FILE</p> <p>Series may include supplemental information. Information covered by Idaho Code §9-340C is exempt from disclosure.</p> <p>For IBOM Reference ONLY (Records documenting the facilitation, consultation, arbitration and resolution of complaints brought against licensed & un-licensed individuals alleging professional practice violations & potential disciplinary action. Note: These are records that document the efforts to solve disputes. They are legal issues, formal complaints or grievance records.)</p>		PM			Contact State Archivist.
SG1513	<p>INCOMPLETE LICENSE APPLICATION RECORDS</p> <p>Series documents the application process that was initiated but never completed by the applicant. Series may include incomplete, pending, inactive, or denied status applications. Series includes the records of applicants whose files may lack one or more of the following: application, fee, documents such as certificate of education, and examination scores. Applicants may also lack the necessary education and experience, have low exam scores, or fail to satisfy other qualifications.</p>		AV or 3, 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

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1515	LICENSEE ROSTERS Series documents persons who are licensed by the board. Records consist of a list which may include licensee name, address, and phone number; license status (current, lapsed, or inactive); type of license; license number; employer name, address, and phone number; method of licensing; dates of initial licensing, renewal, or expiration; audit number; and related documentation. Roster may be published in the form of a directory.		AC +3, then PM			
SG1517	LICENSING RECORDS, INDIVIDUAL Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashiering information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; résumés; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.		LA or 3, then destroy			

LEGEND:

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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
SG0101	BUDGET REPORTS, ANNUAL Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.		PM			Contact State Archivist.
SG0104	BUDGET ALLOCATION FILES Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.		AC +3, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0303	TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.		AC + 3, then destroy			
SG0304	TELECOMMUNICATIONS SERVICE AGREEMENTS Copies of agreements with background data and other records relating to agreements for telecommunications services.		AC + 4, then destroy			
SG0306	TELECOMMUNICATIONS STATISTICAL REPORTS Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.		AC + 5, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, PERMANENT DATABASE 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><i>GUIDANCE:</i> - Transfer to State Archives immediately.</p>		PM <i>Duplicate copies:</i> AV, 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

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, FACILITY MANAGEMENT RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0501	AMERICANS WITH DISABILITIES ACT (ADA) FILES Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.		AC +15, then destroy			
SG0504	BUILDING AND EQUIPMENT SERVICE FILES Requests for building and equipment maintenance services, excluding fiscal copies.		FE +3, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0601	ACCOUNTING ADMINISTRATIVE FILES Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0602	ACCOUNTS RECEIVABLE INVOICES Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0603	ADJUSTMENT FORMS Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0605	BANK DAILY TOTALS Daily report from bank that is used for reconciliation. GUIDANCE: - Retain by the State Treasurer's Office.	State Treasurer's Office	AC +1, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0606	BANK STATEMENTS Canceled checks, debit/credit memoranda, deposit slips, and monthly reconciliations. GUIDANCE: - Retain by the State Treasurer's Office.	State Treasurer's Office	AC +3, then destroy			
SG0613	COST REPORT DATA FILES Ledgers and forms used to accumulate data for use in cost reports. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0614	DEPOSITS WITH STATE TREASURER Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0615	EMPLOYEE TRAVEL REIMBURSEMENT FILES Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel. 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
SG0620	GENERAL ACCOUNTING LEDGER General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary. GUIDANCE: - Retain by agency 7 years or after audit.		AC +7, then destroy			
SG0621	INVENTORY OF FIXED ASSETS These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.		AC +2, then destroy			
SG0627	PETTY CASH RECORDS Records which verify all monies received or expended through a petty cash account. Includes cash receipts, adding machine tapes, daily accounting records, reconciliation, transmittals, etc. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG1001	DECLARATION OF SURPLUS PROPERTY Form required by the Board of Examiners indicated what property an agency wishes to surplus.		AC +3, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1002	<p>PROPERTY DISPOSAL CASE FILES</p> <p>Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			
SG1003	<p>REAL PROPERTY SALE FILES</p> <p>Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership</p>		PM			Contact State Archivist
SG0628	<p>REFUND REQUESTS</p> <p>Form signed by the customer which requests a refund of monies paid to the agency.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			
SG0631	<p>TELEPHONE BILLS</p> <p>Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			

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SG0632	<p>TRAVEL AND TRANSPORTATION FILES</p> <p>Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, HUMAN RESOURCE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1503	<p>BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS</p> <p>Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to résumés; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.</p> <p><u>For IBOM Reference ONLY</u> <i>(It is the responsibility of the State Controller's Office (SCO), PERSI, the State Insurance Fund, the Department of Administration Office of Insurance Management and Division of Human Resources (DHR) to appropriately maintain certain official state files as well as payroll, pension, insurance, benefit information and employment history. Additional official state records are kept by the above Agencies.)</i></p> <p><i>(The Board maintains an employee's active personnel file. May retain or destroy reference copies of these documents. Reassess for retention if significant information is added to a copy.)</i></p>		AC +3, then PM			
SG753	<p>APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)</p> <p>Unsolicited applications for jobs that are not currently being filled may be destroyed.</p>		<p><i>Unsuccessful Applicants:</i> AC +4, then destroy</p> <p><i>Successful Applicants:</i> AC +5, then destroy</p>			

LEGEND:
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APPENDIX 9 – IDAHO BOARD OF MEDICINE, HUMAN RESOURCE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0752	<p>APPLICATIONS - CLASSIFIED EMPLOYMENT (UNSOLICITED)</p> <p>Unsolicited applications from individuals requesting employment directly through the agency. Since each agency cannot accept unsolicited applications directly (must first go through DHR), there is no requirement to retain unsolicited applications.</p>		None; forward to DHR upon receipt			
SG0782	<p>RECRUITMENT FILES - CLASSIFIED POSITIONS</p> <p>Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation.</p> <p>NOTE: The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency.</p> <p>GUIDANCE:</p> <ul style="list-style-type: none"> - Non-classified positions, retain for 4 years, then destroy. - Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records). 		AC +4, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, HUMAN RESOURCE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0765	<p>MEDICAL FILES - TERMINATED EMPLOYEE</p> <p>Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area.</p> <p>NOTE: These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have their own retention).</p> <p>GUIDANCE: - If involved in court case, retain until settlement plus 5 years, then destroy. - Citation(s): IC 41-2115; IC 72-601; IC 72-603; IC 72-701; IC 72-701; IC 72-706.</p>		AC +5, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, HUMAN RESOURCE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0770	<p>PERSONNEL FILES - FORMER EMPLOYEES</p> <p>Agency copy of employee’s employment history. May contain application, résumé, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history.</p> <p>NOTE: Office of Group Insurance does not receive a copy of the “Beneficiary Designation/Change of Beneficiary/Change Of Name” form, so the agency retains the original.</p> <p>GUIDANCE: - Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3.</p>		AC +5, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, HUMAN RESOURCE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0771	<p>PERSONNEL FILES - ACTIVE EMPLOYEE FILES</p> <p>The following documents may be purged from employee files after they have reached their individual minimum document retention periods outlined below. This process is included to allow HR the option to eliminate individual documents from active files as they become obsolete.</p> <p>A. Payroll Deduction Forms: (1) <i>W-4's</i> (29 CRF 51636) (2) <i>Flexible Spending</i> (Original goes to OGI; Business Requirement)</p> <p>B. Medical Applications (Original goes to OGI; Business Requirement)</p> <p>C. Insurance Beneficiary Changes: (1) <i>PERSI</i> (Original goes to PERSI; Business Requirement) (2) <i>Life Insurance</i> (US or employee is approved for long term disability, at which time the original is sent to the OGI; Business Requirement)</p>		<p><i>Items:</i></p> <p>A.(1): US or 4 (whichever is later), then destroy</p> <p>A.(2) US, then destroy</p> <p>B: US, then destroy</p> <p>C.(1) US, then destroy</p> <p>C.(2) US, then destroy</p>			

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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
SG0771 Cont.	<p>(3) <i>Supplemental Insurance (NCPERS, AFLAC, etc.)</i> (Original goes to OGI; Business Requirement)</p> <p>D. Veterans Status Form (After form has been entered into statewide payroll system)</p> <p>NOTE: It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis.</p> <p>GUIDANCE: - Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3</p>		<p>C.(3) US, then destroy</p> <p>D: AC +60 days, then destroy.</p>			
SG2001	<p>PERSONNEL - SUPERVISOR WORKING FILES</p> <p>Unofficial personnel/ employee files kept by supervisor for reference at the section level (official file is retained in HR). Contains copies of Performance Reports, Evaluations, miscellaneous notes/comments. Letters of Appreciation, etc. Used for reference when preparing for annual performance reports and evaluations.</p>		AV + 3, then destroy			

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, MOTOR VEHICLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0801	MOTOR VEHICLE AUTOMOBILE TITLES Records which prove state ownership of the vehicle.		Retain until vehicle is sold and then transfer to buyer			
SG0804	INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT Adjuster's reports on vehicle repair estimates following an accident For IBOM Reference ONLY Incident involving a state owned motor vehicle.		AC +3, then destroy			
SG0809	MOTOR VEHICLE MAINTENANCE, OPERATION AND REGISTRATION FILES Maintenance and operating records, including those relating to service, repair, gas and oil consumption, dispatching and scheduling, and copies of legal registrations required by law to be maintained with each state vehicles. GUIDANCE: - AC - Usually for the lifetime of the vehicle.		AC, then destroy			
SG0807	MOTOR VEHICLE PUBLIC EMPLOYEE OPERATIONAL FILES Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.		AC +5, 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 BOARD OF MEDICINE, PAYROLL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0901	ADMINISTRATIVE PAYROLL REPORTS Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.		AC +3, then destroy			
SG0911	LEAVE APPLICATIONS Applications for leave and supporting papers relating to request for and approval of employee leave.		AC +6 months, then destroy			
SG0914	NOTICES OF PAYROLL ACTION Notices which document all payroll actions. GUIDANCE: - AC - Until notices are made part of official agency personnel file.		AC, then destroy			
SG0917	RETIREMENT BENEFITS ASSISTANCE FILES Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.		AC +1, 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

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APPENDIX 9 – IDAHO BOARD OF MEDICINE, PAYROLL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0923	<p>TIME AND ATTENDANCE REPORTS</p> <p>State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, 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 BOARD OF MEDICINE, PUBLIC AFFAIRS RECORDS

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.
SG1206	PUBLIC RELATIONS FILES Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.		PM			Contact State Archivist.
SG1108	PROFESSIONAL CONTRACTUAL AGREEMENT FILES Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.		AC +3, 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.

SG0001.....	1	SG0627.....	19
SG0002.....	1	SG0628.....	20
SG0004.....	1	SG0631.....	20
SG0005.....	2	SG0632.....	21
SG0007.....	2	SG0752.....	23
SG0008.....	3	SG0753.....	22
SG0014.....	3	SG0765.....	24
SG0015.....	3	SG0770.....	25
SG0018.....	4	SG0771.....	26
SG0022.....	4	SG0782.....	23
SG0023.....	5	SG0801.....	28
SG0024.....	5	SG0804.....	28
SG0025.....	6	SG0807.....	28
SG0029.....	6	SG0809.....	28
SG0030.....	6	SG0901.....	29
SG0031.....	6	SG0911.....	29
SG0032.....	7	SG0914.....	29
SG0033.....	7	SG0917.....	29
SG0035.....	7	SG0923.....	30
SG0036.....	7	SG1001.....	19
SG0037.....	8	SG1002.....	20
SG0101.....	13	SG1003.....	20
SG0104.....	13	SG1108.....	31
SG0303.....	14	SG1201.....	31
SG0304.....	14	SG1206.....	31
SG0306.....	14	SG1501.....	2
SG0413.....	15	SG1502.....	8
SG0501.....	16	SG1503.....	8, 22
SG0504.....	16	SG1504.....	9
SG0601.....	17	SG1505.....	9
SG0602.....	17	SG1508.....	10
SG0603.....	17	SG1509.....	10
SG0605.....	17	SG1513.....	11
SG0606.....	18	SG1515.....	12
SG0613.....	18	SG1517.....	12
SG0614.....	18	SG1520.....	11
SG0615.....	18	SG2000.....	5
SG0620.....	19	SG2001.....	27
SG0621.....	19		

A

Accounting Administrative Files ----- 17
 Accounts Receivable Invoices ----- 17
 Acknowledgment Files ----- 1
 Adjustment Forms ----- 17
 Administrative Hearing Transcripts ----- 1
 Administrative Payroll Reports ----- 29
 Administrative Rule Records -----1
 Administrative Rulemaking Files ----- 2
 Agency Commendation Files -----31
 Americans with Disabilities Act (ADA) Files -- 16
 Appeal and Review Records -----2
 Applications - Classified Employment
 (Unsolicited) -----23
 Applications - Non-Classified Employment
 (Unsolicited) -----22
 Attorney General’s Opinions----- 2

B

Bank Daily Totals -----17
 Bank Statements -----18
 Board and Commission Formation and
 Organizational Records -----9
 Board and Commission Meeting Minutes ---- 9
 Board and Commission Member Records ---- 8
 Board and Commission Members
 Personnel Records -----8, 22
 Budget Allocation Files ----- 13
 Budget Reports, Annual ----- 13
 Building and Equipment Service Files ----- 16

C

Committee and Administrative Hearing
 Recordings ----- 3
 Complaint and Disciplinary Records,
 Individual -----10
 Complaint and Investigation Records,
 Establishment -----10
 Correspondence (Routine) ----- 4
 Cost Report Data Files -----18

D

Declaration of Surplus Property ----- 19
 Deposits with State Treasurer -----18

E

Employee Travel Reimbursement Files ----- 18
 Executive Correspondence ----- 3

F

Feasibility Studies -----3

G

General Accounting Ledger -----19

I

Incomplete License Application Records ---- 11
 Insurance Adjuster’s Estimates
 Accident Report ----- 28
 Internal Committee and Conference Files ---- 4
 Inventory of Fixed Assets ----- 19

L

Leave Applications ----- 29
 Licensee Rosters -----12
 Licensing Records, Individual -----12
 Litigation Case Files (Board as A Party) ----- 5

M

Mailing Lists ----- 5
 Management Improvement Reports ----- 6
 Medical Files - Terminated Employee ----- 24
 Motor Vehicle Automobile Titles -----28
 Motor Vehicle Maintenance, Operation and
 Registration Files ----- 28
 Motor Vehicle Public Employee
 Operational Files ----- 28

N

Notices of Payroll Action -----29

P

Performance Audit Reports -----6
 Personnel - Supervisor Working Files -----27

Personnel Files - Active Employee Files -----	26
Personnel Files - Former Employees -----	25
Petty Cash Records -----	19
Policies and Procedures Manual -----	6
Policy and Procedure Case Files -----	6
Prelitigation Case Files -----	5
Professional Contractual Agreement Files ---	31
Property Disposal Case Files -----	20
Proposed Legislation Records -----	7
Public Relations Files -----	31
Publications -----	7

R

Real Property Sale Files -----	20
Records Disposition Files -----	7
Records Management Files -----	7
Records Transfer Sheets -----	8
Recruitment Files - Classified Positions -----	23
Refund Requests -----	20
Retirement Benefits Assistance Files -----	29

S

Special Complaint, Mediation or Human Rights Case File -----	11
System Documentation for Permanent Databases -----	15

T

Telecommunications Reference Voucher and Billing Records -----	14
Telecommunications Service Agreements ---	14
Telecommunications Statistical Reports ----	14
Telephone Bills -----	20
Time and Attendance Reports -----	30
Travel and Transportation Files -----	21