



## Idaho Records Center

A Program of the Idaho State Archives

*Idaho Public Utilities Commission  
Schedule of the  
Records Management Guide*

(This Schedule Revised January, 2012)



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# APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

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## 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><b>A</b> – Indicates the record is or may be permanent and have historic value</p> <p><b>R</b> – Indicates a required review by the Records Manager to determine value</p>
Vital	<b>X</b> – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	<p><b>RA</b> – Refers to the security needs of a record series. Must be justified.</p> <p><b><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></b></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 <sup>st</sup> )
FE	Fiscal Year End (June 30 <sup>th</sup> )
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](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	<b>PERIODIC BUDGET REPORTS</b>  Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	<b>LOSS CONTROL INSPECTION REPORTS</b>  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.  <b>GUIDANCE:</b> - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Manage- ment	US +12, then destroy			
SG18312	<b>STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS</b>  Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal.  <b>GUIDANCE:</b> - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			<b>RA</b> -Access: FERPA, Confi- dential Record.
SG18559	<b>COMPUTER SYSTEMS - HARDWARE DOCUMENTATION</b>  Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems.  <b>GUIDANCE:</b> - Series may relate to property management schedules.		PM	A	X	<b>RA</b> -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 PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1504	<p><b>BOARD AND COMMISSION MEETING MINUTES</b></p> <p>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.</p> <p>For PUC Reference Only. (10 yrs. Plus current yr., then archive)</p>		AC +3, then PM			

**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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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1501	<p><b>APPEAL AND REVIEW RECORDS</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <ol style="list-style-type: none"> <li>1. Formal Utilities Case Files – 3 yrs, then archive Permanent records</li> <li>2. Indexed Case Files on Microfilm – 1913 to 1968 records – Permanent records Transferred to State Archives in March 2003</li> <li>3. Cogeneration Contracts and Cogeneration Reports of Utilities – Permanent Records</li> <li>4. Original General Orders – Permanent – Stored in File Room for easy reference</li> <li>5. Original Rules Orders – Permanent – Stored in File Room for easy reference</li> <li>6. Certificates of Public Convenience and Necessity for Utilities in Idaho – Permanent – Stored in File Room for easy reference</li> </ol>		<p><i>Case Files:</i> AC +3, then PM</p> <p><i>Working Files:</i> AC, then destroy</p>			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1519	<p><b>REPORTS AND STUDIES</b></p> <p>Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation.</p> <p>For PUC Reference Only.  <i>(IPUC Annual Reports to Governor and various reports requested by the Legislature) – Permanent Records – Retain one complete set of annual reports from 1913 to the present at State Archives Comm. Secretary keeps an office copy from 1980 to present.</i></p> <p><b>GUIDANCE:</b>                      - Transfer one copy of final report, product or study to State Archives after 3 years.                      - AC - Working papers, background documentation and draft material: After final document produced, or as required by government or agency.</p>		<p><i>Final:</i> AC +3, then PM</p> <p><i>Working:</i> AC +3, then destroy</p>			

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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 PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0018	<p><b>CORRESPONDENCE (ROUTINE)</b></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> <p>For PUC Reference Only.</p> <ol style="list-style-type: none"> <li>1. Commissioners' General Correspondence Files</li> <li>2. Misc. Files of Utilities, including letters of transmittals</li> <li>3. Public Meeting Notices</li> </ol>		AC +3, then destroy			
SG0307	<p><b>TELEPHONE MESSAGE REGISTERS</b></p> <p>Message registers, logs, performance reports, daily load reports, and related or similar records.</p> <p>For PUC Reference Only. (Phone Message Pads (carbon copies))</p>		AC +6 months, then destroy			

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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 PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1202	<p><b>COMPLAINT / INFORMANT FILES</b></p> <p>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.</p> <p>For PUC Reference Only. (Responses to Complaints/Inquiries from Governor's Office, Legislature, Congressional Offices and Public)</p>		AC +7, then destroy			
SG0010	<p><b>DAILY ACTIVITY SCHEDULES</b></p> <p>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. 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.</p> <p>For PUC Reference Only. (Commissioners' Calendars)</p>		AC +1, then destroy.			

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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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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2406	<b>ORIGINAL (CURRENT) TITLE 61 UTILITIES TARIFFS</b>  Stored in notebooks in Fiscal Division		PM			
SG2407	<b>ORIGINAL TITLE 62 TELEPHONE COMPANY PRICE LISTS</b>  Destroy when no longer current. (Copy retained with case file if a case is opened.)		AC then destroy			
SG1205	<b>PRESS RELEASES</b>  A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.		PM			Contact State Archivist.

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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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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0006	<p><b>AGENCY WRITTEN HISTORIES</b></p> <p>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. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and</p>		PM			Contact State Archivist.
SG0038	<p><b>TECHNICAL REFERENCE FILES</b></p> <p>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.</p> <p>For PUC Reference Only.                      (Accident Reports – filed under name of utility – 5 yrs – Stored in File Room)</p>		AV or 1, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0008	<p><b>COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS</b></p> <p>Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings.</p> <p>For PUC Reference Only. (Decision Meeting Audio Recordings (Electronic) – Stored on computer. – Keep 1 yr. after minutes have been approved then delete.)</p> <p><b>NOTE:</b> 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><b>GUIDANCE:</b> - AC - After meeting minutes have been approved.</p>		AC +1, then destroy			
SG0020	<p><b>INCOMING DOCUMENT LOG</b></p> <p>Records which provide detailed information on incoming documents that require distribution or action.</p> <p>For PUC Reference Only. (Correspondence Log (Electronic))</p>		AC +1, then destroy			
SG0029	<p><b>PERFORMANCE AUDIT REPORTS</b></p> <p>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.</p>		PM			Contact State Archivist.

**LEGEND:**

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0036	<b>RECORDS MANAGEMENT FILES</b> 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.
SG0037	<b>RECORDS TRANSFER SHEETS</b> 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			
SG0034	<b>PUBLIC RECORD REGISTER SHEETS</b> 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.  For PUC Reference Only. <b>(Retain permanently for reference)</b>		Retain by agency for reference			

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SG0042	<p><b>WORKING PAPERS</b></p> <p>Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.</p>		AV, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION - FISCAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0601	<b>ACCOUNTING ADMINISTRATIVE FILES</b>  Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0602	<b>ACCOUNTS RECEIVABLE INVOICES</b>  Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then Destroy			
SG0603	<b>ADJUSTMENT FORMS</b>  Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG2405	<b>ASSESSMENT AND ASSESSMENT SUPPORT</b>		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
SG0604	<b>AUDITOR'S FINANCIAL REPORT</b>  Report prepared by internal or external auditors as a result of a financial audit.		PM			Contact State Archivist.
SG0610	<b>CASH RECEIPTS / CREDIT CARD RECEIPTS</b>  Agency copy of receipts given to customers who pay cash to the agency for services rendered.  A. Cash Receipts - Retain by agency 3 years or after audit.  B. Credit Card Receipts - Retain by agency 18 months or after audit.		A. AC +3, then Destroy  B. AC +18 months, then destroy			
SG0612	<b>COST ACCOUNTING REPORTS</b>  Reports maintained by receiving and reporting units, which document how much it costs an entity to provide a service and the fee they charge for that service.  <b>GUIDANCE:</b> - 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
SG0613	<b>COST REPORT DATA FILES</b>  Ledgers and forms used to accumulate data for use in cost reports.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0614	<b>DEPOSITS WITH STATE TREASURER</b>  Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0615	<b>EMPLOYEE TRAVEL REIMBURSEMENT FILES</b>  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.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0616	<p><b>EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES</b></p> <p>Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.</p> <p><b>GUIDANCE:</b> - Retain by agency 2 years or after audit.</p>		AC +2, then destroy			
SG0617	<p><b>EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES</b></p> <p>Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.</p> <p><b>GUIDANCE:</b> - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			
SG0620	<p><b>GENERAL ACCOUNTING LEDGER</b></p> <p>General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary.</p> <p><b>GUIDANCE:</b> - Retain by agency 7 years or after audit.</p>		AC +7, 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
SG0621	<b>INVENTORY OF FIXED ASSETS</b>  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			
SG0622	<b>JOURNAL ENTRY RECORDS</b>  Entries listing adjustments to an organization's credit or debit financial statements.		AC +10, then destroy			
SG0626	<b>PERSONNEL ACCOUNTING ADMINISTRATIVE FILES</b>  Files used for workload and personnel management purposes. Includes correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.  <b>GUIDANCE:</b> - Retain by agency 2 years or after audit.		AC +2, then destroy			
SG0628	<b>REFUND REQUESTS</b>  Form signed by the customer which requests a refund of monies paid to the agency.  <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG0631	<p><b>TELEPHONE BILLS</b></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><b>GUIDANCE:</b> - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			
SG0632	<p><b>TRAVEL AND TRANSPORTATION FILES</b></p> <p>Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.</p> <p><b>GUIDANCE:</b> - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			
SG0633	<p><b>VENDOR PAYMENT VOUCHERS – CANCELED</b></p> <p>Documentation used to input data about canceled warrants</p> <p><b>GUIDANCE:</b> - Retain 7 years or after audit.</p>		AC + 7, then destroy			

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SG0634	<p><b>WARRANT REQUESTS</b></p> <p>Expenditures processed by state agencies to the Office of the State Controllers statewide accounting system to pay vendors for supplies and/or services the vendors have provided to the agencies.</p> <p><b>GUIDANCE:</b> - Retain by agency 3 years or after audit.</p>		AC + 3, then destroy			
SG0637	<p><b>WARRANT / CHECK – LOST</b></p> <p>Legal documentation explaining and justifying a lost warrant, so that a new one can be issued.</p> <p><b>GUIDANCE:</b> - Retain by the Office of State Controller for 7 years or after audit.</p>	Office of State Controller	AC +7, then destroy			
SG1104	<p><b>PURCHASING FILES</b></p> <p>Files which document transactions of \$10,000 or less and construction contracts under \$2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments.</p> <p>Files which document transactions of more than \$10,000 and construction contracts exceeding \$2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.</p>		AC +3, then destroy			

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SG1107	<b>LEASING CONTRACT FILES</b> Building or equipment leases and related records documenting agreements, services, and payments.		AC +3, then destroy			
SG1108	<b>PROFESSIONAL CONTRACTUAL AGREEMENT FILES</b> 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			
SG1110	<b>PURCHASE REQUISITION FILES</b> Requisitions for supplies and equipment for current inventory.		AC +3, then destroy			
SG1114	<b>TAX EXEMPTION FILES</b> Tax exemption certificates and related records.		AC +3, then destroy			

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SG0101	<b>BUDGET REPORTS, ANNUAL</b> Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.		PM			Contact State Archivist.
SG0104	<b>BUDGET ALLOCATION FILES</b> Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.		AC +3, then destroy			
SG0105	<b>BUDGET BACKGROUND RECORDS</b> Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc. Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.		AC +3, then destroy			
SG0107	<b>BUDGET POLICY FILES</b> Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.		PM			Contact State Archivist.

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SG0108	<p><b>GRANT CASE FILES</b></p> <p>Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets.</p> <p><b>GUIDANCE:</b> - AC - After grant has expired, unless otherwise noted in the grant.</p>		AC +3, then destroy.			
SG0110	<p><b>PERIODIC BUDGET REPORTS</b></p> <p>Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.</p>		FE +3, then destroy.			
SG0501	<p><b>AMERICANS WITH DISABILITIES ACT (ADA) FILES</b></p> <p>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.</p>		AC +15, then destroy			
SG0504	<p><b>BUILDING AND EQUIPMENT SERVICE FILES</b></p> <p>Requests for building and equipment maintenance services, excluding fiscal copies.</p>		FE +3, then destroy			

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SG0511	<b>SPACE UTILIZATION REPORTS</b> Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.		US, then destroy			
SG0801	<b>MOTOR VEHICLE AUTOMOBILE TITLES</b> Records which prove state ownership of the vehicle.		Retain until vehicle is sold and then transfer to buyer			
SG0802	<b>CERTIFICATES OF MILEAGE</b> Certificates issued by the dealer/manufacture certifying the mileage is accurate on each vehicle purchased by the state.		AC +3, then destroy			
SG0803	<b>GASOLINE SALES TICKETS</b> Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.		AC +3, then destroy			

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SG0804	<b>INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT</b> Adjuster's reports on vehicle repair estimates following an accident.		AC +3, then destroy			
SG0806	<b>MOTOR VEHICLE COST FILES</b> Motor vehicle ledgers and work sheets providing cost and expense data.		AC +5, then destroy			
SG0807	<b>MOTOR VEHICLE PUBLIC EMPLOYEE OPERATIONAL FILES</b> Records relating to individual employee operations of government owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.		AC +5, then destroy			
SG0808	<b>MOTOR VEHICLE RELEASE FILES</b> Records relating to the transfer, sale, donation, or exchange of state vehicles.  <b>GUIDANCE:</b> - AC - Vehicle leaves custody.		AC +5, then destroy			

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SG0809	<p><b>MOTOR VEHICLE MAINTENANCE, OPERATION AND REGISTRATION FILES</b></p> <p>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.</p> <p><b>GUIDANCE:</b> - AC - Usually for the lifetime of the vehicle.</p>		AC, then destroy			
SG1001	<p><b>DECLARATION OF SURPLUS PROPERTY</b></p> <p>Form required by the Board of Examiners indicated what property an agency wishes to surplus.</p>		AC +3, then destroy			
SG1002	<p><b>PROPERTY DISPOSAL CASE FILES</b></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><b>GUIDANCE:</b> - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0750	<p><b>I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION</b></p> <p>Documentation of employment eligibility compliance with the United States Department of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires.</p> <p><b>GUIDANCE:</b>                      - Citation(s): 8 CFR 274A.2.</p>		AC +3, then destroy			
SG0753	<p><b>APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)</b></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>			

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SG0760	<p><b>GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.</b></p> <p>Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention.</p> <p><b>NOTE:</b> SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year.</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- SCO is responsible for retention of original garnishment for 7 years after paid.</li> <li>- Citation(s): Business Requirement.</li> </ul>		AC +3, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0765	<p><b>MEDICAL FILES - TERMINATED EMPLOYEE</b></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><b>NOTE:</b> 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><b>GUIDANCE:</b>            - 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 PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

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SG0768	<p><b>PERSI TRANSMITTAL DOCUMENTS / REPORT</b></p> <p>Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records.</p> <p><b>NOTE:</b> PERSI auditors have access to documents from their office.</p> <p><b>GUIDANCE:</b> - Citation(s): Business Requirement.</p>		US, then destroy			
SG0770	<p><b>PERSONNEL FILES - FORMER EMPLOYEES</b></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><b>NOTE:</b> 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><b>GUIDANCE:</b> - 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			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

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SG1503	<p><b>BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS</b></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>		AC +3, then PM			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0771	<p><b>PERSONNEL FILES - ACTIVE EMPLOYEE FILES</b></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><b>A. Payroll Deduction Forms:</b>                      (1) <i>W-4's</i> (29 CRF 51636)</p> <p>(2) <i>Flexible Spending</i> (Original goes to OGI; Business Requirement)</p> <p><b>B. Medical Applications</b> (Original goes to OGI; Business Requirement)</p> <p><b>C. Insurance Beneficiary Changes:</b>                      (1) <i>PERSI</i> (Original goes to PERSI; Business Requirement)</p> <p>(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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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
<p><b>SG0771</b> <b>Cont.</b></p>	<p><b>(3) Supplemental Insurance (NCPERS, AFLAC, etc.)</b> (Original goes to OGI; Business Requirement)</p> <p><b>D. Veterans Status Form</b> (After form has been entered into statewide payroll system)</p> <p><b>NOTE:</b> 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><b>GUIDANCE:</b> - 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>			
<p><b>SG0780</b></p>	<p><b>PROBLEM SOLVING (GRIEVANCE) FILES – EMPLOYEE</b></p> <p>Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc.</p> <p><b>GUIDANCE:</b> - Citation(s): Business Requirement.</p>		<p>AC +5, then destroy</p>			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – HUMAN RESOURCES

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SG0782	<p><b>RECRUITMENT FILES - CLASSIFIED POSITIONS</b></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><b>NOTE:</b> 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><b>GUIDANCE:</b></p> <ul style="list-style-type: none"><li>- Non-classified positions, retain for 4 years, then destroy.</li><li>- Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records).</li></ul>		AC +4, 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
SG0784	<p><b>REPORTS - DIVISION OF HUMAN RESOURCES AND CONTROLLERS OFFICE</b></p> <p>Miscellaneous reports generated by DHR and SCO, including Alphabetical List Of Employees, Appointment Type Summary, Classified Code List by Agency/Employees, Deduction Register, Deleted Positions, Health and Dental Insurance Registers, Leave, Life Insurance, Miscellaneous Employee Reports, PCN Expenditure, Payroll Register, Position Lists, etc.</p> <p><b>NOTE:</b> SCO is responsible for retention of original reports.</p> <p><b>GUIDANCE:</b> - AV - Destroy when no longer required by the Agency. - Citation: Business Requirement.</p>		AV, then destroy			
SG0786	<p><b>TRAINING RECORDS – EMPLOYEE</b></p> <p>This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc.</p> <p><b>GUIDANCE:</b> - Citation: Business Requirement.</p>		AC +5, then destroy			

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SG0787	<p><b>TRAINING RECORDS – MISCELLANEOUS</b></p> <p>This series includes various records created during the training process. May include nomination for training, training registration, pass/fail information, etc.</p> <p><b>NOTE:</b> Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency.</p> <p><b>GUIDANCE:</b> - Citation: Business Requirement.</p>		AC +2, then Destroy			
SG0788	<p><b>TRAINING PROFILES - PROGRAM ADMINISTRATION</b></p> <p>This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.</p> <p><b>GUIDANCE:</b> - Citation: Business Requirement.</p>		AC +2, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – INFORMATION SYSTEMS SECTION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0403	<p><b>COMPUTER HARDWARE MAINTENANCE RECORDS</b></p> <p>Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.</p>		LA +1, then destroy			
SG0407	<p><b>DATA DOCUMENTATION FOR NON-PERMANENT DATABASES</b></p> <p>Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. <i>This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.</i></p>		US +1, then destroy			

<b>SG0410</b>	<b>PROGRAM SOURCE CODE</b>  Automated program code which generates the machine-language instructions used to operate an automated information system. Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.		AC +3, then destroy			
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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – INFORMATION SYSTEMS SECTION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
<b>SG0412</b>	<b>SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES</b>  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. <i>This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.</i>  <b>GUIDANCE:</b> - US - After superseded or until deletion of database.		US +1, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – RAILROAD

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	<p><b>CARTOGRAPHIC RECORDS</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <ol style="list-style-type: none"> <li>1. Railroad System Diagram Maps</li> <li>2. Railroad Maps Associated with Railroad Cases</li> </ol>		PM			Contact State Archivist.

SG0038	<b>TECHNICAL REFERENCE FILES</b>  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.  For PUC Reference Only. <ol style="list-style-type: none"> <li>1. Railroad Illness &amp; Injury Summaries – Destroy after 3 years</li> <li>2. Hazardous Materials Info (includes WIPP and WEIB Publications) – Destroy after 2 years</li> <li>3. Copies of FRA Inspection Reports – Destroy after 3 years</li> <li>4. Copies of Safety Reports Received from the Railroads (Originals are filed with the FRA) – Destroy after 3 years</li> <li>5. Copies of Accident Reports Received from the Railroads – Destroy after 3 years</li> </ol>		AV or 1, then destroy			
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RECORDS MANAGEMENT GUIDE

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APPENDIX 9 - Records Retention Schedule for State Government Agencies

Revised: 1/12

APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, ADMINISTRATION – RAILROAD

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
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<b>SG1519</b>	<p><b>REPORTS AND STUDIES</b></p> <p>Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation.</p> <p>For PUC Reference Only.</p> <p><b>1. Railroad Annual Reports – Permanent – Transfer to State Archives</b></p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- Transfer one copy of final report, product or study to State Archives after 3 years.</li> <li>- AC - Working papers, background documentation and draft material: After final document produced, or as required by government or agency.</li> </ul>		<p><i>Final:</i> AC +3, then PM</p> <p><i>Working:</i> AC +3, then destroy</p>			
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SG1501	<p><b>APPEAL AND REVIEW RECORDS</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <p>1. Railroad Case Files – Permanent – Transfer to State Archives after 5 years.</p>		<p>Case Files: AC +3, then PM</p> <p>Working Files: AC, then destroy</p>			
SG0002	<p><b>ADMINISTRATIVE HEARING TRANSCRIPTS</b></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> <p>For PUC Reference Only.</p> <p>1. Original Reporter's Transcripts of IPUC Hearings on Railroad Cases – Permanent – Store with related RR Case File and transfer to State Archives after 5 years.</p>		PM			Contact State Archivist.

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SG1502	<b>BOARD AND COMMISSION MEMBER RECORDS</b>  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.  For PUC Reference Only. 1. FRA Correspondence		AC +3, then destroy			
SG2404	<b>COMPLAINTS REGARDING RAILROAD CROSSINGS</b>		AC + 3 then destroy			

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SG0018	<p><b>CORRESPONDENCE (ROUTINE)</b></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> <p>For PUC Reference Only.</p> <p>1. Attorney Correspondence</p>		AC +3, then destroy			
SG2408	<p><b>COPIES OF ATTORNEY MEMORANDUMS</b></p> <p>Includes Decision Memos* &amp; Deliberation Memos</p> <p><b>GUIDANCE:</b> Destroy after 3 years. ("Note: <u>Original</u> Decision Memos are component of Decision Meeting agendas, which are permanent records.)</p>		AC + 3, then destroy			
SG0007	<p><b>ATTORNEY GENERAL'S OPINIONS</b></p> <p>Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.</p> <p>For PUC Reference Only.</p> <p>1. Attorney Legal Memorandums, Opinions, and Guidelines</p>		PM			Contact State Archivist.

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SG1501	<p><b>APPEAL AND REVIEW RECORDS</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <p>1. Legal Briefs – Appeal Cases - Permanent</p>		<p><i>Case Files:</i> AC +3, then PM</p> <p><i>Working Files:</i> AC, then destroy</p>			
SG0002	<p><b>ADMINISTRATIVE HEARING TRANSCRIPTS</b></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> <p>For PUC Reference Only.</p> <p>1. Attorney Copies of Transcripts of IPUC Hearings – Stored in Legal Library for easy reference by attorneys.</p>		PM			Contact State Archivist.

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SG0038	<p><b>TECHNICAL REFERENCE FILES</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <p>1. <b>Fortnightly Magazine – As of 1/1/97, State Law Library no longer retains its own copies.</b></p>		AV or 1, then destroy			
SG0042	<p><b>WORKING PAPERS</b></p> <p>Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.</p>		AV, then destroy			

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SG0038 Cont.	<p>7. Federal Energy Guides – Current Working Set – Permanent – Located in Utilities Div. When updates arrive, outdated Guidelines are recycled.</p> <p>8. Wall Street Information (Dow Jones, Key Interest Rates, Money Rates) – 10 yrs – Located in Utilities Div. and filed in Auditing Section Supervisor’s office. Destroy after 10 years.</p> <p>9. Idaho Supply Outlook Reports (Published by U.S. Dept. of Agriculture, NRCS) – 2 yrs – Located in Utilities Div. Retain 2 yrs or until administrative need ends, and then destroy.</p>					
SG0018	<p><b>CORRESPONDENCE (ROUTINE)</b></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> <p>For PUC Reference Only.</p> <p>1. Consultant Files (Letter requests to become consultants to PUC) – 2 yrs – Located in Utilities Div. Destroy after 2 yrs.</p> <p>2. Letters/Memorandums/Miscellaneous files – 3 yrs – Located in Utilities Div. Destroy after 3 yrs.</p>		AC +3, then destroy			

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APPENDIX 9 – IDAHO PUBLIC UTILITIES COMMISSION, UTILITIES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2400	<b>CANCELLED TELEPHONE TARIFF ADVICES - TITLE 61</b>  Located in Utilities Div.		AC + 5, then destroy			
SG2401	<b>TITLE 61 TARIFFS (ELECTRIC, GAS AND WATER) – CURRENT AND CANCELLED</b>  Located in Utilities Div.		PM			
SG0923	<b>TIME AND ATTENDANCE REPORTS</b>  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.  For PUC Reference Only. <ol style="list-style-type: none"> <li>Staff Blue Time Sheets (Generated by Utilities Division, not fiscal time sheets) – 5 yrs – Located in Utilities Div. Retain 5 yrs. or until time of audit, then destroy.</li> </ol> <b>GUIDANCE:</b> - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG2409	<b>UTILITIES DIVISION WORKING FILES/OPEN AND CLOSED</b>  <b>GUIDANCE:</b> 5 yrs Office – 10 yrs Record Center – Located in Utilities Div. & at Idaho Records Management. Destroy 15 yrs after final order date. (Note: Rate case working files are kept until company's next rate case, which could be longer than 15 yrs.)		AC + 15, then destroy			
SG2402	<b>ELECTRONIC RECORDS OF COMPLAINTS</b>  Electronic complaint records are electronically archived and taken off-line after 4 yrs.		PM			Contact State Archivist.
SG2403	<b>PRINTED COMPLAINT RECORDS WITH SUPPORTING DOCUMENTATION</b>  Letters, bills, etc.  Printed copies are kept behind the receptionist's desk and are shredded after 4 yrs to protect confidentiality.		AC + 4, then destroy			

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SG0201	<p><b>CARTOGRAPHIC RECORDS</b></p> <p>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.</p> <p>For PUC Reference Only.</p> <p>1. Utilities Area Maps – Located in Utilities Div. Filed in working file or in Engineering Section.</p>		PM			Contact State Archivist.

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