



Idaho Records Center

A Program of the Idaho State Archives

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

(This Schedule Revised May, 2012)



C.L. "BUTCH" OTTER, GOVERNOR

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

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

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

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

INTRODUCTION TO RECORDS RETENTION SCHEDULE

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

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

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

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

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

FUNCTIONS AND TYPES OF RECORDS

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

HIERARCHY OF RECORDS WITHIN AN AGENCY

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

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

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

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

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

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

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

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

CREATING AN AGENCY’S RETENTION SCHEDULE

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

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

HOW TO USE THE RETENTION SCHEDULE FORMAT

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

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

SAMPLE RECORDS

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

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

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, AUDITS AND INVESTIGATIONS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0001	ACKNOWLEDGMENT FILES Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply. GUIDANCE: - AC - After acknowledgement and/or referral.		AC +1, then destroy			
SG0002	ADMINISTRATIVE HEARING TRANSCRIPTS 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.		PM			Contact State Archivist.
SG0003	ADMINISTRATIVE REFERENCE / READING FILES Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.		AV or 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

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
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.			
SG0005	<p>ADMINISTRATIVE RULEMAKING FILES</p> <p>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.</p>		AV or 1, 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
SG0006	<p>AGENCY WRITTEN HISTORIES</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 correspondence.</p>		PM			Contact State Archivist.
SG0007	<p>ATTORNEY GENERAL'S OPINIONS</p> <p>Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.</p>		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			
SG0009	<p>COMMITTEE AND CONFERENCE FILES</p> <p>Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.</p>		PM			Contact State Archivist.

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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
SG0010	DAILY ACTIVITY SCHEDULES Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. 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.		AC +1, then destroy.			
SG0014	EXECUTIVE CORRESPONDENCE Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.		PM			Contact State Archivist.
SG0015	FEASIBILITY STUDIES 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.		PM			Contact State Archivist.

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SG0016	<p>FINDING AIDS</p> <p>Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.</p> <p>GUIDANCE: - AC - Until records to which they pertain are destroyed or destroy when no longer needed for reference.</p>		AC, then destroy			
SG0017	<p>FORMS DEVELOPMENT FILES</p> <p>Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.</p>		US +1, then destroy			
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			

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SG0020	INCOMING DOCUMENT LOG Records which provide detailed information on incoming documents that require distribution or action.		AC +1, then destroy			
SG0021	INTERNAL ADMINISTRATIVE CORRESPONDENCE		AC +2, then destroy			
SG0022	INTERNAL COMMITTEE AND CONFERENCE FILES Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency. GUIDANCE: - AC - After termination of committee.		AC +2, then destroy			
SG0023	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.		PM			Contact State Archivist.

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SG0024	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.		US, then destroy			
SG0025	MANAGEMENT IMPROVEMENT REPORTS Reports on analysis and implementation of programs and operation of those programs.		AC +10, then destroy			
SG0026	ORGANIZATIONAL FILES Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.		PM			Contact State Archivist.
SG0028	PENDING FILES Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. GUIDANCE: - AC - Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.		AC			

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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			
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.

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SG0033	<p>PUBLICATIONS</p> <p>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.</p> <p>GUIDANCE: - Creating agency shall transfer one copy to State Archives when published.</p>		PM			
SG0034	<p>PUBLIC RECORD REGISTER SHEETS</p> <p>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.</p>		Retain by agency for reference			
SG0035	<p>RECORDS DISPOSITION FILES</p> <p>Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.</p>		PM			Contact State Archivist.

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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.
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			
SG0038	TECHNICAL REFERENCE FILES These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.		AV or 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
Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.
Vital: X-Record is vital for immediate operation of the office of origin or the institution
Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, AUDITS AND INVESTIGATIONS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0042	<p>WORKING PAPERS</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			

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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