



## Idaho Records Center

A Program of the Idaho State Archives

### *Idaho State Liquor Division Retention Schedule of the Records Management Guide*

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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 STATE LIQUOR DIVISION, ACCOUNTING/FINANCE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2100	<b>LIQUOR STORE AUDITS</b>  Audits conducted by District Managers or Store Managers regarding State owned liquor stores and Contract Liquor Stores. Retain current audit plus 2 previous audits. (Contract Liquor Store Audits, State Liquor Store Audits, Store Audit Files – Self Audits)		AC + 2, then destroy			
SG2101	<b>FINANCIAL REPORTING</b>  Financial reports detailing financial actives, including annual report support data, interim reports, profit distribution, sales reports, and financial analysis. Retain for 3 years or after audit. (Banking/AP/TB/ Printouts, Bar sales by Dollars, Bar sales reports, consolidated daily sales report, contract fees, daily store information – final contractor + POS, detail transaction journal, financial statements, monthly F/S (Detailed Comparative Balance Sheets), Monthly Military Sales, Monthly reports, Product Sales Reports, Profit Distribution, Sales Analysis Report, Weekly, Sales by Hour of Day, Spreadsheet W/Supporting Documents – Other Income, State Liquor Store Reports, Surcharge Reports, Unbilled P.O.)		AC + 3, then destroy			
SG2102	<b>GOVERNMENT STATISTICAL REPORTING</b>  Statistical reports submitted to government agencies, including backup data and compilations. Retain for 3 years after fiscal year end. (Census Reports)		FE + 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 STATE LIQUOR DIVISION, ACCOUNTING/FINANCE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2103	<p><b>PRODUCT INVENTORY</b></p> <p>Records related to product inventories maintained for internal control and audit purposes, including cycle count reports, inventory disposal forms, obsolescence reports, and returns.</p> <p><b><u>For ISLD Reference ONLY</u></b>                      (570 Transfers, Adjustment Order, Bailment Activity Detail Report, Bailment Withdrawal Activity Report, Bi-monthly Bailment Adjustment, Bottle Reconciliation, Claim Order, Closing Documents, Consolidated Statement – Bailment Inventory Withdrawal and Adjustments, Daily Releases to Warehouse, Final Physical Count Report, Inventory Adjustment Report – Store, Inventory Intran Revals, Liquor Salesman Withdrawal, Monthly Buy In Import Report, Monthly Store Inventory, Morning Cut Review Reports, Out of Stock Reports, Pick Ticket – Store Orders, Product Movement Report, Product Transfer, Product Transfer Form S109, Special Product Requests from Liquor Units, State Liquor Store Transaction Summary, Stock Replenishment Report, Summary Invoice Report – Warehouse Inventory, TNT, Velocity Reports, Warehouse Stock Reval, Weekly Transaction Summary)</p>		AC + 3, then destroy			
SG2104	<p><b>PRODUCT ORDERS</b></p> <p>Records related to product orders maintained for internal control and audit purposes.</p> <p><b><u>For ISLD Reference ONLY</u></b>                      (Liquor Orders from Stores, Store Liquor Orders – Fax and Finalized)</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 STATE LIQUOR DIVISION, ACCOUNTING/FINANCE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2105	<p><b>PRODUCT PRICING AND SELECTION</b></p> <p>Records related to the selection, pricing and potential sale of products to customers and licensees, including activities regarding product listings.</p> <p><b><u>For ISLD Reference ONLY</u></b>            Administrative Meetings / Materials (Product Selection), Bottle Sales Ranking, Christmas Orders, Comparison by Bottle Sales Report, Daily Summaries, Listing Meeting Details, Meetings – Listing, Monthly Product Pricing Changes, New Product Referendum, New Product Reports, Product by Gallon Reports, Product Listing Meeting Books, Quarterly Price Books, Special Purchase Allowance (SPA), State Liquor Stores – Ports and Sherries)</p>		AC + 3, then destroy			
SG2106	<p><b>SALES TAX RETURNS AND WORK PAPERS</b></p> <p>Records documenting payment of state sales taxes, including supporting documents and work papers.</p>		AC + 3, 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 STATE LIQUOR DIVISION, ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2107	<p><b>OFFICE AND EQUIPMENT MANUALS</b></p> <p>User and operating manuals, guidelines or handbooks for office furniture and equipment, including general equipment, computers and copiers. Retain until equipment is sold or becomes obsolete.</p>		FE + Sold or Obsolete, then destroy			
SG2108	<p><b>ASSOCIATION MEMBERSHIPS</b></p> <p>Records related to participation in associations or other groups, including organizational bylaws, meeting minutes, correspondence, and participant notes. Retain material created by the association for 3 years or until administrative need ends.</p> <p><b><u>For ISLD Reference ONLY</u></b>                      Alcohol Education Materials, Buy Idaho, Idaho Wine Growers &amp; Grape Growers (Wine Commission) Correspondence, Beer Institute File, (Discus – Advertising Marketing Code, Binge Drinking, Code of Responsible Practice Brochure, Correspondence, Excise Taxes, Historical, Privatization, Sunday Sales) ), Joint Committee of the States, NABCA – (Control Distribution Survey and Materials))</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.

APPENDIX 9 – IDAHO STATE LIQUOR DIVISION, HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2109	<p><b>EMPLOYEE PERSONNEL FILE – SUPERVISOR COPY</b></p> <p>Records related to an individual employee retained by a supervisor. (Official employee personnel file to be retained by Human Resources.) Retain until employee terminates or transferred to another supervisor.</p> <p><b><u>For ISLD Reference ONLY</u></b>            Confidential Personnel / Retained by Supervisor, District Manager Personal Information, Employee Action Files – Supervisor Copy, Employee (Appraisal, Evaluations – Supervisors Copy, Performance Evaluations – Supervisor Copy, Personnel Files – DM Copy), Individual Employee Files / Retained by Supervisor, Interview Questions &amp; Notes – Hired Individuals, New Hire Information – Interview Questions &amp; Notes, Notes on Employees / Retained by Supervisor, Store Manager Evaluations – DM Copy.</p>		???			

**LEGEND:**

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

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

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

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

APPENDIX 9 – IDAHO STATE LIQUOR DIVISION, LEGAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2110	<p><b>LEGAL INQUIRIES AND CLAIMS – NON-LITIGATED</b></p> <p>Records related to and documentation of non-litigated claims including advertising, vendor issues and insurance claims (non employee benefit), etc. Retain for 3 years after resolution.</p> <p><b><u>For ISLD Reference ONLY</u></b>                      (Legal – Advertising Standards / Marketing Code – NABCA, COSTCO Issue (2003), Direct Shipping, Privatization)</p>		AC + 3, then destroy			
SG2111	<p><b>CONTRACT LIQUOR STORES AGREEMENTS AND SUPPORTING DOCUMENTATION</b></p> <p>Executed contracts and agreements between the Idaho State Liquor Division and the contract store including any supporting information, back ground checks, insurance policies and surety bonds. Retain for 3 years after contract is canceled or terminated.</p> <p><b><u>For ISLD Reference ONLY</u></b>                      Background checks completed – Idaho State Police, Contract Fees, Insurance Information, Master Special Distributor Agreement, New contractor Applications, Special Distribution Agreements, Store Contractor Applications, Store Contractor Termination Letter – Copies)</p>		AC + 3, then destroy			
SG2112	<p><b>FEDERAL REGISTRATIONS, PERMITS, LICENSES, AND CORRESPONDENCE</b></p> <p>Business applications and actual licenses, permits, certificates and registrations required by the Federal Government. Retain for 6 years after expiration.</p>		AC + 6, then destroy			

**LEGEND:**  
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