

*Idaho Department of Environmental Quality  
Retention Schedule of the  
Records Management Guide*

(This Schedule Revised August 2013)



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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 under the Idaho State Historical Society, 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	<b>A</b> – Indicates the record is or may be permanent and have historic value <b>R</b> – Indicates a required review by the Records Manager to determine value
Vital	<b>X</b> – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	<b>RA</b> – Refers to the security needs of a record series. Must be justified.  <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>  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 <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 Records Manager.

### 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 Records Manager 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 Records Manager.

## 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 Record Center. 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 Records Manager, 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://history.idaho.gov/records-center>



**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 Management	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, Confidential 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 – DEPARTMENT OF ENVIRONMENTAL QUALITY, AIR QUALITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0014	<b>EXECUTIVE CORRESPONDENCE</b> 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.	Air Quality Division	PM			
SG6002	<b>EMISSIONS INVENTORY INPUT AND SOURCE RECORDS</b> Area, biogenic, mobile, non-road, or point source specific documents and spreadsheets; mobile or non-road related model input and output; vehicle miles traveled (VMT) information; calculator program files; area source activity data spreadsheets and related information; industry census documents; highway statistics documents; inventory preparation plans and related documents; final emissions inventory reports; area, mobile, non-road or biogen P/EIC source work plans and final reports.	Air Quality Division	PM			EPA EIS & Input and Source Schedule 002, 171
SG6004	<b>MONITORING PLANS AND ASSESSMENTS</b> Includes Network Assessment documents, Annual Work Plan documents, Site or project specific plans, Training Plans, Sampling and Analysis Plans, and Audit Reports.	Air Quality Division	PM			EPA Schedule 237
SG6005	<b>MONITORING CERTIFICATION SHEET</b> Regional Office specific certification documents, certification documents for sensors to include equipment manufacturer, model number, serial number, certified by, certification date, and expiration date.	Air Quality Division	PM			EPA Air Quality System Schedule 496

**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 – DEPARTMENT OF ENVIRONMENTAL QUALITY, AIR QUALITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG6006	<b>AIR QUALITY MONITORING DATA</b> Includes raw monitoring data collected from agency operated air monitors. The data generally consists of location and pollutant specific information with associated date and time stamps	Air Quality Division	PM			EPA Schedule 501
SG6007	<b>AIR QUALITY SOURCE (FACILITY) FILES</b> Compliance records include asbestos, CBI correspondence, emission and compliance reports, excess emissions, inspection reports, source tests, Title V and Non-Title V FCEs/PCEs, other Pre-application modeling document include modeling protocol, modeling protocol approval letter Project document include application, correspondence, DEQ developed, fee, modeling file, permit, public comment, statement of basis.	Air Quality Division	PM			EPA Schedule 419
SG6008	<b>METEOROLOGICAL/ CLIMATOLOGIC</b> Raw monitoring data collected from agency operated meteorological monitors. The data generally consists of location and weather specific information with associated date and time stamps. The records can consist of model-ready meteorological records; raw data that has been pre-processed for use in modeling	Air Quality Division	PM			EPA Schedule 501
SG6009	<b>STATE IMPLEMENTATION PLAN (SIP)</b> State Implementation Plan documents include plans, correspondence, technical analyses, etc. related to designations, infrastructure, regional haze, rules, nonattainment, maintenance, re-designation, interstate transport, new federal requirements, etc.	Air Quality Division	PM			IDAPA 58.01.01

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SG6010	<b>AIRSHED MANAGEMENT INPUT AND SOURCE RECORDS</b> This includes MASP documents that do not have Clean Air Act driven retention schedules. These records include: internal management plans and related documents; documents related to management of the crop residue burning program; documents related to toxic air pollutant analyses, guidance, etc.; greenhouse gas documents; etc.	Air Quality Division	AV +12			
SG6067	<b>ENVIRONMENTAL ENFORCEMENT</b> Enforcement records include compliance conference summary, consent order tracking form, consent orders, enforcement concurrence request, field NOV, file note, notice of violation, notice to comply, notice to comply tracking form, penalty worksheet, stipulated penalty letters, termination letter, warning letter	Air Quality Division Waste Division	Administrative case file AC +10 Judicial case files, routine legal action AC+20 Landmark or precedent case -PM			EPA Schedule 207

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, DEQ WIDE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0005	<b>ADMINISTRATIVE RULEMAKING FILES</b> Records 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, or 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.	DEQ-wide	AV or 1, then destroy			
SG0005	<b>WATER QUALITY ADMINISTRATIVE RULEMAKING FILES</b> 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.  <b><u>FOR DEQ USE ONLY</u></b>	DEQ-wide	AV or 1, then destroy			
SG0008	<b>COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS</b> Audio and video recordings which document what transpired at committee and board meetings, conferences and administrative hearings  a. Minutes that were taken b. Minutes that were Not taken	DEQ-wide	a. Destroy 1 year after meeting minutes approved  b. PM			
SG0009	<b>COMMITTEE AND CONFERENCE FILES</b> 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.	DEQ-wide	PM			

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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	<b>DAILY ACTIVITY SCHEDULES</b> Records regarding non-exempt, non-executive level State employees containing substantive information relating to official activities 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 are included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointment, telephone calls, trips, visits, and other activities of employees	DEQ-wide	AC +1			
SG0015	<b>FEASIBILITY STUDIES</b> 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.	DEQ-wide	PM			
SG0018	<b>CORRESPONDENCE (ROUTINE)</b> 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. Records of a general nature, which would be created in the course of administering agency programs. Includes electronic mail that communicates the above.	DEQ-wide	AC+3			
SG0020	<b>INCOMING DOCUMENT LOG</b> Records which provide detailed information on incoming documents that require distribution or action	DEQ-wide	AC +1 year			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0025	<b>MANAGEMENT IMPROVEMENT REPORTS</b> Reports on analysis, implementation and operation of those programs.	DEQ-wide	AC +10			
SG0029	<b>PERFORMANCE AUDIT REPORTS</b> 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.	DEQ-wide	PM			
SG0030	<b>POLICY AND PROCEDURES MANUAL</b> Policies and procedures that govern the operation and administration of various programs within the organization.	DEQ-wide	PM		X	
SG0033	<b>PUBLICATIONS</b> 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. NOTE: One copy of each document will be transferred to the State Archives when published.	DEQ-wide	PM	A		

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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
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 (nonrecord) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.	DEQ-wide	AV or 1 yr			
SG0042	<b>WORKING PAPERS</b> 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.	DEQ-wide	AV, then destroy			
SG0308	<b>TELEPHONE MESSAGES</b> Written documentation of incoming and outgoing telephone messages when requested by caller.	DEQ-wide	AC +2 months			
SG0412	<b>SYSTEM DOCUMENTATION FOR NONPERMANENT DATABASES</b> User and operational documentation describing how an application system operated from a functional user and data processing point of view, including 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. NOTE: This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.	DEQ-wide	US +1			

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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
SG0911	<b>LEAVE APPLICATIONS</b> Applications for leave and supporting papers relating to request for and approval of employee leave.	DEQ-wide	AC +6 mos			
SG1315	<b>VISITOR CONTROL FILES</b> Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.	DEQ-wide	AC +2			
SG1519	<b>REPORTS AND STUDIES</b> Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities. 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.	DEQ Wide	PM			
SG1711	<b>EDUCATIONAL PROGRAM RECORDS</b> Series provides a record of administration of the agency's education and public outreach programs. The education program may include tours, lectures, workshops, electronic media, and other adult and children's events and activities. Records may include publicity and promotion records, reports, orientation and training class records, such as teaching packets, brochures, flyers, photographs, audio tapes, videotapes, class schedules, attendance rosters, and correspondence. Records may also include agreements and contracts. TRIM # D0119	DEQ-wide	AC +3, then PM			

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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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SG1712	<b>EXHIBIT RECORDS</b> Series documents the planning, development, installation and maintenance of temporary and permanent on-site and off-site exhibitions, research of materials and objects, and publication of exhibits. Records may include exhibit contracts, design and installation records, permanent and temporary exhibit inventory listings, exhibit catalogs, photographs and slides, exhibit scheduling records, brochures, and correspondence.	DEQ-wide	AC +3, then PM			
SG1720	<b>PUBLICATIONS, PROMOTIONAL</b> Publications distributed to the public to advertise services, programs, and activities. May include brochures, newsletters, activities calendars, schedules, special events flyers, and other records. TRIM # D0119	DEQ-wide	AC +3, then PM	A		
SG6011	<b>OFFICE ADMINISTRATION FILE</b> Records and data accumulated by offices relating to the internal administration or housekeeping activities of the office rather than the function(s) for which the office exists. Includes records related to the office organization, staffing, procedures and communications; the expenditure of funds, including budget papers day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; the use of office space and utilities; copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels), if not covered elsewhere.	DEQ-wide	AV or 2 years			
SG6012	<b>WORK PLANS</b> A scope of work comprised of tasks, outputs, deliverables and committed milestones dates describing the use of funds that are negotiated and agreed upon by the recipient and funding entity.	DEQ-wide	AV			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, DEQ WIDE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG6042	<b>GENERAL PUBLIC COMMENTS RECEIVED AND RESPONSES</b> Communications and supporting documentation related to responses to and public comments received during a public comment period unrelated to rulemaking, a specific facility or a specific project.	DEQ-wide	AV +4			SG0004
SG6066	<b>CITIZEN COMPLAINT</b> Consists of copies of requests for information or assistance with complaints or problems arising from EPA regulations or "whistle-blower" information on regulatory infractions or issues. Documents include phone notes, referrals, letters, copies of case log forms, action notes, or other related records. Media: P/E	DEQ-Wide	AC +1			EPA Schedule 259

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, DIRECTOR'S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0004	<b>ADMINISTRATIVE RULE RECORDS</b> Also known as the administrative record. Information DEQ 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 DEQ during the public comment period; DEQ's response to the public comment; DEQ's analysis of the public comment; and DEQ's report of its decision-making process. Also may include records and other information used by DEQ to support rule-making decisions. DEQ is required to file the administrative record and its responsive pleadings with the court when a rule is challenged	Director's Office	AC+4			Administrative Procedures Act; IC 67-5225
SG0023	<b>LITIGATION CASE FILES</b> 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.	Director's Office	PM			IC 67-5249
SG1206	<b>PUBLIC RELATIONS FILES</b> Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.	Director's Office	PM			
SG1301	<b>DEPARTMENTAL RECOVERY REPORTS</b> Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of test conducted under emergency plans.	Director's Office	PM			IC 9-340(B)(4)(b)

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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
SG1302	<b>DISASTER PLANNING FILES</b> Files used to prepare statewide plans for actions to address an emergency, e.g. fire, flood, earthquake, and other disasters.	Director's Office	PM		X	IC 9-340(B)(4)(b)
SG1655	<b>RECORDS REQUEST FILE</b> Consisting of public records requests control logs, case files and accounting records	Director's Office	AC +1			
SG1702	<b>ANNUAL REPORTS</b> Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics, graphs, diagrams, member lists, descriptions of programs, events and exhibits, and annual financial statements.	Director's Office	AC +3, then PM Duplicate			
SG1703	<b>BOARD MEMBER PERSONNEL RECORDS</b> Series documents the appointment or election and subsequent personnel actions for board members. Records may include appointment letters, resumes, applications, personnel action forms, job descriptions, and employee data sheets.	Director's Office	AC +3, then PM			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, DIRECTOR'S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1708	<b>DIRECTOR'S RECORDS</b> Series provides a record of the administrative activities of the agency director, such as executive leadership of the organization, financial and personnel management, policy development, approved budgets, public contact and lobbying. Records may include written correspondence to the public or other state and federal agencies, memos, and policies. Series also documents the activities and decisions of the board responsible for governing agency operations. Records of the board may include minutes, agendas, tape recordings, and board committee records. Records may also include constitution and bylaws, intergovernmental agreements, organizational charts, draft and approved budgets.	Director's Office	PM			IC 67-2344(1);
SG1709	<b>DIVISION AND REGIONAL OFFICE ADMINISTRATOR'S RECORDS</b> Series provides a record of the administrative activities of the division or regional office administrator, such as executive leadership of the division or regional office, financial and personnel management, policy development, budget development and approval, public contact and lobbying. Records may include minutes, correspondence, memos, policies, statistical and narrative reports, draft budget data, financial reports and division agendas.	Division Administrator's Offices and Regional Administrator's Offices	AV +6			
SG1845	<b>AGENCY STRATEGIC PLANS</b> Records which document the strategic plans of the agency.	Director's Office	PM		X	
SG4214	<b>MEMORANDUM OF UNDERSTANDING (MOU) AND MEMORANDUM OF AGREEMENT (MOA)</b> Set procedures required or services to be rendered between agencies, departments, or organizations. Includes reports, correspondence, and other records related to an MOU or MOA.	Director's Office	PM		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG6001	<b>PUBLIC RECORDS REQUEST PROGRAM ADMINISTRATION RECORDS</b> Consisting of correspondence related to the general administration of the public records request program and not kept as part of a public records request case file.	Director's Office	AV			
SG6045	<b>QUALITY ASSURANCE RECORDS</b> Internal and external quality assurance audit notifications, audit plans, audit checklists, surveillance documentation, audit reports, audit findings, responses to audit findings	Director's Office	AC +10			
SG6049	<b>DO NEPA Documents</b> This record series includes DEQ comments on environmental actions proposed by the Department of Energy (DOE) and the Navy in regards to the INL site under the National Environmental Policy Act (NEPA). The series also includes incoming correspondence from DOE and the Navy.	Director's Office	AV +5			
SG6056	<b>EMERGENCY RESPONSE INCIDENT</b> Includes incident reports, field reports, and related correspondence, photographs, assessments, and corrective actions.	Director's Office	AV or 5 years			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, ENVIRONMENTAL MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0403	<b>COMPUTER HARDWARE MAINTENANCE RECORDS</b> Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and microcomputers). Includes service/maintenance agreements.  <b><u>FOR DEQ USE ONLY</u></b>	Environmental Management & Information Division	US +1			
SG1203	<b>INDEXES AND CHECK LISTS</b> Bibliographies, checklists, and indexes of agency publications and news releases, except those used as indexes to public relations files.	Environmental Management & Information Division	US			
SG1205	<b>NEWS RELEASES AND DISPLAY ADS</b> A copy of prepared statements, announcements, or ads issued for distribution to the news media. A news release (press release) may be a textual record or a non-textual record such as a film or video sound recording. Media: E/P	Environmental Management & Information Division	PM			
SG1873	<b>SOFTWARE LICENSES AND MAINTENANCE AGREEMENTS</b> Records detailing licensing and maintenance agreements for software purchased by the agency. P/E	Environmental Management & Information Division	AC			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, FACILITIES MANAGEMENT

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.	Facilities Management	Destroy after 2 years			
SG0804	<b>INSURANCE ADJUSTER'S ESTIMATES ACCIDENT REPORT</b> Adjuster's reports on vehicle repair estimates following an accident. Media: Paper	Facilities Management	AV+3			
SG0808	<b>MOTOR VEHICLE RELEASE FILES</b> Records relating to the transfer, sale, donation, or exchange of state vehicles. Media: E/P	Facilities Management	Destroy 5 years after vehicle leaves custody			
SG0809	<b>MOTOR VEHICLE MAINTENANCE, OPERATION AND REGISTRATION FILES</b> 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 vehicle.	Facilities Management	Destroy when obsolete or upon decommission of vehicle, whichever is later			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, FACILITIES MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1002	<b>PROPERTY DISPOSAL CASE FILES</b> 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.	Facilities Management	Destroy after 3 years or following audit, whichever is sooner			
SG1307	<b>KEY ACCOUNTABILITY FILES</b> Files relating to accountability for keys issued, including keys to maximum security areas.	Facilities Management	PM			
SG1315	<b>VISITOR CONTROL FILES</b> Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.	DEQ-wide	AC +2			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, FISCAL OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0101	<b>BUDGET REPORTS, ANNUAL</b> Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.	Fiscal Office	PM			IC67-2203
SG0104	<b>BUDGET ALLOCATION FILES</b> Allocation and reallocation schedules, proposing monthly obligations under each authorized appropriation. Media: P/E	Fiscal Office	AC +3			IC67-3511
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. Media: P/E	Fiscal Office	AC +3			
SG0107	<b>BUDGET POLICY FILES</b> Correspondence or subject files of formally organized budget office's documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Fiscal Office	PM			IC67-3511

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, FISCAL OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0108	<p><b>GRANT CASE FILES</b> 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; allocations of funds and project budgets.</p> <p><u><b>FOR DEQ USE ONLY</b></u></p>	Fiscal Office	Non-Superfund, Lust or CERCLA-related: Destroy 3 years after grant has expired, unless otherwise noted in grant AC +10 Superfund related, AC + 5 Lust related			
SG0109	<p><b>GRANT CONTROL FILES</b> Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.</p>	Fiscal Office	US, then destroy			
SG0110	<p><b>PERIODIC BUDGET REPORTS</b> Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports. Media: P/E</p>	Fiscal Office	FE +3, then destroy			IC67-3511
SG0111	<p><b>UNSUCCESSFUL GRANT APPLICATION FILES</b> Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to a decision to reject a grant proposal.</p> <p><u><b>FOR DEQ USE ONLY</b></u></p>	Fiscal Office	Non-Superfund, Lust or CERCLA-related: Destroy 3 years after rejection and withdrawal of grant application AC +10 Superfund related, AC + 5 Lust related			

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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
SG0304	<b>TELECOMMUNICATIONS SERVICE AGREEMENTS</b> Copies of agreements with background data and other records relating to agreements for telecommunications Media: P/E	Fiscal Office	AC +4			
SG0601	<b>ACCOUNTING ADMINISTRATIVE FILES</b> Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. TRIM # D0109  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	AC +3, or after audit AC +10 Superfund related, AC + 5 Lust related			
SG0602	<b>ACCOUNTS RECEIVABLE INVOICES</b> Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency. Media: P/E	Fiscal Office	AC +3 years or after audit			
SG0603	<b>ADJUSTMENT FORMS</b> Appropriation adjustments created by agency accounting officers and sent to the Division of Financial Management for approval. TRIM # D0109  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	AC +3, or after audit AC +10 Superfund related, AC + 5 Lust related			IC67-2302,

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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
SG0610	<p><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. TRIM # D0108</p> <p><b><u>FOR DEQ USE ONLY</u></b></p>	Fiscal Office	A. AC audit +3, B. AC audit +18 months AC +10 Superfund related, AC + 5 Lust related			IC59-1014, c, Superfund EPA Schedule 091
SG0614	<p><b>DEPOSITS WITH STATE TREASURER</b> Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office. TRIM # D0108</p>	Fiscal Office	AC +3			IC59-1014, c,
SG0615	<p><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.</p> <p><b><u>FOR DEQ USE ONLY</u></b></p>	Fiscal Office	Non-Superfund, Lust or CERCLA-related: AC +3 years or after audit AC +10 Superfund related, AC + 5 LUST related			
SG0622	<p><b>JOURNAL ENTRY RECORDS</b> Entries listing adjustments to an organization's credit or debit financial statements.</p>	Fiscal Office	AC+10			

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SG0631	<b>TELEPHONE BILLS</b> Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, LUST or CERCLA-related: AC +3 years or after audit, whichever is sooner AC +10 Superfund related, AC + 5 LUST related			
SG0632	<b>TRAVEL AND TRANSPORTATION FILES</b> Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, LUST or CERCLA-related: AC +3 years or after audit, whichever is sooner AC +10 Superfund related, AC + 5 LUST related			
SG0634	<b>WARRANT REQUESTS</b> 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.  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, LUST or CERCLA-related: Destroy after 7 years or after audit, whichever is sooner AC +10 Superfund related, AC + 5 LUST related			IC67-2302 IC67-1041
SG0635	<b>WARRANT REQUESTS USED IN THE PURCHASE OF REAL PROPERTY</b> Documentation of the purchase of real estate by a government agency.	Fiscal Office	PM			

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SG0637	<b>WARRANT / CHECK -LOST</b> Legal documentation explaining and justifying a lost warrant, so that a new one can be issued. TRIM # D0106	Fiscal Office	AC +7, then destroy			Office of State Controller, retain for 7 years or after audit
SG1101	<b>BIDDERS LIST OR CARD FILES</b> Lists of acceptable bidders who are eligible for contracting with the State to provide products or services. Media: P/E	Fiscal Office	AC +1. then destroy			
SG1102	<b>CANCELLED SOLICITATION FILES</b> CONTRACED SERVICES Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to the awarding of a contract. Includes pre-solicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.	Fiscal Office	AC +3, then destroy			
SG1102	<b>CANCELLED SOLICITATION FILES</b> Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to the awarding of a contract. Information includes pre-solicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation. TRIM # D0107  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, Lust or CERCLA-related: AC +3 AC +10 Superfund related, AC + 5 Lust related			EPA Schedule 091

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, FISCAL OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1103	<b>CONTRACT APPEALS CASE FILES</b> Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records. Media: P/E	Fiscal Office	AC+3			
SG1104	<b>CONTRACT PURCHASING FILES</b> Files which document transactions of \$10,000 or less and construction contracts under \$2,000. Files include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments. Files which document transactions of more than \$10,000 and construction contracts exceeding \$2,000. Files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments. Media: P/E	Fiscal Office	AC+3			
SG1107	<b>LEASING CONTRACT FILES</b> Building or equipment leases and related records documenting agreements, services, and payments.  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-superfund, LUST or CERCLA-related: AC +3 AC +10 Superfund related, AC + 5 LUST related			IC67-5717 IDAPA 38.05.01 Rule 21
SG1108	<b>PROFESSIONAL CONTRACTUAL AGREEMENTS 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.  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, LUST or CERCLA-related: AC +3 AC +10 Superfund related, AC + 5 LUST related			40CFR31.36

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SG1110	<b>PURCHASE REQUISITION FILES</b> Requisitions for supplies and equipment for current inventory.	Fiscal Office	AC +3			
SG1112	<b>SUCCESSFUL BIDS AND PROPOSALS FILES</b> CONTRACTED SERVICES Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor. Media: P/E	Fiscal Office	AC+3			
SG1112	<b>SUCCESSFUL BIDS AND PROPOSALS FILES</b> Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor. TRIM # D0107  <b><u>FOR DEQ USE ONLY</u></b>	Fiscal Office	Non-Superfund, Lust or CERCLA-related: AC +3 AC +10 Superfund related, AC + 5 Lust related			EPA Schedule 091
SG1113	<b>SUPPLY MANAGEMENT FILES</b> Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature). Media: P/E	Fiscal Office	AC +3			

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SG1115	<b>UNOPENED BIDS AND PROPOSALS</b> Solicited and unsolicited bids and proposals to provide products or services which, due to funding or administrative reevaluation, are no longer required by the agency or will not be open to the bidding process. Media: P/E	Fiscal Office	AC +1			
SG1116	<b>UNSUCCESSFUL BIDS AND PROPOSALS FILES</b> Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor. TRIM # D0107	Fiscal Office	Non-Superfund, Lust or CERCLA-related: AC +2 AC +10 Superfund related, AC + 5 Lust related			EPA Schedule 091
SG6041	<b>SUPERFUND STATE EMPLOYEE TIME AND ATTENDANCE REPORTS</b> Superfund 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 accounting under flextime systems.	Fiscal Office	AC +10 Superfund AC + 5 LUST			EPA Schedule 091

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0026	<b>ORGANIZATIONAL FILES</b> 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 or projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.	Human Resources	PM			
SG0750	<b>I-9'S EMPLOYMENT ELIGIBILITY VERIFICATION</b> Documentation of employment eligibility compliance with the United States Dept. of Justice Immigration and Naturalization Service. The retention period applies to forms completed for all new hires or previous forms completed on rehires. TRIM # D0126	Human Resources	AC +3			8 CFR 274A.2 and IC 9-340(C)
SG0754	<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS</b> Records generated out of compliance, reporting or complaints filed with the two agencies. May contain reports of OFCCP violations and EEOC reports, investigations, case files, complaints, etc. TRIM # D0126	Human Resources	AC +3			IC 9-340(C)
SG0760	<b>GARNISHMENTS-TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.</b> 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 deduction, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention. TRIM # D0126	Human Resources	AC +3			IC 9-340(C)

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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
SG0765	<b>MEDICAL FILES – TERMINATED EMPLOYEE</b> After closed, terminate 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. NOTE: These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have their own retention). TRIM # D0126	Human Resources	AC +5			IC 41-2115; IC 72  601; IC 72-603; IC  IC 72-706  and IC 9-340(C)
SG0770	<b>EMPLOYEE FILES</b> Agency copy of employee’s employment history. May contain application, resume, 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. NOTE: Office of Insurance Management does not receive a copy of the “Beneficiary Designation/Change of Beneficiary/Change of Name” form, so the agency retains the original. TRIM # D0126	Human Resources	AC +5			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

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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
SG0770	<p><b>PERSONNEL FILES – FORMER EMPLOYEES</b>                      Agency copy of employee’s employment history. May contain application, resume, 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. NOTE: Office of Insurance Management does not receive a copy of the “Beneficiary Designation/Change of Beneficiary/Change of Name” form, so the agency retains the original.                      TRIM # D0126</p> <p><b><u>FOR DEQ USE ONLY</u></b></p>	Human Resources	AC +15			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; and IC 9-340(C)
SG0901	<p><b>ADMINISTRATIVE PAYROLL REPORTS</b>                      Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.</p>	Human Resources	AC +3			

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SG0906	<b>FULL-TIME EMPLOYEE REPORT</b> Report which informs users of the full-time equivalent count for each agency. Media: E (downloaded to disk, stored in HR office)	Human Resources	AC +3, then destroy			
SG0913	<b>LEAVE SUMMARY REPORT</b> Reports that document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file. Media: E (downloaded to disk, stored in HR office)	Human Resources	AC, then destroy			IC 9-340(C)
SG0923	<b>TIME AND ATTENDANCE REPORTS</b> Non-Superfund and/or Leaking Underground Storage Tanks (LUST) 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.	Human Resources	AC +3			IC 9-340(C)
SG18757	<b>INTERN/VOLUNTEER FILES</b> Agency documentation consisting of request for intern or volunteer, work plan, intern performance review, and other documentation related to the intern/volunteer request. Media: P	Human Resources	AC + 3			

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SG1909	<p><b>MEDICAL MONITORING FILES</b>                      These include records of substance or other potential causes of medical conditions to which the employees may have been exposed. They may include physical examinations of the employee while they are/were employed and records of medical examinations after the end of the employment.</p>	Human Resources	AC +30			IC 9-340(C):

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, INL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG6050	<b>INL ENVIRONMENTAL SURVEILLANCE DATA</b> Documentation that complement, supplement, and independently verify data generated by existing DOE programs, for the purpose of conduction routine and special environmental sampling to monitor the environmental presence of contaminants originating from INL Site facilities or programs. Documents include identifying processes monitored and data collected, calibration of equipment documents, and audit reports.	INL OP	AV +10			SOP-AD-006, EOMAAIP Attachment A, Section II.A
SG6051	<b>INL DOSIMETER PROGRAM</b> The quarterly reports from dosimetry processing and the issuance contractor. The annual reports for monitored non-DEQ individuals. (DEQ employee dose records are maintained by HR, D0070) Also, the Issuance Logbook for tracking the issuance of badges worn by DEQ INL employees and the set maintained by DEQ INL.	INL OP	AV or 35 years, whichever is longer			10 CFR 835, Subpart E, Sec. 835.402, SOP-AD-DEQ-INL OP, IC 9-340
SG6052	<b>INL OVERSIGHT ADMINISTRATION</b> Includes documents that address and control the quality of work performed by DEQ-INL, i.e. work plan, sampling plan, audit plan, and implementing documents.	INL OP	10 Years or AV whichever is longer			
SG6053	<b>INL OP EMERGENCY PLANNING, TRAINING, AND EQUIPMENT</b> Includes documentation that addresses the coordination, planning, training, and equipment associated with emergency preparation.	INL OP	AV +10			

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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
SG6054	<b>INL OP Reports</b> Annual, quarterly, and special reports created by INL OP regarding the presence of contaminants originating from INL.	INL OP	PM			SG1702
SG6069	<b>INL OP Emergency Response</b> Includes documentation that addresses the response to an emergency at INL.	INL OP	PM		X	IC 9-340(B)(4)(b)

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, RECORDS OFFICER

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0035	<b>RECORD DISPOSITION FILES</b> Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.	Records Officer	PM			IC67-1041
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.	Records Officer and Technical Services Division	PM			
SG0037	<b>RECORD 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.	Records Officer	AC +5			

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, WASTE WATER

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1003	<b>REAL PROPERTY SALE FILES</b> Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership	Waste Division	PM			IC 55-3001
SG6028	<b>SOLID WASTE FACILITY DOCUMENTS</b> Includes documents related to municipal and non-municipal landfills, transfer stations, compost facilities, and petroleum contaminated soil sites.	Waste Division	PM			EPA Schedule 025
SG6033	<b>HAZARDOUS WASTE REGULATORY TOPICS</b> (includes Idaho school waste issues, and National Vehicle Mercury Switch Program)	Waste Division	AC + 3 years or AV			
SG6034	<b>HAZARDOUS WASTE PROGRAM ADMINISTRATIVE FILE AND IMPLEMENTATION DOCUMENTS</b> Contains records related to Annual Reports, Hazardous Waste Emergency Account, Hazardous Waste Management Act, Budgets, Performance Measure Reports, and Work Plans	Waste Division	AC +15 or AV			

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SG6035	<b>WASTE AUTHORIZATION DOCUMENTS</b> Contains records related to authorization of the RCRA and UST Programs.	Waste Division	PM			EPA Schedule 206
SG6036	<b>FEDERAL FACILITIES ACT COMPLIANCE ORDER (FFACO)</b> ) Contains Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) records related to waste area groups (WAGs) at the Idaho National Engineering Laboratory (INL). These records include primary, secondary, and other documents in the administrative record, as well as other documents not listed in the administrative record.	Waste Division	PM			EPA Schedule 012
SG6037	<b>GENERAL REMEDIATION SITE DOCUMENTS</b> Documents related to general remediation sites, including site discovery, site assessment (investigation work plans and site investigation reports), site cleanup (remedial action work plan and remedial action reports), risk evaluations, monitoring reports, site closure, agreements, correspondence, enforcement actions, etc. General remediation sites exclude those sites in other programs (e.g., Brownfields Program, Voluntary Cleanup Program, Leaking Underground Storage Tank Program, RCRA, CERCLA, or ground water program).	Waste Division	PM			EPA Schedule 025
SG6038	<b>MINE SITES, CYANIDE PERMITS, OPERATING PLANS</b> Documents related to the DEQ cyanidation permit process. These include the permit, permit correspondence, technical review, public comment, inspection and monitoring reports, financial assurance documents, other governmental actions related to the mine facility and any other document relating to the cyanidation permit.	Waste Division	PM			IDAPA 20.03.02 EPA Schedule 205

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SG6039	<b>CONSERVATION RECOVERY ACT (RCRA) FACILITY FILES</b> Contains records related to hazardous waste compliance and permitting activities. Compliance records include inspection reports, correspondence meeting documentation, attorney-client communications, and documentation of civil and criminal actions. Permitting records include permits, permit modifications, public participation packages, closure plans, financial assurance documentation, and related correspondence. These files are considered the administrative record files for the permitted facilities. RESOURCE Includes annual, biennial, and quarterly generator reports. The supporting documentation for the reporting cycles	Waste Division	PM			EPA Schedule 025
SG6040	<b>SUPERFUND ASSESSMENT AND DEFENSE SITE DOCUMENTS</b> Documents related to Superfund (inclusive of NPL and non-NPL sites evaluated under CERCLA) and current and past defense sites being evaluated under CERCLA. Activities within this category include site discovery, site assessment (investigation work plans and site investigation reports), proposed plan, record of decision, site cleanup (remedial action work plan and remedial action reports), risk assessment, monitoring reports, site closure, long term monitoring plans, agreements, correspondence, etc.	Waste Division	AC+50 years after the achievement of all remedial action requirements including monitoring and institutional controls.			EPA Schedule 091
SG6043	<b>UST/LUST FACILITY INFORMATION</b> Documents include Assessment Reports, Cleanup Reports, enforcement actions and data.	Waste Division	PM			EPA Schedule 207
SG6057	<b>REMEDIATION PROGRAM MANAGEMENT RECORDS</b> Includes general program management records related to Brownfields, UST, LUST, VCP, Superfund, and Solid Waste	Waste Division	PM			EPA Schedule 145

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SG6058	<b>BROWNFIELDS SITE SPECIFIC RECORDS</b> Documents and reports related to Brownfields sites.	Waste Division	PM			EPA Schedule 010
SG6059	<b>VOLUNTARY CLEANUP PROGRAM (VCP) PROJECT/SITE FILES</b> Includes assessment and cleanup reports, agreements, etc.	Waste Division	AC +5			EPA Records Schedule 211 – Compliance Files

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, WATER QUALITY

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SG6013	<b>INTEGRATED REPORT/303(d)</b> LIST Includes water quality limited stream information 305 (b). Includes reports, materials, etc.	Water Quality Division	PM			EPA Schedule 213 CFR130, Idaho Code 39-3601 et seq.
SG6014	<b>319 PROGRAM</b> Contains records pertaining to the administration of DEQ's federal grant to implement a nonpoint source water quality program consistent with the requirements of Section 319 of the Clean Water Act. The records included under this title would relate to specific NPS water quality projects that were granted 319 funds to implement a specific work plan under a fixed project budget. These records may include project subgrant documents, field evaluation reports, monitoring results and records of various internal and external correspondence as they relate to the project. Site maps, photographs and receipts associated with project invoicing may also be found under this title.	Water Quality Division	PM			Clean Water Act Section 319 EPA Schedule 213
SG6015	<b>401 WATER QUALITY CERTIFICATION</b> Contains records relating to the certification of NPDES, 404 and FERC permits such as mixing zone analysis, antidegradation review and compliance schedules. Also includes relevant correspondence and public comments regarding the certification	Water Quality Division	PM			EPA Records Schedule 419, 444,446
SG6016	<b>404 PERMITS</b> Army Corps of Engineers Permits, Stream Water Alterations Includes record related to the management of the nation's navigable waters, wetlands, and soil erosion efforts to prevent the pollution of the waterways, memoranda of understanding, coordination of issues with the Corps of Engineers, policy and regulations that pertain in the management of the 404 program.	Water Quality Division	AC +10			Clean Water Act Section 404 Schedule 210, & 514

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APPENDIX 9 – DEPARTMENT OF ENVIRONMENTAL QUALITY, WATER QUALITY

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SG6017	<b>LOAN PROGRAM CYCLICAL AND PROJECT DOCUMENTATION</b> Contains records that detail the annual funding cycles and the funded projects, including: Priority Lists, Annual Reports, Intended Use Plans, State Environmental Review Process documentation (by project) and Loan/Grant Documentation (by project). All includes the quadrennial Needs Survey Documentation	Water Quality Division	PM			Safe Drinking Water Act, Section 1452 Clean Water Act, Sections 205(m), 501(a), and Title VI
SG6018	<b>WATER QUALITY MONITORING AND ASSESSMENT</b> Contains records relating to the management and operation of the state monitoring program including work plans, quality assurance plans, correspondence, field manuals and procedures, maps, shape files, logistical plans, reports, presentations and data analysis files	Water Quality Division	PM			Clean Water Act Section 106, 40CFR131.4, Idaho Code 39-3601
SG6019	<b>CAFO</b> Contains records relating to the CAFO Siting Team activities including the application package from the county, score sheet, ranking letter, map of proposed or expanding CAFO, and photos.	Water Quality Division	PM			IDAPA 02.04.18 Idaho Code Title 67, Chapter 65
SG6020	<b>WATER QUALITY ENFORCEMENT</b> Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests.	Water Quality Division	Administrative case file AC +10 Judicial case files, routine legal action AC+20 Landmark or precedent case -PM			EPA Schedule 207 Enforcement Action

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SG6021	<b>FOREST PRACTICES</b> Contains records relating to the partnership between Idaho DEQ and Idaho Department of Lands in the administration of the Forest Practices Act (FPA). Includes records of audits performed by DEQ, data associated with those audits, relevant correspondence relating to the FPA. Meeting notes and agendas, and other documentation appropriate to the EPA.	Water Quality Division	PM			Clean Water Act Section 319, IDAPA 58.01.02.350
SG6022	<b>LAKE MANAGEMENT PLAN</b> Documents associated with lake management plans that are not part of a TMDL	Water Quality Division	PM			Clean Water Act Section 314. EPA Schedule 213
SG6024	<b>NPDES PERMITS AND DISCHARGE MONITORING REPORTS</b>	Water Quality Division	AC+5			28 U.S.C. § 2462 EPA Schedule 211
SG6025	<b>WASTEWATER OPERATOR CERTIFICATION</b> Records pertaining to the wastewater operator certification program, including system classification, operator licensure records, interaction with the Idaho Bureau of Operational Licenses; and related correspondence and reports.	Water Quality Division	AC +12 (retain for at least two 5-year classification cycles)			IDAPA 58.01.16.202& 203; 24.05.01

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SG6026	<b>SURFACE WATER REGIONAL PLANNING</b> Contains records relating to invasive species documents, water rights and the granting of short term activity exemptions including correspondence, project description, and scope of work.	Water Quality Division	AV +5			
SG6027	<b>WATER QUALITY ENGINEERING DOCUMENTS</b> Contains records for waste water, public drinking water, and reuse facilities; includes but not limited to plans and specifications, preliminary reports, feasibility studies, facility plans, facility-specific correspondence, reuse permits, compliance activities, annual reports, submittals, extensions, approvals and disapprovals.	Water Quality Division	PM			IDAPA 58.01.03, 58.01.08, 58.01.15, 58.01.16 58.01.17
SG6029	<b>STATE STREAM SEGMENTS OF CONCERN</b> Contains documents pertaining to designation of stream segments of concern. SSOCs were replaced in 1995 under Idaho Code Title 39 Chapter 36	Water Quality Division	Destroy after 13 years			
SG6030	<b>SWIMMING POOLS</b> Now monitored by Dept of Health and Welfare Media: Paper	Water Quality Division	AC +54			

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SG6031	<b>TOTAL MAXIMUM DAILY LOADS (TMDLS)</b> Contains documents relating to the development and implementation of total maximum daily load reports. Includes legislatively mandated five year reviews, relevant correspondence, public notice and comment, data, analysis, sub basin assessments, modeling, TMDL, and literature with the TMDL.	Water Quality Division	PM			EPA Schedule 213
SG6032	<b>SOURCE WATER GRANTS</b> Records pertaining to the administration of the source water protection sub grant program, including documents that are not maintained by the Fiscal Office. These records may include grant announcements and media, sub grant guidance and related documents, project maps, project photos, sub grant and contract reporting, scoring and ranking materials, sub grant and contract applications, work plans and budgets, and records of various internal and external correspondences as they relate to the project. Other sub grant and contract related documents not identified by these categories and not maintained by Fiscal may also be found under this title.	Water Quality Division	PM			EPA Schedule 213
SG6046	<b>DRINKING WATER FACILITY DOCUMENTS</b> Drinking water system specific records related to compliance with public health standards and requirements. They establish the basis by which DEQ determines whether the water produced is safe for human consumption. These records are used in conjunction with the WQ engineering document type.	Water Quality Division	40 years after facility closure			40 CFR 142.14 EPA Schedule 211
SG6047	<b>WATER QUALITY OFFICE ADMINISTRATIVE RECORDS</b> Correspondence, planning/tracking, other	Water Quality Division	Destroy when administration need ends.			

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SG6048	<b>SURFACE WATER PROGRAM DOCUMENTS</b> Records relating to a specific surface water quality standard program or sub-program, granted variances, FERC project or facility, agency interaction with Idaho tribes (correspondence, MOU's and applications), program reports not specific to a certain sub-program or project; may also include analysis and supporting documents.	Water Quality Division	Destroy 25 years date declared final			
SG6055	<b>SPECIAL APPROPRIATIONS ACT PROJECT (SAAP) DOCUMENTS</b> An environmental activity, effort, and/or associated work products related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Documents include Special Appropriations Act Project (SAAP) submissions, including applications, Engineering Report/ Facility Plans, NEPA documents, DBE reports, Quarterly Performance reports, Design Submittals, SAAP Payment Procedure, Pre-Contract Award, Pre-Construction documents, Change Orders, and Grant Closure documents.	Water Quality Division	Release to EPA 3 years after date created Destroy AC+3			40 CFR Parts 30 and 31
SG6060	<b>NPDES INSPECTION DOCUMENTS</b> (National Pollutant Discharge Elimination System Permit programs) Inspection reports, photo logs, Form 3560, and related correspondence.	Water Quality Division	AC+10			EPA Schedule 203
SG6061	<b>SOURCE WATER PROJECTS</b> Includes source water assessments and monitoring reports, and source water protection reports.	Water Quality Division	AC +10			Safe Drinking Water Act, Section 1452 & 1453 EPA Schedule 214

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SG6062	<b>WATER QUALITY PHOTOS AND VIDEO DOCUMENTATION</b>	Water Quality Division	AV			
SG6063	<b>GROUND WATER PROJECTS</b> Records documenting: 1) ground water quality monitoring projects and reports; 2) projects provided technical assistance or scientific review; and 3) information associated with the nitrate priority area ranking process..	Water Quality Division	PM			EPA Schedule 213
SG6064	<b>DRINKING WATER PROGRAM</b> Contains correspondence that is executive in nature and annual meeting records including agenda and minutes	Water Quality Division	PM			
SG6065	<b>WASTEWATER PROGRAM</b> Programmatic, regulatory and project-specific records including: biosolids projects may include septage disposal; Onsite program documents and permits; state office program records; review of waste water products; and waste water reuse. Includes wastewater land application sites, permits, operating, operating plans	Water Quality Division	PM			EPA Schedule 205

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