

*Idaho Real Estate Commission  
Retention Schedule of the  
Records Management Guide*

(This Schedule Revised July 2014)



**BRAD LITTLE, GOVERNOR**

**Idaho State Historical Society**  
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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<br>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<br><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:<br>Restricted<br>Access          | <b>RA</b> – Refers to the security needs of a record series. Must be justified.<br><br><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><br><br>Records may contain, but are not limited to, confidential, personal or proprietary information. |
| Guidance:<br>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<br>(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<br>(Additional Description)   | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival (A) or (R) | Vital (X) | Guidance  |
|----------|--|------------------|--|---------------------|-----------|---|
| SG0110   | <b>PERIODIC BUDGET REPORTS</b><br><br>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><br><br>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.<br><br><b>GUIDANCE:</b><br>- 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><br><br>Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal.<br><br><b>GUIDANCE:</b><br>- AC - End of the award year in which the student last attended.<br>- 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><br><br>Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems.<br><br><b>GUIDANCE:</b><br>- 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 REAL ESTATE COMMISSION, ACCOUNTING & PERSONNEL DEPARTMENT

| Series # | Series Title<br>(Additional Description)   | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival (A) or (R) | Vital (X) | Guidance |
|----------|--|------------------|--|---------------------|-----------|----------|
| SG0003   | <p><b>ADMINISTRATIVE REFERENCE / READING FILES</b></p> <p>Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Workmen's Compensation Misc. Correspondence, Transfer Summary Reports, SCO Reports for Accounting, Requests for Notary Public – Destroy when Employee terminates, Security Authorizations &amp; changes, Permanent Position Status Reports – Online, Guidance Memos, Executive Orders(When Outdated), Misc. memos &amp; correspondence from other agencies, Year-end Closing Packages (Reports) – Keep current &amp; previous year)</p> |                  | AV or 1, then destroy                                |                     |           |          |

**LEGEND:**

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

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

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

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

APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, ACCOUNTING & PERSONNEL DEPARTMENT

| Series # | Series Title<br>(Additional Description)  | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival<br>(A) or (R) | Vital<br>(X) | Guidance |
|----------|---|------------------|--|------------------------|--------------|----------|
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Building Safety Inspections, Risk Management Misc. Insurance Reports, Workman's Compensation Billing/Report Information, Phone Card Information (numbers issued, cards returned, etc.), Vo-Rehab billing, Completed vendor W-9 forms, SCO Memos regarding Travel policy, CEC Memos, E-mails)</p> |                  | AC + 3, then destroy                                 |                        |              |          |
| SG0021   | <b>INTERNAL ADMINISTRATIVE CORRESPONDENCE</b>   |                  | AC + 2, then destroy                                 |                        |              |          |

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|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0029   | <p><b>PERFORMANCE AUDIT REPORTS</b></p> <p>These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(Legislative Audits (Last 3 Audits at IREC))</i></p>  |                  | PM   |                        |              | Contact State Archivist. |
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p>   |                  | PM   |                        |              | Contact State Archivist. |
| SG0034   | <p><b>PUBLIC RECORD REGISTER SHEETS</b></p> <p>Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(Log sheet of records sent to State Archives)</i></p> |                  | Retain by agency for reference                       |                        |              |                          |

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| Series # | Series Title<br>(Additional Description)  | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival<br>(A) or (R) | Vital<br>(X) | Guidance |
|----------|---|------------------|--|------------------------|--------------|----------|
| SG0037   | <p><b>RECORDS TRANSFER SHEETS</b></p> <p>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.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Log sheet of records sent to State Records Center)</p>   |                  | AC + 5, then destroy                                 |                        |              |          |
| SG0038   | <p><b>TECHNICAL REFERENCE FILES</b></p> <p>These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (1099 Vendor report, Sales Tax reports, Work Comp coverage (or not) for non-state employees, Citizen claims reports)</p> |                  | AV or 1, then destroy                                |                        |              |          |

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|----------|--|------------------|--|------------------------|--------------|--------------------------|
| SG0101   | <p><b>BUDGET REPORTS, ANNUAL</b></p> <p>Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Final financial reports for each fiscal year (these are filed with the Commission minutes))</p>   |                  | PM   |                        |              | Contact State Archivist. |
| SG0105   | <p><b>BUDGET BACKGROUND RECORDS</b></p> <p>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.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Legislative Budget Request)</p> |                  | AC + 3, then destroy                                 |                        |              |                          |
| SG0303   | <p><b>TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS</b></p> <p>Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.</p>  |                  | AC + 3, then destroy                                 |                        |              |                          |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0402   | <b>BATCH / DATA ENTRY CONTROL FORMS</b><br><br>Information on all batch or data entry records received by the mainframe.   |                  | AC + 3, then destroy   |                        |              |          |
| SG0501   | <b>AMERICANS WITH DISABILITIES ACT (ADA) FILES</b><br><br>Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.<br><br><b><u>For IREC Reference ONLY</u></b><br><i>(Note – this series documents the facilities' compliance with ADA requirements, not claims.)</i> |                  | AC + 15, then destroy  |                        |              |          |
| SG0610   | <b>CASH RECEIPTS / CREDIT CARD RECEIPTS</b><br><br>Agency copy of receipts given to customers who pay cash to the agency for services rendered.<br><br>A. Cash Receipts<br>- Retain by agency 3 years or after audit.<br><br>B. Credit Card Receipts<br>- Retain by agency 18 months or after audit.   |                  | A.<br>AC + 3, then destroy<br><br>B.<br>AC + 18 months, then destroy |                        |              |          |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG0614   | <p><b>DEPOSITS WITH STATE TREASURER</b></p> <p>Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.</p> <p><b>GUIDANCE:</b><br/>- Retain by agency 3 years or after audit.</p> <p><b>For IREC Reference ONLY</b><br/>(Deposit batches are filed with the account payables)</p>   |                  | AC + 3, then destroy                                 |                     |           |          |
| SG0615   | <p><b>EMPLOYEE TRAVEL REIMBURSEMENT FILES</b></p> <p>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>GUIDANCE:</b><br/>- Retain by agency 3 years or after audit.</p> <p><b>For IREC Reference ONLY</b><br/>(Travel reimbursement records are with the account payables.)</p> |                  | AC + 3, then destroy                                 |                     |           |          |

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APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, ACCOUNTING & PERSONNEL DEPARTMENT

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| SG0621   | <b>INVENTORY OF FIXED ASSETS</b><br><br>These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.  |                  | AC + 2, then destroy                                 |                        |              |          |
| SG0628   | <b>REFUND REQUESTS</b><br><br>Form signed by the customer which requests a refund of monies paid to the agency.<br><br><b>GUIDANCE:</b><br>- Retain by agency 3 years or after audit.  |                  | AC + 3, then destroy                                 |                        |              |          |
| SG0631   | <b>TELEPHONE BILLS</b><br><br>Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call<br><b>GUIDANCE:</b><br>- Retain by agency 3 years or after audit.<br><br><b>For IREC Reference ONLY</b><br>(Telephone bills are with account payables) |                  | AC + 3, then destroy                                 |                        |              |          |
| SG0633   | <b>VENDOR PAYMENT VOUCHERS – CANCELED</b><br><br>Documentation used to input data about canceled warrants.<br><br><b>GUIDANCE:</b><br>- Retain 7 years or after audit.   |                  | AC + 7, then destroy                                 |                        |              |          |

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| SG0634   | <p><b>WARRANT REQUESTS</b></p> <p>Expenditures processed by state agencies to the Office of the State Controllers statewide accounting system to pay vendors for supplies and/or services the vendors have provided to the agencies.</p> <p><b>GUIDANCE:</b><br/>- Retain by agency 3 years or after audit.</p> <p><b>For IREC Reference ONLY</b><br/>(Account Payable Files)</p>   |                  | AC + 3, then destroy                                 |                        |              |          |
| SG0750   | <p><b>I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION</b></p> <p>Documentation of employment eligibility compliance with the United States Department of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires.</p> <p><b>GUIDANCE:</b><br/>- Citation(s): 8 CFR 274A.2.</p> <p><b>For IREC Reference ONLY</b><br/>(I-9 Forms – File Separate till employee separation then put in personnel file.)</p> |                  | AC + 3, then destroy                                 |                        |              |          |

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| SG0754   | <p><b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS</b></p> <p>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.</p> <p><b>GUIDANCE:</b><br/>- Citation(s): Business Requirement (29 CFR 1602.12).</p>  |                  | <p><i>EEOC:</i><br/>AC +3, then destroy</p> <p><i>OFCCP:</i><br/>AC +3, then destroy</p> |                     |           |          |
| SG0760   | <p><b>GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.</b></p> <p>Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention.</p> <p><b>NOTE:</b> SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year.</p> <p><b>GUIDANCE:</b><br/>- SCO is responsible for retention of original garnishment for 7 years after paid.<br/>- Citation(s): Business Requirement.</p> |                  | AC + 3, then destroy   |                     |           |          |

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| SG0765   | <p><b>MEDICAL FILES - TERMINATED EMPLOYEE</b></p> <p>Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area.</p> <p><b>NOTE:</b> These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have there own retention).</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- If involved in court case, retain until settlement plus 5 years, then destroy.</li> <li>- Citation(s): IC 41-2115; IC 72-601; IC 72-603; IC 72-701; IC 72-701; IC 72-706.</li> </ul> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Family Medical Leave Applications, Individual Health Record Files, Personal Injury Case Files, Worker’s Compensation Case Files (to the extent not maintained by DHR), ADA Case files (to the extent not maintained by DHR))</p> |                  | AC + 5, then destroy                                 |                     |           |          |

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| SG0770   | <p><b>PERSONNEL FILES - FORMER EMPLOYEES</b></p> <p>Agency copy of employee’s employment history. May contain application, résumé, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history</p> <p><b>NOTE:</b> Office of Group Insurance does not receive a copy of the “Beneficiary Designation/Change of Beneficiary/Change Of Name” form, so the agency retains the original.</p> <p><b><u>GUIDANCE:</u></b><br/>- Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3.</p> <p><b><u>For IREC Reference ONLY</u></b><br/><b>(Exit Interview)</b></p> |                  | AC + 5, then destroy                                 |                     |           |          |

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

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| <b>SG0771</b><br>cont. | <p>(3) <i>Supplemental Insurance (NCPERS, AFLAC, etc.)</i> (Original goes to OGI; Business Requirement)</p> <p><b>D. Veterans Status Form</b> (After form has been entered into statewide payroll system)</p> <p><b>NOTE:</b> It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis.</p> <p><b>GUIDANCE:</b><br/>- Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3</p> |                  | <p>C.(3)<br/>US, then<br/>destroy</p> <p>D:<br/>AC +60<br/>days, then<br/>destroy.</p> |                        |              |          |
| <b>SG0780</b>          | <p><b>PROBLEM SOLVING (GRIEVANCE) FILES – EMPLOYEE</b></p> <p>Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc.</p> <p><b>GUIDANCE:</b><br/>- Citation(s): Business Requirement.</p>   |                  | AC + 5, then<br>destroy  |                        |              |          |

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| SG0782   | <p><b>RECRUITMENT FILES - CLASSIFIED POSITIONS</b></p> <p>Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation.</p> <p><b>NOTE:</b> The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency.</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- Non-classified positions, retain for 4 years, then destroy.</li> <li>- Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records).</li> </ul> |                  | AC + 4, then destroy                                 |                     |           |          |
| SG0786   | <p><b>TRAINING RECORDS – EMPLOYEE</b></p> <p>This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc.</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- Citation: Business Requirement.</li> </ul>  |                  | AC + 5, then destroy                                 |                     |           |          |

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| SG0903   | <p><b>DEDUCTIONS AND OTHER EARNING REGISTERS</b></p> <p>Report used to reference the amount of retirement deducted and other miscellaneous deductions.</p> <p><b>GUIDANCE:</b><br/>- Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.</p>  | Office of the State Controller, Division of Statewide Payroll | AC + 3, then destroy                                 |                        |              |          |
| SG1001   | <p><b>DECLARATION OF SURPLUS PROPERTY</b></p> <p>Form required by the Board of Examiners indicated what property an agency wishes to surplus.</p>  |   | AC + 3, then destroy                                 |                        |              |          |
| SG1002   | <p><b>PROPERTY DISPOSAL CASE FILES</b></p> <p>Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.</p> <p><b>GUIDANCE:</b><br/>- Retain by agency 3 years or after audit.</p> |   | AC + 3, then destroy                                 |                        |              |          |
| SG1107   | <p><b>LEASING CONTRACT FILES</b></p> <p>Building or equipment leases and related records documenting agreements, services, and payments.</p>   |   | AC + 3, then destroy                                 |                        |              |          |

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| SG1108   | <p><b>PROFESSIONAL CONTRACTUAL AGREEMENT FILES</b></p> <p>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.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(Professional services contracts, Civil penalty fine money awards contracts)</i></p>   |                  | AC + 3, then destroy                                 |                     |           |          |
| SG1112   | <p><b>SUCCESSFUL BIDS AND PROPOSALS FILES</b></p> <p>Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.</p>   |                  | AC + 3, then destroy                                 |                     |           |          |
| SG1116   | <p><b>UNSUCCESSFUL BIDS AND PROPOSALS FILES</b></p> <p>Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.</p>   |                  | AC + 2, then destroy                                 |                     |           |          |
| SG1503   | <p><b>BOARD AND COMMISSION MEMBERS PERSONNEL RECORDS</b></p> <p>Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to résumés; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation.</p> |                  | AC + 3, then PM                                      |                     |           |          |

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| SG0002   | <p><b>ADMINISTRATIVE HEARING TRANSCRIPTS</b></p> <p>Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(Hearings on proposed administrative rules)</p>   |                  | PM   |                        |              | Contact State Archivist. |
| SG0004   | <p><b>ADMINISTRATIVE RULE RECORDS</b></p> <p>Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(Information relied upon when making rules, Copies of proposed rules, Public comment received and/or recorded, Response to public comment)</p> |                  | AC + 4, then destroy.                                |                        |              |                          |

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| SG0006   | <p><b>AGENCY WRITTEN HISTORIES</b></p> <p>Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.</p> <p><b>For IREC Reference ONLY</b><br/>(4-Year Strategic Plan, Agency History and Scrapbook)</p> |                  | PM   |                        |              | Contact State Archivist. |
| SG0007   | <p><b>ATTORNEY GENERAL'S OPINIONS</b></p> <p>Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.</p>  |                  | PM   |                        |              | Contact State Archivist. |

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|----------|--|------------------|--|------------------------|--------------|--------------------------|
| SG0009   | <p><b>COMMITTEE AND CONFERENCE FILES</b></p> <p>Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Commission Meeting (Packets and Agenda), Education Council Meeting (Packets and Agenda))</p> |                  | PM   |                        |              | Contact State Archivist. |
| SG0014   | <p><b>EXECUTIVE CORRESPONDENCE</b></p> <p>Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.</p>   |                  | PM   |                        |              | Contact State Archivist. |

**LEGEND:**

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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 REAL ESTATE COMMISSION, ADMINISTRATION DEPARTMENT

| Series # | Series Title<br>(Additional Description)  | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival (A) or (R) | Vital (X) | Guidance                 |
|----------|---|------------------|--|---------------------|-----------|--------------------------|
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> |                  | AC + 3, then destroy                                 |                     |           |                          |
| SG0023   | <p><b>LITIGATION CASE FILES</b></p> <p>Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.</p>   |                  | PM   |                     |           | Contact State Archivist. |

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|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0029   | <p><b>PERFORMANCE AUDIT REPORTS</b></p> <p>These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(Agency Profiles)</p> |                  | PM   |                        |              | Contact State Archivist. |
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(IREC Policies and Procedures Binder, All Interstate Licensing Agreements)</p>   |                  | PM   |                        |              | Contact State Archivist. |
| SG0032   | <p><b>PROPOSED LEGISLATION RECORDS</b></p> <p>Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.</p>              |                  | PM   |                        |              | Contact State Archivist. |

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|----------|---|------------------|--|---------------------|-----------|----------|
| SG0033   | <p><b>PUBLICATIONS</b></p> <p>Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical</p> <p><b>GUIDANCE:</b><br/>- Creating agency shall transfer one copy to State Archives when published.</p> <p><b>For IREC Reference ONLY</b><br/>.<br/>(License Law and Rules Booklet, Agency Law Brochure, License Manual, Investigative &amp; Hearing Process Guide, Real Estate &amp; Broker Bulletin)</p> |                  | PM   |                     |           |          |
| SG0034   | <p><b>PUBLIC RECORD REGISTER SHEETS</b></p> <p>Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.</p>  |                  | Retain by agency for reference                       |                     |           |          |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0037   | <b>RECORDS TRANSFER SHEETS</b><br><br>Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.   |                  | AC + 5, then destroy                                 |                        |              |          |
| SG0038   | <b>TECHNICAL REFERENCE FILES</b><br><br>These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.<br><br><b><u>For IREC Reference ONLY</u></b><br>(Industry Information, Reports, Surveys, Newsletters, Etc. (ARELLO, NAR, IAR)) |                  | AV or 1, then destroy                                |                        |              |          |
| SG0042   | <b>WORKING PAPERS</b><br><br>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.  |                  | AV, then destroy                                     |                        |              |          |

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|----------|--|------------------|--|---------------------|-----------|-------------------------|
| SG1205   | <b>PRESS RELEASES</b><br><br>A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.  |                  | PM   |                     |           | Contact State Archivist |
| SG1504   | <b>BOARD AND COMMISSION MEETING MINUTES</b><br><br>Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.          |                  | AC + 3, then PM                                      |                     |           |                         |
| SG1518   | <b>LOBBYIST RECORDS</b><br><br>Series is used to document lobbyist and lobbyist employer activities. Records may include but are not limited to expenditure reports; registration statements; termination records; guidelines; correspondence; and related documentation. Series includes active, inactive, and terminated files.<br><br><b><u>For IREC Reference ONLY</u></b><br><b>(Lobbyist Monthly Report Forms)</b> |                  | AC + 3, then destroy                                 |                     |           |                         |

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|----------|--|------------------|---|---------------------|-----------|----------|
| SG1708   | <p><b>DIRECTOR'S RECORDS</b></p> <p>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, budget development and approval, public contact and lobbying. Records may include correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. Series also documents the activities and decisions of the board responsible for governing agency operations or for advising its operations. Records may include minutes, agendas, tape recordings, and board committee records. Records may also include constitution and bylaws, intergovernmental agreements, organization charts, draft and approved budgets.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <span style="color: red;">(Other director's records not specifically included above)</span></p> |                  | <p>Record Copy:<br/>AC + 3, then PM</p> <p>Duplicate Copies:<br/>AC + 3, then destroy</p> |                     |           |          |

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|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0009   | <p><b>COMMITTEE AND CONFERENCE FILES</b></p> <p>Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.</p>  |                  | PM   |                        |              | Contact State Archivist. |
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> <p><b><u>For IREC Reference ONLY</u></b><br/><b>(Public Records Requests)</b></p> |                  | AC + 3, then destroy                                 |                        |              |                          |

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|----------|---|------------------|--|------------------------|--------------|--|
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Education Department Policies and Procedures, including Certification Policy and Council Bylaws)</p>   |                  | PM   |                        |              | Contact State Archivist.                                   |
| SG0033   | <p><b>PUBLICATIONS</b></p> <p>Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.</p> <p><b>GUIDANCE:</b><br/>                     - Creating agency shall transfer one copy to State Archives when published.</p> <p><b><u>For IREC Reference ONLY</u></b></p> <ol style="list-style-type: none"> <li>1. License Manual</li> <li>2. Education Newsletter</li> <li>3. Real Restatement Newsletter</li> <li>4. License Law &amp; Rules Book</li> <li>5. Broker Bulletin</li> </ol> |                  | PM   |                        |              | Items 1 – 5 to State Library and Archives after published) |

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|----------|---|------------------|---|------------------------|--------------|----------|
| SG0037   | <p><b>RECORDS TRANSFER SHEETS</b></p> <p>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.</p> |                  | AC + 5, then destroy  |                        |              |          |
| SG0610   | <p><b>CASH RECEIPTS / CREDIT CARD RECEIPTS</b></p> <p>Agency copy of receipts given to customers who pay cash to the agency for services rendered.</p> <p>A. Cash Receipts<br/>- Retain by agency 3 years or after audit.</p> <p>B. Credit Card Receipts<br/>- Retain by agency 18 months or after audit.</p>   |                  | <p>A.<br/>AC +3, then destroy</p> <p>B.<br/>AC +18 months, then destroy</p> |                        |              |          |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0788   | <p><b>TRAINING PROFILES - PROGRAM ADMINISTRATION</b></p> <p>This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.</p> <p><b>GUIDANCE:</b><br/>- Citation: Business Requirement.</p> <p><b>For IREC Reference ONLY</b><br/>(Instructor Development Workshop Files &amp; Records)</p> |                  | AC +2, then destroy                                  |                        |              |          |
| SG1504   | <p><b>BOARD AND COMMISSION MEETING MINUTES</b></p> <p>Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries.</p>   |                  | AC + 3, then PM                                      |                        |              |          |

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|----------|--|------------------|--|------------------------|--------------|--------------------------|
| SG1511   | <p><b>EDUCATION PROGRAM REVIEW RECORDS</b></p> <p>Series documents the review of public and private educational programs, including college and university certification programs, to determine if license requirements, continuing education standards, or teacher certification requirements are being met. Records may include but are not limited to correspondence; reports from the college about its faculty, students, and curriculum; catalogs; self study evaluations; lists of accredited schools; course listings and descriptions; program descriptions and literature; seminar and workshop agendas; and related correspondence and documentation.</p>   |                  | AV or 3, then destroy                                |                        |              |                          |
| SG1512   | <p><b>EXAMINATION AND ADMINISTRATION RECORDS</b></p> <p>Series documents the administration of license examinations. Examinations may be administered locally by the licensing board, by an outside examination service, or by a national board. Records may include but are not limited to correspondence with applicants; master copy of exams; development of exam and exam question records; sample exams with answers; examination booklets; and related correspondence and documentation. Records may also include results of the examination including a roster listing student name, ID number, and examination score. Records may include statistical data and analysis of exam scores and statistics on the administration of the exam in other states. Examination scores may also be found in the individual licensee files in Licensing Records.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <b>(1. Testing Company Contracts &amp; Records, 2. Exam Design and Statistical Information</b></p> |                  | AC +3, then PM                                       |                        |              | Contact State Archivist. |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG1517   | <p><b>LICENSING RECORDS, INDIVIDUAL</b></p> <p>Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashing information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; résumés; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.</p> <p><b><u>For IREC Reference ONLY</u></b><br/><b>(Continuing Education Records)</b></p> |                  | LA or 3, then destroy                                |                     |           |          |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG1519   | <p><b>REPORTS AND STUDIES</b></p> <p>Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial, annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation</p> <p><b><i>GUIDANCE:</i></b></p> <ul style="list-style-type: none"> <li>- Transfer one copy of final report, product or study to State Archives after 3 years.</li> <li>- AC - Working papers, background documentation and draft material: After final document produced, or as required by government or agency.</li> </ul> <p><b><u>For IREC Reference ONLY</u></b></p> <p>. (1. Surveys, final version and results – permanent, keep in office for 3 years, then send to Archives. 2. Surveys, background documentation and drafts – purge after 3 years)</p> |                  | <p><i>Final:</i><br/>AC +3,<br/>then PM</p> <p><i>Working:</i><br/>AC +3, then<br/>destroy</p> |                     |           |          |

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|----------|--|------------------|---|---------------------|-----------|----------|
| SG1711   | <p><b>EDUCATIONAL PROGRAM RECORDS</b></p> <p>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.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Commission-Developed Course Outlines &amp; Exams – permanent, keep in office for 3 years (or until superseded, whichever is later), then send to Archives)</p> |                  | <p><i>Record Copy:</i><br/>AC +3, then PM</p> <p><i>Duplicate Copies:</i><br/>AC +3, then destroy</p> |                     |           |          |
| SG1868   | <p><b>COMPUTER SYSTEMS - FINDING AIDS, INDEXES AND TRACKING SYSTEMS</b></p> <p>Automated indexes, etc. that provide access to hard copy and electronic records</p> <p><b><i>GUIDANCE:</i></b><br/>- Electronic records.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (for information that is considered permanent or otherwise significant. Data obtained from other sources and maintained in a database in conjunction with a licensing or other software application from which reports, statistics, and histories may be obtained.) (1. Licensee education records maintained as part of licensing database – permanent)</p>   |                  | PM  | A                   | X         |          |

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 Vital: X-Record is vital for immediate operation of the office of origin or the institution  
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APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, ENFORCEMENT DEPARTMENT

| Series # | Series Title<br>(Additional Description)  | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival<br>(A) or (R) | Vital<br>(X) | Guidance                 |
|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> |                  | AC + 3, then destroy                                 |                        |              |                          |
| SG0020   | <p><b>INCOMING DOCUMENT LOG</b></p> <p>Records which provide detailed information on incoming documents that require distribution or action.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(Complaint Register)</p>  |                  | AC +1, then destroy                                  |                        |              |                          |
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(Enforcement Department Policies and Procedures, including Records Retention Policies)</p>   |                  | PM   |                        |              | Contact State Archivist. |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0037   | <b>RECORDS TRANSFER SHEETS</b><br><br>Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location. |                  | AC + 5, then destroy                                 |                        |              |          |
| SG0042   | <b>WORKING PAPERS</b><br><br>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.<br><br><b><u>For IREC Reference ONLY</u></b><br><i>(Documents Obtained but not Relied Upon for Investigation of Complaints)</i>  |                  | AV, then destroy                                     |                        |              |          |
| SG0307   | <b>TELEPHONE MESSAGE REGISTERS</b><br><br>Message registers, logs, performance reports, daily load reports, and related or similar records.  |                  | AC +6 months, then destroy                           |                        |              |          |

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|---------------|--|------------------|---|------------------------|--------------|----------|
| <b>SG0610</b> | <b>CASH RECEIPTS / CREDIT CARD RECEIPTS</b><br><br>Agency copy of receipts given to customers who pay cash to the agency for services rendered.<br><br>A. Cash Receipts<br>- Retain by agency 3 years or after audit.<br><br>B. Credit Card Receipts<br>- Retain by agency 18 months or after audit.   |                  | A.<br>AC +3, then destroy<br><br>B.<br>AC +18 months, then destroy                    |                        |              |          |
| <b>SG1501</b> | <b>APPEAL AND REVIEW RECORDS</b><br><br>Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation.<br><br><b><u>For IREC Reference ONLY</u></b><br><i>(1. Case Files for Final Orders/Actions appealed to the district court pursuant to APA. 2. Working Files)</i> |                  | <i>Case Files:</i><br>AC +3, then PM<br><br><i>Working Files:</i><br>AC, then destroy |                        |              |          |

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| SG1508   | <p><b>COMPLAINT AND DISCIPLINARY RECORDS, INDIVIDUAL</b></p> <p>Series documents complaints brought against licensed and unlicensed individuals alleging professional practice violations and any resulting disciplinary actions. Types of complaints may include violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation.</p> <p><b><u>For IREC Reference ONLY</u></b></p> <p>A. Recovery Accounts, Staff Letters of Reprimand, and Closed Complaint files, including investigation records (no action taken).</p> <p>B. Formal Action files, including investigation records (not appealed), only when the final order involves a license revocation.</p> |                  | AC +5, then destroy                                  |                        |              |          |

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|----------|---|------------------|--|---------------------|-----------|----------|
| SG1514   | <p><b>INSPECTION RECORDS, ESTABLISHMENT</b></p> <p>Series documents inspections of establishments to ensure compliance with laws and administrative rules that govern operation of the establishment. Types of establishments may include mortuaries, cemeteries, crematoriums, funeral homes, or barber and beauty shops. Records may include but are not limited to inspection ledgers; case files; advertisements; contracts; corporation history; inspection reports; license and certificate records; equipment checks; and related correspondence and documentation.</p> <p><b>GUIDANCE:</b><br/>- AC - After last inspection.</p> <p><b>For IREC Reference ONLY</b><br/>(1. Firm and Branch Office Audits. 2. Form Audits)</p> |                  | AC +2, then destroy                                  |                     |           |          |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG1517   | <p><b>LICENSING RECORDS, INDIVIDUAL</b></p> <p>Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashing information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; résumés; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.</p> <p><b><u>For IREC Reference ONLY</u></b><br/><b>(Time Share Registrations)</b></p> |                  | LA or 3, then destroy                                |                     |           |          |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG1868   | <p><b>COMPUTER SYSTEMS - FINDING AIDS, INDEXES AND TRACKING SYSTEMS</b></p> <p>Automated indexes, etc. that provide access to hard copy and electronic records</p> <p><b>GUIDANCE:</b><br/>- Electronic records.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(For information that is considered permanent or otherwise significant. Data obtained from other sources and maintained in a database in conjunction with a licensing or other software application from which reports, statistics, and histories may be obtained.) (1. Licensee audit, enforcement, and disciplinary records maintained as part of licensing database. 2. Time share registration information maintained as part of licensing database)</p> |                  | PM   | A                   | X         |          |

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APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, INFORMATION TECHNOLOGY DEPARTMENT

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|----------|---|------------------|--|------------------------|--------------|----------|
| SG0003   | <p><b>ADMINISTRATIVE REFERENCE / READING FILES</b></p> <p>Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Memoranda and correspondence from ITRMC, Department of Administration, STARS, Purchasing Department, etc.)</p>   |                  | AV or 1, then destroy                                |                        |              |          |
| SG0010   | <p><b>DAILY ACTIVITY SCHEDULES</b></p> <p>Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Located on IREC's Outlook calendar)</p> |                  | AC +1, then destroy.                                 |                        |              |          |

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|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Filed with the pertinent information (E-mails are archived in Outlook and filed in cabinet))</p> |                  | AC + 3, then destroy                                 |                        |              |                          |
| SG0020   | <p><b>INCOMING DOCUMENT LOG</b></p> <p>Records which provide detailed information on incoming documents that require distribution or action.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (Online renewals for Lottery drawings)</p>   |                  | AC +1, then destroy                                  |                        |              |                          |
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p>   |                  | PM   |                        |              | Contact State Archivist. |

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|----------|---|------------------|--|------------------------|--------------|----------|
| SG0033   | <p><b>PUBLICATIONS</b></p> <p>Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical</p> <p><b>GUIDANCE:</b><br/>- Creating agency shall transfer one copy to State Archives when published.</p> <p><b>For IREC Reference ONLY</b><br/>. (E-News, Broker Bulletins)</p> |                  | PM   |                        |              |          |
| SG0037   | <p><b>RECORDS TRANSFER SHEETS</b></p> <p>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.</p>   |                  | AC + 5, then destroy                                 |                        |              |          |

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|----------|---|------------------|--|---------------------|-----------|----------|
| SG0038   | <p><b>TECHNICAL REFERENCE FILES</b></p> <p>These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (1. Reference Copies of the Info Techs' policy and procedures (SG0030) are in the black 3-ring binder in overhead cabinet of Info Tech's area. All originals are given to Admin Asst 1. 2. Reference copies of 4-year annual reports and other statistical reports (In the multi color folders in the bottom left-hand drawer of the four drawer section of the desk in the Info Tech's area))</p> |                  | AV or 1, then destroy                                |                     |           |          |
| SG0042   | <p><b>WORKING PAPERS</b></p> <p>Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.</p>  |                  | AV, then destroy                                     |                     |           |          |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0403   | <p><b>COMPUTER HARDWARE MAINTENANCE RECORDS</b></p> <p>Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(1. Hardware bids, Pos delivery &amp; estimates, PO, delivery slips, packing slips, documentation, warranties, etc (they are in the red folders in the upper left drawer of the four drawer section of the desk in the info Tech's area) 2. Copies of Software bids &amp; estimates, PO, delivery slips, packing slips, documentation, warranties, etc. (They are in pink file folders in the upper right drawer of the four drawer section of Info Tech's area.))</i></p>   |                  | LA +1, then destroy                                  |                        |              |          |
| SG0407   | <p><b>DATA DOCUMENTATION FOR NON-PERMANENT DATABASES</b></p> <p>Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. <i>This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods</i></p> <p><b><u>GUIDANCE:</u></b><br/>                     - US - After superseded or until deletion of database.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(The top shelf of the bookcase in the Info Tech's area)</i></p> |                  | US +1, then destroy                                  |                        |              |          |

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| SG0409   | <p><b>DATA PROCESSING PLANNING RECORDS</b></p> <p>Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyzes, and short-range plans.</p>   |                  | PM   |                        |              | Contact State Archivist. |
| SG0410   | <p><b>PROGRAM SOURCE CODE</b></p> <p>Automated program code which generates the machine-language instructions used to operate an automated information system. Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>           (1. Although IREC did not have the source code for NAI's licensing program, we have system change notices and other records that document modification to the computer program. (They are located on the top shelf of the bookcase in the Info Tech's area.) 2. Although IREC did not have the source code for Access Idaho's web-based licensing changes, we have system change notices and other records that document modification to the computer program. (They are located in the bottom left drawer in the yellow file folders or the four-drawer section of the desk in the Info Tech's area.))</p> |                  | AC +3, then destroy                                  |                        |              |                          |

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|----------|---|------------------|--|------------------------|--------------|----------|
| SG0412   | <p><b>SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES</b></p> <p>User and operational documentation describing how an application system operated from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. <i>This schedule applies to documentation for databases whose information is not considered permanent or otherwise significant, where the information does have definite retention periods.</i></p> <p><b>GUIDANCE:</b><br/>- US - After superseded or until deletion of database.</p> |                  | US +1, then destroy                                  |                        |              |          |
| SG0617   | <p><b>EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES</b></p> <p>Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.</p> <p><b>GUIDANCE:</b><br/>- Retain by agency 3 years or after audit.</p> <p><b>For IREC Reference ONLY</b><br/><i>(Inventory of License (Numbered forms))</i></p>   |                  | AC +3, then destroy                                  |                        |              |          |

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

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

APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, INFORMATION TECHNOLOGY DEPARTMENT

| Series # | Series Title<br>(Additional Description)   | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival (A) or (R) | Vital (X) | Guidance                  |
|----------|--|------------------|--|---------------------|-----------|---------------------------|
| SG1302   | <b>DISASTER PLANNING FILES</b><br><br>Files used to prepare statewide plans for action to address an emergency, e.g. fire, flood, earthquake, and other disasters. |                  | PM   |                     |           | Contract State Archivist. |

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APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, LICENSING DEPARTMENT

| Series # | Series Title<br>(Additional Description)  | Office of Record | Retention Period & Transfer Instruction<br>(By Year) | Archival<br>(A) or (R) | Vital<br>(X) | Guidance                 |
|----------|---|------------------|--|------------------------|--------------|--------------------------|
| SG0006   | <p><b>AGENCY WRITTEN HISTORIES</b></p> <p>Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>(4-Year Strategic Plan, Agency History and Scrapbook)</i></p> |                  | PM   |                        |              | Contact State Archivist. |
| SG0016   | <p><b>FINDING AIDS</b></p> <p>Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records</p> <p><b><i>GUIDANCE:</i></b><br/>                     - AC - Until records to which they pertain are destroyed or destroy when no longer needed for reference.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <i>. (Hearing Impaired Service Manual, ARELLO Directory)</i></p>  |                  | AC, then destroy                                     |                        |              |                          |

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APPENDIX 9 – IDAHO REAL ESTATE COMMISSION, LICENSING DEPARTMENT

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|----------|---|------------------|--|------------------------|--------------|----------|
| SG0018   | <p><b>CORRESPONDENCE (ROUTINE)</b></p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (1. Postcards Sent to Licenses – computer generated, can be recreated up to 30 days after transaction; copies of actual postcards not maintained. 2. Fingerprint Information from ISP. 3. Monthly Final Notice Report (10 Month Notices). 4. E-mails. 5. Public Records Requests)</p> |                  | AC + 3, then destroy                                 |                        |              |          |
| SG0020   | <p><b>INCOMING DOCUMENT LOG</b></p> <p>Records which provide detailed information on incoming documents that require distribution or action.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>                     (1. Child Support License Suspension Log. 2. E&amp;O Lists from insurance company.)</p>  |                  | AC +1, then destroy                                  |                        |              |          |

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|----------|--|------------------|--|------------------------|--------------|--------------------------|
| SG0028   | <p><b>PENDING FILES</b></p> <p>Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.</p> <p><b>GUIDANCE:</b><br/>- AC - Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.</p> <p><b>For IREC Reference ONLY</b><br/>(Finger Print Pending/Results for Candidates)</p> |                  | AC   |                        |              |                          |
| SG0030   | <p><b>POLICIES AND PROCEDURES MANUAL</b></p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p>  |                  | PM   |                        |              | Contact State Archivist. |
| SG0037   | <p><b>RECORDS TRANSFER SHEETS</b></p> <p>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.</p>  |                  | AC + 5, then destroy                                 |                        |              |                          |

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|----------|--|------------------|--|------------------------|--------------|----------|
| SG0038   | <p><b>TECHNICAL REFERENCE FILES</b></p> <p>These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.</p>   |                  | AV or 1, then destroy                                |                        |              |          |
| SG0042   | <p><b>WORKING PAPERS</b></p> <p>Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>           (1. Legal Opinions Copies, 2. Temporary DB Appointment Letters, 3. CJIS Information Letter, 4. Copies of ISP Billings – 3 Months, 5. Weekly Fingerprint Report – 3 Months, 6. Fingerprint Pending Report – 3 Months, 7. Fingerprint “Results OK” Report – 3 Months)</p> |                  | AV, then destroy                                     |                        |              |          |

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|----------|--|------------------|--|---------------------|-----------|----------|
| SG1515   | <p><b>LICENSEE ROSTERS</b></p> <p>Series documents persons who are licensed by the board. Records consist of a list which may include licensee name, address, and phone number; license status (current, lapsed, or inactive); type of license; license number; employer name, address, and phone number; method of licensing; dates of initial licensing, renewal, or expiration; audit number; and related documentation. Roster may be published in the form of a directory.</p> <p><b><u>For IREC Reference ONLY</u></b><br/> <span style="color: red;">(1959-1989 License Directories (After 1989 NO LONGER CREATED))</span></p>  |                  | AC +3, then PM                                       |                     |           |          |
| SG1517   | <p><b>LICENSING RECORDS, INDIVIDUAL</b></p> <p>Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashiering information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; résumés; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name.</p> |                  | LA or 3, then destroy                                |                     |           |          |

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|----------|---|------------------|--|---------------------|-----------|----------|
| SG1868   | <p><b>COMPUTER SYSTEMS - FINDING AIDS, INDEXES AND TRACKING SYSTEMS</b></p> <p>Automated indexes, etc. that provide access to hard copy and electronic records</p> <p><b>GUIDANCE:</b><br/>- Electronic records.</p> <p><b><u>For IREC Reference ONLY</u></b><br/>(for information that is considered permanent or otherwise significant. Data obtained from other sources and maintained in a database in conjunction with a licensing or other software application from which reports, statistics, and histories may be obtained.) (1. Licensee and applicant fingerprint and licensing records maintained as part of licensing database</p> |                  | PM   | A                   | X         |          |

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