

*Idaho Wine Commission
Retention Schedule of the
Records Management Guide*

(This Schedule Revised January 2012)



BRAD LITTLE, GOVERNOR

Idaho State Historical Society
Janet L. Gallimore, Executive Director

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

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

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

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

INTRODUCTION TO RECORDS RETENTION SCHEDULE

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

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

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

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

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

FUNCTIONS AND TYPES OF RECORDS

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

HIERARCHY OF RECORDS WITHIN AN AGENCY

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

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

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

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

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

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

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

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

CREATING AN AGENCY'S RETENTION SCHEDULE

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

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

HOW TO USE THE RETENTION SCHEDULE FORMAT

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

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

SAMPLE RECORDS

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

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

APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0002	ADMINISTRATIVE HEARING TRANSCRIPTS Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.		PM			Contact State Archivist.
SG0007	ATTORNEY GENERAL'S OPINIONS Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.		PM			Contact State Archivist.
SG0009	COMMITTEE AND CONFERENCE FILES 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.		PM			Contact State Archivist.

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 GRAPE GROWERS AND WINE PRODUCERS COMMISSION, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0010	<p>DAILY ACTIVITY SCHEDULES</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>		AC +1, then destroy			
SG0018	<p>CORRESPONDENCE (ROUTINE)</p> <p>Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.</p>		AC +3, then destroy			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0021	INTERNAL ADMINISTRATIVE CORRESPONDENCE		AC +2, then destroy			
SG0022	INTERNAL COMMITTEE AND CONFERENCE FILES Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency. GUIDANCE: - AC - After termination of committee.		AC +2, then destroy			
SG0023	LITIGATION CASE FILES Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.		PM			Contact State Archivist.
SG0024	MAILING LISTS Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.		US, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0028	<p>PENDING FILES</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>GUIDANCE: - AC - Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.</p>		AC			
SG0030	<p>POLICIES AND PROCEDURES MANUAL</p> <p>Policies and procedures that govern the operation and administration of various programs within the organization.</p>		PM			Contact State Archivist.
SG0033	<p>PUBLICATIONS</p> <p>Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.</p> <p>GUIDANCE: - Creating agency shall transfer one copy to State Archives when published.</p>		PM			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0035	RECORDS DISPOSITION FILES Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.		PM			Contact State Archivist.
SG0036	RECORDS MANAGEMENT FILES Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.		PM			Contact State Archivist.

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, BOARD AND COMMISSION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1502	BOARD AND COMMISSION MEMBER RECORDS Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member.		AC +3, then destroy			
SG1504	BOARD AND COMMISSION MEETING MINUTES 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			
SG1505	BOARD AND COMMISSION FORMATION AND ORGANIZATIONAL RECORDS Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation.		AC +3, then PM			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, BOARD AND COMMISSION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1506	COMMODITY ASSESSMENT RECORDS Series documents the assessment of fees to handlers, growers, and processors of agricultural products to fund the production and market research, educational, and promotional activities of the agricultural commodity commission. Records include the amount produced or processed and the commission's assessment per unit of production.		AV or 3, then destroy			
SG1507	COMMODITY PROMOTION RECORDS Series documents the activities of the agricultural commodity commission to promote the marketing and sale of agricultural commodities. Records may include newsletters; circulars; advertisements; seminar reports; trip records; promotional statistical reports; marketing budgets; special events records; press releases;		AC +3, then PM			
SG1510	CROP PRODUCTION AND ACREAGE RECORDS Series documents the number of acres devoted to production of an agricultural commodity and the amount of production. Records may include but are not limited to crop production register, acreage survey, type of crop, year, total acreage, total production, name and address of grower, and related correspondence and documentation.		AV or 3, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, BUDGET RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0101	BUDGET REPORTS, ANNUAL Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.		PM			Contact State Archivist.
SG0108	GRANT CASE FILES Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets.		AC +3, then destroy			
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG0111	UNSUCCESSFUL GRANT APPLICATION FILES Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal. GUIDANCE: - AC After rejection and withdrawal.		AC +3, then destroy			

LEGEND:

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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 GRAPE GROWERS AND WINE PRODUCERS COMMISSION, CARTOGRAPHIC RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	<p>CARTOGRAPHIC RECORDS</p> <p>Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.</p> <p>For WINE Reference Only.</p> <p>1. USGS Maps/Pictures of wineries, vineyards.</p>		PM			Contact State Archivist.

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			
SG0308	TELEPHONE MESSAGES Incoming and outgoing telephone messages.		AC +2 months, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, DATA PROCESSING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0403	<p>COMPUTER HARDWARE MAINTENANCE RECORDS</p> <p>Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.</p>		LA +1, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0601	ACCOUNTING ADMINISTRATIVE FILES Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0604	AUDITOR'S FINANCIAL REPORT Report prepared by internal or external auditors as a result of a financial audit.		PM			Contact State Archivist.
SG0606	BANK STATEMENTS Canceled checks, debit/credit memoranda, deposit slips, and monthly reconciliations. GUIDANCE: - Retain by the State Treasurer's Office.	State Treasurer's Office	AC +3, then destroy			
SG0615	EMPLOYEE TRAVEL REIMBURSEMENT FILES 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. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			

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 GRAPE GROWERS AND WINE PRODUCERS COMMISSION, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0620	GENERAL ACCOUNTING LEDGER General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary. GUIDANCE: - Retain by agency 7 years or after audit.		AC +7, then destroy			
SG0621	INVENTORY OF FIXED ASSETS These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.		AC +2, then destroy			
SG0622	JOURNAL ENTRY RECORDS Entries listing adjustments to an organization's credit or debit financial statements.		AC +10, then destroy			
SG0632	TRAVEL AND TRANSPORTATION FILES Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			

LEGEND:

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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 GRAPE GROWERS AND WINE PRODUCERS COMMISSION, HUMAN RESOURCES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0750	<p>I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION</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>		AC +3, then destroy			
SG0768	<p>PERSI TRANSMITTAL DOCUMENTS / REPORT</p> <p>Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records.</p> <p>NOTE: PERSI auditors have access to documents from their office.</p> <p>GUIDANCE: - Citation(s): Business Requirement.</p>		US, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, HUMAN RESOURCES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0770	<p>PERSONNEL FILES - FORMER EMPLOYEES</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>NOTE: 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>GUIDANCE: - Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3.</p>		AC +5, then destroy			

LEGEND:
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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, HUMAN RESOURCES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0771	<p>PERSONNEL FILES - ACTIVE EMPLOYEE FILES</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>A. Payroll Deduction Forms: (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. Medical Applications (Original goes to OGI; Business Requirement)</p> <p>C. Insurance Beneficiary Changes: (1) <i>PERSI</i> (Original goes to PERSI; Business Requirement)</p> <p>(2) <i>Life Insurance</i> (US or employee is approved for long term disability, at which time the original is sent to the OGI; Business Requirement)</p>		<p><i>Items:</i></p> <p>A.(1): US or 4 (whichever is later), then destroy</p> <p>A.(2) US, then destroy</p> <p>B: US, then destroy</p> <p>C.(1) US, then destroy</p> <p>C.(2) US, then destroy</p>			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, HUMAN RESOURCES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0771 Cont.	<p>(3) <i>Supplemental Insurance (NCPERS, AFLAC, etc.)</i> (Original goes to OGI; Business Requirement)</p> <p>D. Veterans Status Form (After form has been entered into statewide payroll system)</p> <p>NOTE: 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>GUIDANCE: - Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3</p>		<p>C.(3) US, then destroy</p> <p>D: AC +60 days, then destroy.</p>			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, HUMAN RESOURCES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0782	<p>RECRUITMENT FILES - CLASSIFIED POSITIONS</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>NOTE: 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>For WINE Reference Only.</p> <p>1. Non Classified Positions</p> <p>GUIDANCE:</p> <ul style="list-style-type: none"> - Non-classified positions, retain for 4 years, then destroy. - Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records). 		AC +4, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, INFORMATIONAL SERVICE AGENCY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1702	ANNUAL REPORTS Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics, graphs, diagrams, member lists, descriptions of programs, events and exhibits, and annual financial statements.		<i>Record Copy:</i> AC +3, then PM <i>Duplicate Copies:</i> AC +3, then destroy			
SG1703	BOARD MEMBER PERSONNEL RECORDS Series documents the appointment or election and subsequent personnel actions for board members. Records may include appointment letters, résumés, applications, personnel action forms, job descriptions, and employee data sheets.		<i>Record Copy:</i> AC +3, then PM <i>Duplicate Copies:</i> AV, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, INFORMATIONAL SERVICE AGENCY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1708	<p>DIRECTOR'S RECORDS</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><i>Record Copy:</i> AC +3, then PM</p> <p><i>Duplicate Copies:</i> AC +3, then destroy</p>			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, INFORMATIONAL SERVICE AGENCY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1711	<p>EDUCATIONAL PROGRAM RECORDS</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>For WINE Reference Only.</p> <ol style="list-style-type: none"> 1. Media Tour 2. Vitaculture seminar 3. TV AG Tour 4. Taste Washington Tour 		<p><i>Record Copy:</i> AC +3, then PM</p> <p><i>Duplicate Copies:</i> AC +3, then destroy</p>			
SG1717	<p>MEMBER RECORDS</p> <p>Series documents administration of the agency’s membership program and the status of its membership. Records may include publicity and promotion records, individual member records, membership rosters, reports, membership drive records, mailing lists, address changes, bulk mailing records, and correspondence.</p>		<p><i>Record Copy:</i> AC +3, then destroy</p> <p><i>Duplicate Copies:</i> AV, then destroy</p>			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, INFORMATIONAL SERVICE AGENCY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1720	<p>PUBLICATIONS, PROMOTIONAL</p> <p>Publications distributed to the public to advertise services, programs, and activities. May include brochures, newsletters, activities calendars, schedules, special events flyers, and other records.</p> <p>GUIDANCE: - See also SG0033, Publications, and SG0011, Electronic Publications.</p>		<p><i>Record Copy:</i> AC +3, then PM</p> <p><i>Duplicate Copies:</i> AC +3, then destroy</p>			
SG1723	<p>VOLUNTEER RECORDS</p> <p>Series documents the administration of the agency's volunteer and intern programs. Records may include recruitment and selection records, volunteer personnel and intern personnel information forms, intern agreements, volunteer and intern time records, emergency notification forms, publicity records, insurance documentation, and correspondence.</p>		<p><i>Record Copy:</i> AC +3, then destroy</p> <p><i>Duplicate Copies:</i> AV, then destroy</p>			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, PAYROLL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0901	ADMINISTRATIVE PAYROLL REPORTS Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.		AC +3, then destroy			
SG0903	DEDUCTIONS AND OTHER EARNING REGISTERS Report used to reference the amount of retirement deducted and other miscellaneous deductions. GUIDANCE: - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Controller, Division of Statewide Payroll	AC +3, then destroy			
SG0904	EMPLOYEE BENEFIT MATCHING MONEY REPORT Listing of state matching funds paid to employee retirement. GUIDANCE: - Retain by the Public Employees Retirement System (PERSI) 3 years or after audit.	PERSI	AC +3, then destroy			
SG0905	FINAL TIME SUMMARY REPORT This report provides information on the regular and overtime hours paid. It also includes all other earnings and the labor distribution. GUIDANCE: - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit.	Office of the State Controller, Division of Statewide Payroll	AC +3, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0908	<p>INCOME TAX EXEMPTIONS AND WITHHOLDINGS CERTIFICATES</p> <p>Form which records the number of exemptions an employee claims against his payment of income tax and any additional withholding from his paycheck, such as IRS Form W-4 and similar tax exemption forms.</p> <p>GUIDANCE: - Retain by the Office of the State Controller, Division of Statewide Payroll, 3 years or after audit. - AC - After form is superseded or until termination of employee.</p>	Office of the State Controller, Division of Statewide Payroll	AC +4, then destroy			
SG0915	<p>PAYROLL REGISTER</p> <p>Display of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement.</p> <p>GUIDANCE: - 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			
SG0922	<p>TAXABLE WAGE EARNING REPORTS</p> <p>Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports regarding income and social security taxes.</p> <p>GUIDANCE: - 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			

LEGEND:

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, PAYROLL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0923	<p>TIME AND ATTENDANCE REPORTS</p> <p>State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, PURCHASING RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1107	LEASING CONTRACT FILES Building or equipment leases and related records documenting agreements, services, and payments.		AC +3, then destroy			
SG1108	PROFESSIONAL CONTRACTUAL AGREEMENT FILES 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. For WINE Reference Only. 1. Related Records of Federal 1099 & 1096		AC +3, then destroy			
SG1114	TAX EXEMPTION FILES Tax exemption certificates and related records. For WINE Reference Only. 1. ST101 Exception Certificates		AC +3, then destroy			

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APPENDIX 9 – IDAHO GRAPE GROWERS AND WINE PRODUCERS COMMISSION, SECURITY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1308	<p>LIABILITY INSURANCE POLICY FILES</p> <p>Insurance policy contracts between the State of Idaho and private insurers.</p>		PM			Contact State Archivist.

LEGEND:

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