

**REGIONAL PLANNING COMMISSION  
OF JEFFERSON, ORLEANS,  
PLAQUEMINES, ST. BERNARD  
AND ST. TAMMANY PARISHES**

**RECORD RETENTION MANUAL**

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# RECORDS MANAGEMENT MANUAL

## Introduction

Records Management is the systematic application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records for the purpose of reducing costs and improving records keeping. Records Management includes management of filing and microfilming equipment and supplies, filing and information retrieval system files, correspondence, reports, and forms management; historical documentation; micrographics, retention programming, and vital records protection. (LA Revised Statute 44:402)

The key elements of a Records Management program are the records inventory and the retention schedule. These two elements form the foundation for the other elements including:

- Active Files Management (including filing systems and classification schemes)
- Vital Records Protection
- Disaster Recovery Planning
- Inactive Records Management
- Image Technology for Document Management (Microfilm and Digital Imaging)
- Electronic Records Management
- Archives Management
- Forms Management
- Mail/Message management
- Reprographics Management

Records exist in various mediums ranging from paper to digital. Some records are human-eye readable while others can be read only with the assistance of specialized equipment. In fact, many records may exist in multiple formats at the same time. Records communicate information vital to the day-to-day operation of an agency or to the preservation of the history of an agency.

Most records possess temporary value. Their value declines with time and at some point they become unnecessary and can be discarded. On the other hand, some records contain information that document ownership, rights or events and decisions that explain the evolution of an agency and are likely to be considered of permanent or archival value. These records normally possess long-term value and should be preserved for administrative, historical and other research purposes.

As a general rule, records are valued by the information they contain. Some records are the exception to that rule because they give us a view of past events or the viewpoint of a person or agency considered important to a better understanding of the future.

The Records Officer should possess knowledge of the records created by the agency, the function of the agency, and the organizational structure of the agency. The Records Officer must be given the support of upper management and should form a Records Management Committee comprised of representatives of each of the agency's departments. The Records Management Committee is responsible for periodically reviewing the retention schedule to accommodate new records series created by the agency.

### **The Records Inventory**

The Records Inventory is a comprehensive listing of all record series within the agency along with all supporting information. A record series is a group of records that serve a similar function in the agency and are usually filed as a unit.

The Records Inventory is helpful for many reasons.

- It identifies all record series maintained by the agency.
- It enables the Records Officer/Records Management Committee to determine the volume of records maintained by the agency.
- It shows where the records are located.
- It provides information on the physical condition of the records.
- It identifies what format in which record series are created and maintained.
- It shows the rate of accumulation of each record series.
- It assists in the initial appraisal of each record series.
- It identifies duplicate records, which require valuable storage space.

### **Appraising the Retention Value of Records**

Most records possess temporary value. They are used for the day-to-day conduct of business and eventually lose their value and can be discarded. These records can usually be discarded shortly after they are audited or fulfilled their usefulness. A small percentage of records contain historical or archival information that should be maintained long term or for the life of the agency. The Appraisal Checklist that follows provides a method for determining the administrative, legal, fiscal and/or historical value of a record series.

### **Records Retention Schedule**

This schedule lists all of the agency's records and prescribes how long each record series must be retained. The schedule will help the agency in managing the growth of its records and will provide the agency with a systematic plan for discarding records when their retention requirements are satisfied.

The agency should revise its records retention schedule whenever new record series are created or deleted. It is further recommended that the agency review and update its records retention schedule every five years.

The Records Officer, each member of the Records Management Committee, department heads, and others who deal with the agency's records should be provided a copy of the records retention schedule along with the agency's Records Management Manual. At least one updated copy of the retention schedule should be maintained off-site by the agency, in case it is needed during time of a disaster or state of emergency.

### **Storage of Records**

All persons and public bodies having custody or control of any public records may utilize any appropriate form of the microphotographic process, or an electronic digitizing process capable of reproducing an unalterable image of the original source document, for the recordation, filing, and preservation of all existing public records, forms, and documents. (LA Revised Statute 44:39(A))

The following guidelines are to be used to guarantee records are properly packed:

- Records should be packed in the same order as they are filed in the agency.
- All records in each box should belong to the same record series and have the same retention requirement.
- Leave approximately one inch of empty space in each box to facilitate retrieval.
- Records should not be placed on top of other records in the box.
- The weight of each box should not exceed 35 pounds.
- Records should face the long side of the box. Letter size records may face the short end of the box to make use of available space back of the box.
- Do not mix record media (i.e., microfiche with paper records).
- Do not write on boxes except to number boxes (i.e., Box 1 of 10).
- Do not tape the tops of boxes to be sent to storage.
- Remove contents of hanging files and three-ring binders and place in clearly identified file folders or file pockets.
- Remove records from folders with heavy metal clasps.
- Note on the storage transmittal the medium of records.
- Note on the storage transmittal of the contents whether they include confidential information such as medical records or social security numbers.

### **Disposition of Records**

Records can be destroyed after they have met their legal minimum retention periods, are no longer needed for any purpose, and have been listed and authorized for destruction. Authorization for destruction should include an examination of the storage transmittal and correspond to the agency's retention schedule. Any records not held for the

prescribed retention period should be removed and refiled prior to destruction of the remaining records. The appropriate agency officer should sign such destruction authorization.

Agencies should destroy records within a regular time frame whether it be annually, quarterly, or in some other scheduled manner. The agency should develop a disposition procedure for the following reasons:

- To ensure records that have not met their minimum retention period are not accidentally destroyed.
- To protect records that have satisfied their minimum retention but are needed for other purposes such as litigation or investigations.
- To control the creation of records.
- A disposition policy is economically sound if it frees valuable office space that otherwise might be used for the storage of records that are no longer useful to the agency.

The most common methods of destruction are:

*Landfill* - In some areas, burial in a landfill is still a destruction option. Confidential records disposed on in this manner should be shredded prior to burial.

*Recycling* - A good method for the disposal of large volumes of records not containing confidential information. Usually, a vendor has to be found who will purchase the paper.

*Incineration* - An excellent method for the destruction of confidential records, but environmental restrictions now limit its use.

*Shredding* - An excellent method for the destruction of confidential records. Office shredders can handle small volumes of paper records. Agencies wanting to destroy large quantities of records should consider utilizing an industrial shredder.

*Maceration* - This method is carried out with the use of chemicals or pulverizers. The use of chemical softens the paper and destroys the writing. The residue is often sold to paper manufacturers.

*Pulverization* - This involves turning paper into dust. This method is good for plastic credit cards, metal binders, microfilm, and computer printouts.

Non-paper records such as microfilm, magnetic tapes and disks, and other media require a specific means of destruction. Magnetic tapes and disks (external and internal) can be erased and reused. It is important that all the information has been properly erased prior to reuse. Software programs can be purchased to ensure that all data is “wiped” from the magnetic media. Microfilm and microfilm reels can be pulverized and some industrial shredders can accommodate microfilm. Disposal of microfilm is generally by burial in a

landfill, although silver-based microfilm can be recycled for its silver content. Nitrate-based microfilm should be buried because it is highly combustible.

### **Preservation of Archival Records**

The majority of records created are paper based. As such, it is necessary to understand what causes the deterioration of paper. The main reasons include the following:

- Paper produced from unpurified wood pulp can become acidic from the chemical agents used in production. It has a life expectancy of only 25 to 30 years.
- Excessive temperatures can accelerate paper deterioration. The cooler the temperature, the greater useful life paper will have.
- Humidity, high or low, can have disastrous effects on paper. Low humidity can cause the paper to dry out and become brittle. High humidity can cause the formation of acid in the paper and encourages the growth of mold.
- Mold can stain or weaken the paper.
- Common pollutants including sulfur dioxide, nitrogen oxides, ozone, and hydrogen sulfide will cause brittleness in paper and powdering in leather bindings. Dust and dirt can scratch paper surfaces and attract insects and rodents.
- Exposure to ultraviolet light from sunlight and fluorescent lights can cause paper to become brittle as well as cause the ink to fade.
- Handling of paper documents can result in damage from the oils, acids, and moisture contained in human skin. Care should be taken not to fold or roll documents, as this will cause the paper to become brittle.

### **Caring for Documents**

The Records Officer and/or Records Management Committee of the Regional Planning Commission should utilize this Records Management Manual to educate agency officials on the proper procedures to reserve historical records retained by the agency. Some of these procedures include the following:

- Remove all staples from documents and replace metal clips with plastic or rustproof stainless steel clips.
- Avoid folding or rolling documents, including oversized documents such as maps, as crease lines become brittle.

- File documents in acid free file folders or boxes when possible.
- Do not repair torn documents with pressure sensitive tape as temperature and humidity can cause the tape to yellow and fail.
- Do not use rubber bands to secure documents.
- Consider encapsulating records that will be handled frequently. Encapsulating is different from lamination, which is non-reversible.

The Records Officer may consider segregating the agency's historical records from its non-permanent records. Access to the agency's historical records should be restricted to authorized staff.

The storage location for the agency's historical records should be locked and equipped with smoke detectors, fire alarms, and fire retardant walls, if possible. The storage location should have a constant temperature of 65 to 68 degrees and a relative humidity of 34% to 45%. Exposure to sunlight or fluorescent lights should be minimized. The room's air circulating system should have filters to remove harmful dust and dirt from the air. Food, drink, and smoking should be strictly prohibited.

### **Preservation of Non-Paper Records**

The term "record" should not be construed to mean information recorded solely on paper. To the contrary, considerable information is contained on such mediums as microfilm, magnetic tape, and optical disks. The same care given to paper based records should also be extended to these mediums.

Microfilm is best maintained at a constant temperature of about 60 degrees with humidity levels not exceeding 40%. The minimum humidity levels of 30% and 15% apply to polyester base and cellulose base films, respectively.

Magnetic tapes should be stored vertically in closed plastic containers with supports the reel at the hub. The storage location for magnetic tapes should have a constant temperature of 65 degrees and a constant humidity of 45%.

The same precautions observed for the care of paper, microfilm, and magnetic tapes should be exercised for the long term care of optical disks as well.

### **Disaster Recovery**

Disasters occur in many forms and are caused by a variety of circumstances. Natural disasters such as fires, floods, winds, and earthquakes can be devastating and cannot be

prevented. Human disasters are usually the result of equipment failures, arson, vandalism, and carelessness.

Policies and procedures formulated with precautionary steps and common sense can aid in preventing major and minor disasters from occurring. A detailed plan of action and a checklist of necessary supplies and equipment to deal with disaster damage are vital to a successful recovery.

The first step in developing a disaster plan is to perform a facility security survey. The survey should focus on document retention and preservation issues as the following:

1. Who has access to the records and how is that access controlled?
2. How is unauthorized access prevented?
3. Does the storage area have smoke detectors and fire extinguishers?
4. Are storage boxes packed fully as densely packed boxes burn slower than sparsely packed boxes?
5. Are storage boxes incorrectly placed directly on the floor?
6. What records are located in the storage area and what is their condition?
7. Is the storage area susceptible to natural disaster?
8. Does the storage area have a history of water leaks or faulty wiring?
9. Is there a periodic inspection of the air circulation equipment including filters?
10. Are steam or water pipes located around or above the storage area and their condition?

In a disaster situation, the primary concern must be for human life. Evacuation of the building is of utmost importance. Escape routes from the building should be posted, and practice drills should be held. A system should be devised to determine when all persons have exited the building so that emergency personnel will not have to enter the building unnecessarily.

Only after it has been declared safe by emergency personnel should the building be entered. At this time a damage assessment team should systematically survey the damage caused to the records by the disaster. Notes and photographs indicating the quantity and type of damage should be taken both for recording the damage and for insurance purposes. Insurance companies should be contacted at this time.

If water damage has occurred, conditions surrounding the damaged records should include temperatures between 70 and 80 degrees with relative humidity of 35% or less. If available, fans and dehumidifiers should be introduced into the storage area, as the growth of mold will develop within 48 to 72 hours. If conditions are not conducive to such actions, the records should be moved to a location where restoration efforts can be undertaken. If restoration will be delayed, wet paper records should be frozen until such time as they can be commercially dried. Wet microfilm and photographic film may be kept in cool, unchlorinated water for up to three days before restoration by professionals.



## **Vital Records Program**

A vital records program should be developed in order to identify those records, which are the most essential to the operation and existence of the office. These records, once identified, should be duplicated, and the duplicate copies stored off-site. Those records that should be selected for protection in this way include records essential to the continued operation of the agency, records required to protect the rights of individuals and government, and records essential to reconstruction of the office.

Using retention schedules as well as an on-site survey, it should be determined exactly what records are in the care of the office staff. Each record series listed on the retention schedules should be located. Knowledge of the record series location will aid in speedy retrieval when a disaster occurs. Once a complete survey has been conducted, a decision must be made to determine those records considered most vital to the office. These will usually consist of the records deemed permanent by archival determination and listed so on the retention schedules.

## **Microfilm Services**

Microfilming is recognized as the best medium for the long-term retention of records. In addition, microfilming reduces storage space required for paper by 98 percent. Agencies with restricted storage space for their records with long term or permanent retention requirements are strongly urged to consider conversion of those paper-based records to microfilm. State law requires that agencies converting records with long term, indefinite, or permanent retention requirements to a digital format must maintain the original source document or a microfilmed copy of the original source document.

**REGIONAL PLANNING COMMISSION OF JEFFERSON, ORLEANS,  
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**APPRAISAL CHECKLIST**

	<b><u>ADMIN. &amp; LEGAL RECORDS</u></b>	<b><u>FINANCIAL RECORDS</u></b>	<b><u>PAYROLL/ PERSONNEL RECORDS</u></b>	<b><u>PUBLIC WORKS RECORDS</u></b>
<b><i>SERIES IDENTIFICATION</i></b>				
What records comprise this series?	_____	_____	_____	_____
Are there auxiliary files (microfilm, printouts) which are part of this series?	_____	_____	_____	_____
Is the series title an accurate description of the records?	_____	_____	_____	_____
<b><i>ADMINISTRATIVE VALUE</i></b>				
Is this series likely to be used in the development or effectiveness of a program or policy?	_____	_____	_____	_____
If yes, how far into the future?	_____	_____	_____	_____
Will these records provide raw data for research projects?	_____	_____	_____	_____
If yes, when are these projects expected to occur?	_____	_____	_____	_____
When will this data become obsolete?	_____	_____	_____	_____
Is this series vital to the function of the office?	_____	_____	_____	_____
If yes, for how long?	_____	_____	_____	_____
If the series were lost, could the office carry out its function?	_____	_____	_____	_____
If not, could the information be recovered from other sources?	_____	_____	_____	_____
How long would that reconstruction take?	_____	_____	_____	_____
Has any authoritative policy been issued covering the use and/or retention of these files?	_____	_____	_____	_____
If yes, what policy and by whom?	_____	_____	_____	_____
What retention?	_____	_____	_____	_____

## APPRAISAL CHECKLIST (CONTINUED)

	<u>ADMIN. &amp; LEGAL RECORDS</u>	<u>FINANCIAL RECORDS</u>	<u>PAYROLL/ PERSONNEL RECORDS</u>	<u>PUBLIC WORKS RECORDS</u>
When should the file be cut off?	_____	_____	_____	_____
Fiscal Year				
Audit				
Calendar Year				
Monthly				
Occurrence of an Event (Specify)				
Other (Specify)	_____	_____	_____	_____
What is the current reference rate for this file?	_____	_____	_____	_____
Records dated this year?				
Records dated last year?				
Records dated the preceding year?				
Records dated the previous year?	_____	_____	_____	_____
How old are the records when they reach their peak reference rate?	_____	_____	_____	_____
Years/Months/Other	_____	_____	_____	_____
How long must this file be in the office for day-to-day operations?	_____	_____	_____	_____
When does the reference cease?	_____	_____	_____	_____
Years/Months/Other	_____	_____	_____	_____
How long is this series needed for the administration of the function?	_____	_____	_____	_____
Total Years/Months	_____	_____	_____	_____
-This file should be cut off each:	_____	_____	_____	_____
Fiscal Year				
Audit				
Calendar Year				
Month				
Other (Specify)	_____	_____	_____	_____
- Where should the file be kept?	_____	_____	_____	_____
Years/Months in office; then	_____	_____	_____	_____
Years/Months in storage, then	_____	_____	_____	_____
destroy	_____	_____	_____	_____
Permanently in storage	_____	_____	_____	_____
Destroy	_____	_____	_____	_____

**APPRAISAL CHECKLIST (CONTINUED)**

	<b><u>ADMIN. &amp; LEGAL RECORDS</u></b>	<b><u>FINANCIAL RECORDS</u></b>	<b><u>PAYROLL/ PERSONNEL RECORDS</u></b>	<b><u>PUBLIC WORKS RECORDS</u></b>
<b>LEGAL VALUE</b>				
Does the enabling legislation for the function require the creation of this series?	_____	_____	_____	_____
If yes, please cite	_____	_____	_____	_____
Does the agency's enabling legislation prescribe a retention schedule for these records?	_____	_____	_____	_____
If yes, how long?	_____	_____	_____	_____
Does the agency's enabling legislation control the function and creation of these records?	_____	_____	_____	_____
If yes, please cite	_____	_____	_____	_____
Are there any Federal regulations prescribing a retention period for these records?	_____	_____	_____	_____
If yes, how long?	_____	_____	_____	_____
Do these files control the legal operation of the State's Constitutional duties? (elections, commissions, etc.)	_____	_____	_____	_____
Do these files control judicial operations? (dockets, etc.)	_____	_____	_____	_____
Are these files the record of state licenses or regulations?	_____	_____	_____	_____
If yes, how long are these controls valid?	_____	_____	_____	_____
Will these files prove the agency's claims to property?	_____	_____	_____	_____
If yes, is this the best series to do so?	_____	_____	_____	_____
Is the best series available?	_____	_____	_____	_____
Are these records necessary for the agency to prosecute an action?	_____	_____	_____	_____
If yes, what is the limitation of these actions?	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____

**APPRAISAL CHECKLIST (CONTINUED)**

	<b><u>ADMIN. &amp; LEGAL RECORDS</u></b>	<b><u>FINANCIAL RECORDS</u></b>	<b><u>PAYROLL/ PERSONNEL RECORDS</u></b>	<b><u>PUBLIC WORKS RECORDS</u></b>
Are these records necessary for the agency to defend against an action?	_____	_____	_____	_____
If yes, how long?	_____	_____	_____	_____
Are these records necessary to protect the rights of a citizen?	_____	_____	_____	_____
If yes, how long?	_____	_____	_____	_____
<b><i>FISCAL VALUE</i></b>	_____	_____	_____	_____
Do these files control or document the generation, expenditure or movement of public funds?	_____	_____	_____	_____
If yes,	_____	_____	_____	_____
Are these State funds?	_____	_____	_____	_____
Are these Federal funds?	_____	_____	_____	_____
If yes, grants? What type?	_____	_____	_____	_____
Revenue sharing?	_____	_____	_____	_____
Other (Specify)	_____	_____	_____	_____
Are these Parish funds?	_____	_____	_____	_____
Are these City funds?	_____	_____	_____	_____
Are these a combination of funds?	_____	_____	_____	_____
If yes, a combination of which sources?	_____	_____	_____	_____
Do these files document	_____	_____	_____	_____
- Revenues owed the State?	_____	_____	_____	_____
- Obligations of the State?	_____	_____	_____	_____
- Bonds?	_____	_____	_____	_____
How long are these records needed to administer these funds?	_____	_____	_____	_____
What are the audit requirements of the funding authority?	_____	_____	_____	_____
Have any regulations been issued covering retention of audited records?	_____	_____	_____	_____
If yes, what policy and by whom?	_____	_____	_____	_____
What retention?	_____	_____	_____	_____
How long must these records be kept to meet all fiscal and audit requirements?	_____	_____	_____	_____
Total Years/Months	_____	_____	_____	_____

**APPRAISAL CHECKLIST (CONTINUED)**

	<b><u>ADMIN. &amp; LEGAL RECORDS</u></b>	<b><u>FINANCIAL RECORDS</u></b>	<b><u>PAYROLL/ PERSONNEL RECORDS</u></b>	<b><u>PUBLIC WORKS RECORDS</u></b>
<b><i>HISTORICAL VALUE</i></b>				
Does this record series document a specific agency program?	_____	_____	_____	_____
If yes, is this program adequately documented in this office?	_____	_____	_____	_____
Is this program unique?	_____	_____	_____	_____
Is this program a departure of previous agency policy?	_____	_____	_____	_____
Is this a new program?	_____	_____	_____	_____
Will this program affect citizens beyond the immediate future?	_____	_____	_____	_____
Does this series document the activities of an important governmental official?	_____	_____	_____	_____
Do these files document the formation of public policy?	_____	_____	_____	_____
Do these records document the condition of the agency in detail at a definite point in time?	_____	_____	_____	_____
Does this record series document the life of an important citizen?	_____	_____	_____	_____
Do these records document a trend or move by the citizenry?	_____	_____	_____	_____
Do these files document a significant event?	_____	_____	_____	_____
Is the information contained in this series available elsewhere?	_____	_____	_____	_____
If so, which series better captures the historical data?	_____	_____	_____	_____
Are these records contemporary with the activities documented?	_____	_____	_____	_____
If yes, are these records authoritative?	_____	_____	_____	_____
Do these files contain information of a historical nature?	_____	_____	_____	_____
If yes, attach a note to retention schedule	_____	_____	_____	_____

**APPRAISAL CHECKLIST (CONTINUED)**

<i><b>DISPOSITION INSTRUCTIONS</b></i>	<b><u>ADMIN. &amp; LEGAL RECORDS</u></b>	<b><u>FINANCIAL RECORDS</u></b>	<b><u>PAYROLL/ PERSONNEL RECORDS</u></b>	<b><u>PUBLIC WORKS RECORDS</u></b>
Administrative Values	_____	_____	_____	_____
Total years needed	_____	_____	_____	_____
Years needed in office	_____	_____	_____	_____
Cut-off period	_____	_____	_____	_____
Fiscal Values	_____	_____	_____	_____
Total years needed	_____	_____	_____	_____
Legal Values	_____	_____	_____	_____
Total years needed	_____	_____	_____	_____
Historical Values	_____	_____	_____	_____
Yes; permanent	_____	_____	_____	_____
No	_____	_____	_____	_____

**REGIONAL PLANNING COMMISSION OF JEFFERSON, ORLEANS,  
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**RECORD RETENTION SCHEDULE**

	<b>RETENTION PERIOD</b>	<b>IN OFFICE</b>	<b>IN STORAGE</b>	<b>DESTROY AFTER</b>	<b>REASON</b>
<b>ADMINISTRATIVE AND LEGAL RECORDS</b>					
<b>COMMISSION PROCEEDINGS</b>					
Minutes	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, administrative & historical value
Agendas	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, administrative & historical value
Affidavits of Publications					
Budget	5 Yrs.	5 Yrs.	NA	5 Yrs.	Fiscal & legal value ends
Other	5 Yrs.	5 Yrs.	NA	5 Yrs.	Fiscal & legal value ends
Oaths of Office	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, & historical value
Fidelity Bonds	5 Yrs after expiration	Current	Expired	5 Yrs after expiration	Legal value ends
<b>REAL PROPERTY</b>					
Title Documents (Deeds, Easements, Rights-of-Way)	Permanent	Until disposed	Upon disposal	NA	Continuing legal, administrative & historical value
<b>GENERAL</b>					
Bids	5 Yrs.	Current	Non-Current	5 Yrs.	Legal & fiscal value ends
Contracts or agreements for services, purchase of equipment, or supplies, concessions	5 Yrs.	Current	Non-Current	5 Yrs.	Legal & fiscal value ends
Correspondence; E-Mail	Usefulness	Current	Non-Current	NA	Possible continuing legal, administrative & historical value
Daily Diaries/Logs	5 Yrs.	Current	Non-Current	5 Yrs.	Administrative value ends
Equipment Records					
Inventory	5 Yrs.	Current	Non-Current	5 Yrs.	Administrative value ends
Maintenance	5 Yrs. after disposal	Until disposed	4 Yrs. after disposal	5 Yrs. after disposal	Administrative value ends
Insurance Policies	5 Yrs after expiration	Current	Expired	5 Yrs after expiration	Legal value ends
Leases	5 Yrs after expiration	Current	Expired	5 Yrs after expiration	Legal value ends
Legal Actions	5 Yrs. after closure	1 Yr. after closure	4 Yrs. after closure	5 Yrs. after closure	Administrative and legal value ends
Legal Opinions	Permanent	Permanent	NA	NA	Continuing administrative & legal value



**RECORD RETENTION SCHEDULE (CONTINUED)**

	<b>RETENTION PERIOD</b>	<b>IN OFFICE</b>	<b>IN STORAGE</b>	<b>DESTROY AFTER</b>	<b>REASON</b>
<b>ADMINISTRATIVE AND LEGAL RECORDS (Continued)</b>					
Maps	Permanent	Permanent	NA	NA	Continuing administrative and historical value
Studies, Surveys, and Other Resource Information	Permanent	Permanent	NA	NA	Continuing administrative and historical value
<b>FINANCIAL RECORDS</b>					
<b>REVENUE</b>					
Assessments-Dues; Matching Amounts	Permanent	CY + PY	> PY	NA	Continuing historical value
Grant Agreements and Awards	7 Yrs. after completion	3 Yrs. after completion	> 5 Yrs. after completion	7 Yrs. after completion	Fiscal value ends; grantor limitations
<b>ACCOUNTING</b>					
Accounts Payable					
Purchase Orders	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Invoices, Statements, Bills	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Accounts Receivable					
Daily Cash Transactions	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Invoices, Statements, Bills	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Books of original entry/ledgers					
General Journal	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
General Ledger	Permanent	CY + PY	> PY	NA	Continuing fiscal value
<b>BANKING</b>					
Account Statements	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Cancelled Checks	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Reconciliations	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
<b>FINANCIAL REPORTS</b>					
Annual Financial Reports	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing fiscal value
Grant Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
<b>BUDGET</b>					
Original	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing fiscal value
Amended	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing fiscal value
<b>PAYROLL AND PERSONNEL RECORDS</b>					
<b>PAYROLL</b>					
Payroll Journal	60 Yrs	Current employees	Previous employees	60 Yrs.	Fiscal value ends. Satisfies long-term needs for future salary and pension inquiries
Payroll Support	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Federal Report Forms					
W-2, W-3, W-4	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
940, 941	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Copy of Deposit Card	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
1096, 1099	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
State Report Forms					
L-2, L-3, L-4	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
LDOL-ES	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Copy of Deposit Card	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends

**RECORD RETENTION SCHEDULE (CONTINUED)**

	<b>RETENTION PERIOD</b>	<b>IN OFFICE</b>	<b>IN STORAGE</b>	<b>DESTROY AFTER</b>	<b>REASON</b>
<b>PAYROLL AND PERSONNEL RECORDS (Continued)</b>					
Retirement Reports					
LASERS	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
Sheltered Annuity Plan	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal value ends
<b>PERSONNEL</b>					
Individual Employee files					
Job Description	Permanent	Permanent	NA	NA	Continuing historical value
Application and Resume	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Evaluations, Disciplines, Demotions	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Promotions, Awards	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Continuing Education	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Resignations; Reason for Leaving	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Unemployment Insurance Claims	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Garnishments	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Enrollments-Direct Deposit, Insurance	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Etc.	60 Yrs	Current employees	Previous employees	60 Yrs.	Administrative value ends. Satisfies long-term needs for future inquiries
Applications for Non-Hires	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative value ends
Equal Employment Opportunity Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative value ends

**RECORD RETENTION SCHEDULE (CONTINUED)**

	<b>RETENTION PERIOD</b>	<b>IN OFFICE</b>	<b>IN STORAGE</b>	<b>DESTROY AFTER</b>	<b>REASON</b>
<b>PAYROLL AND PERSONNEL RECORDS (Continued)</b>					
<b>Health Insurance</b>					
Employer's Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
OSHA Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
Workers' Compensation Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
<b>Miscellaneous Personnel Reports</b>					
Classification Studies	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
Compensation Surveys	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
Administrative Studies	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
Job Specifications	Permanent	Permanent.	NA.	NA.	Continuing historical value
Personnel Policies, Pay Plans, Etc.	Permanent	Permanent.	NA.	NA.	Continuing historical value
Internal Investigations-Harassment, etc.	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and legal value ends
<b>PUBLIC WORKS RECORDS</b>					
<b>CAPITAL IMPROVEMENT PROJECTS</b>					
<b>Authorization Phase</b>					
Minutes	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, administrative & historical value
Specifications	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, administrative & historical value
Bids (Instructions, Bid Bonds, Tabulations, Fidelity or Performance Contract)	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Fiscal and legal value ends
<b>Financing</b>					
State &/or Federal Grants	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
<b>Pre-Constructions Phase</b>					
Appraisals	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative value ends
Environmental Impact Study	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative value ends
Historical Survey	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing historical value
Relocations	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
Condemnations	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, & historical value
Demolitions	Permanent	5 Yrs.	> 5 Yrs.	NA	Continuing legal, & historical value

**RECORD RETENTION SCHEDULE (CONTINUED)**

	<b>RETENTION PERIOD</b>	<b>IN OFFICE</b>	<b>IN STORAGE</b>	<b>DESTROY AFTER</b>	<b>REASON</b>
<b>PUBLIC WORKS RECORDS (Continued)</b>					
Construction Phase					
Work Orders	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
Daily Diaries	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
Change Orders	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
Inspections, Testing	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
Progress Reports	7 Yrs	3 Yrs.	> 3 Yrs.	7 Yrs.	Administrative and fiscal value ends
As-Built Drawings	Permanent	Permanent	NA	NA	Continuing administrative and historical value
Certificate of Completion, Acceptance	Permanent	Permanent	NA	NA	Continuing administrative and historical value
Deeds, Easements, Rights-of-Way	Permanent	Permanent	NA	NA	Continuing legal and historical value
Land Survey records	Permanent	Permanent	NA	NA	Continuing legal and historical value
Photos, Aerial	Permanent	Permanent	NA	NA	Administrative value ends. Possible historical value
Correspondence, E-Mails	Usefulness	Current	Non-Current	NA	Possible continuing legal, administrative & historical value