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See ALSO PART 2 PDF 251057

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2 SIDES SCAN

BACK

**NEW YORK STATE ARCHIVES AND RECORDS ADMINISTRATION (SARA)
STATE GOVERNMENT RECORDS PROGRAMS**

**GENERAL
RETENTION AND DISPOSITION
SCHEDULE
FOR NEW YORK STATE GOVERNMENT
RECORDS**

Effective April 1997 through March 2002

9B74 Cultural Education Center, Albany, New York 12230

(518) 474 - 6771

The University of the State of New York The State Education Department

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INTRODUCTION

Records are a basic tool of government administration. They provide information for planning and decision making, and they are the foundation for government accountability. Records retention and disposition are subject to direct legal requirements. This *General Retention and Disposition Schedule for New York State Government Records* contains guidelines for complying with legal, fiscal, and administrative requirements for records retention and provides advice on cost-effective management of records commonly found in all State agencies. The schedule provides legal authorization to dispose of common records on a regularly scheduled basis.³ It replaces earlier general schedules issued by the State Archives and Records Administration (SARA) for personnel, fiscal, and administrative records and the previous version of the *General Retention and Disposition Schedule for New York State Government Records* issued in 1994. These previous general schedules should no longer be used to govern the disposition of records.

The purpose of the schedule is to

- provide agencies with uniform guidelines for the retention and disposition of common administrative, fiscal, and personnel records
- ensure that agencies retain these records as long as needed for internal administration, and to meet legal, audit, and other State and Federal requirements
- promote the cost-effective management of records
- provide agencies with legal authorization to dispose of obsolete records covered by the schedule on a regularly scheduled basis after minimum retention periods have been met.

The schedule was prepared by SARA's State Records Advisory Services. It has been reviewed and approved by representatives of the Attorney General and the State Comptroller and authorized for use by the Director of SARA pursuant to the provisions of Section 57.05 Arts & Cultural Affairs Law.

³ The retention and disposition of State records is governed by Subdivision 11, Section 57.05 Arts & Cultural Affairs Law (formerly Section 186 State Finance Law) and 8 NYCRR Part 188. Executive Branch agencies may not destroy or otherwise dispose of any records unless such disposition is authorized by the State Archives and Records Administration (SARA), acting on behalf of the Commissioner of Education and in cooperation with the State Comptroller and the Attorney General. Under 8 NYCRR Part 188.10, SARA may issue general records retention and disposition schedules to authorize disposition of records common to some or all agencies.

POLICY AND PROCEDURES FOR AGENCY USE OF GENERAL SCHEDULES

State agencies may not dispose of any records without disposition authorization from SARA consistent with provisions of Section 57.05 of Arts and Cultural Affairs Law. SARA issues general schedules to authorize the retention and disposition of records common to some or all agencies. An agency may use general schedules issued by SARA for any applicable records in its custody by notifying SARA of its intention to use the schedule and by retaining its records at least as long as the minimum retention periods established in this schedule. Use of the general schedule eliminates the need for an agency to request separate authorizations to dispose of records covered by the schedule.

Agencies may use any or all of the authorizations in this schedule to dispose of records, provided that the agency Records Management Officer first notifies SARA in writing of the intent to use the schedule. Following this notification, records may be disposed of on a continuing basis, provided the minimum retention period has been met. Program staff should contact their agency Records Management Officer to make certain that the schedule has been adopted before using it to dispose of records. Agencies may discontinue use of the schedule at any time, but the Records Management Officer should notify SARA of the discontinuance.

The schedule will remain in effect until March 31, 2002, unless the schedule is replaced, withdrawn, or superseded by the Attorney General, the State Comptroller, or the Director of SARA. In the event of a change in the retention or disposition of records listed in this general schedule, SARA will notify all agency Records Management Officers in writing. SARA will issue a revised general schedule by April 1, 2002.

SCOPE OF THE SCHEDULE

This schedule provides retention and disposition authorizations for records commonly created and maintained by State Executive Branch agencies to support administrative, personnel, and fiscal activities.⁴ According to State law and regulation

Records means all books, papers, microforms, computer-readable materials, maps, photographs, film, video and sound recordings, or other documentary materials, regardless of physical form or characteristics, made or received by any agency or by the legislature or the judiciary in pursuance of law or in connection with the transaction of public business and

⁴ For the purposes of this schedule, State agency means any State board, bureau, division, committee, commission, council, department, division, office, or other governmental entity subject to Arts and Cultural Affairs Law Section 57.05.

preserved by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities, or because of the information contained therein.⁵

This definition uses the following criteria:

- Format -- the definition includes all formats of material, including electronic records.
- Function -- created or received in pursuance of law or in conjunction with public business.
- Purpose -- preserved (i.e., retained) as evidence of organization, functions, policies, decisions, procedures, operations, or other government activities, or retained because of the information they contain.

The Arts and Cultural Affairs Law and SARA regulations exclude the following materials from the definition of records:

Library or museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of blank forms do not constitute records under this definition.

Agency staff, with assistance from the agency Records Management Officer, should use sound judgment and apply consistent criteria when deciding whether recorded information constitutes records. A consistent approach to defining records ensures that agencies create or capture adequate documentation of their programs and operations for ongoing administrative purposes and helps to meet legal and audit requirements. Some examples of information that may be excluded from the definition of records include

- temporary drafts or personal notes that were not circulated, reviewed, or used to make decisions or complete transactions
- extra copies of documents that were created or distributed solely for reference purposes
- temporary files used solely to change the arrangement or format of electronic records
- electronic versions of documents, transactions, or reports, when the record is retained on paper or microfilm to provide evidence or for legal or audit purposes

⁵ Arts and Cultural Affairs Law Section 57.05 and 8 NYCRR Part 188.

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- conversely, extra copies of correspondence, reports, and printouts when the record is retained in electronic form to provide evidence or for legal or audit purposes
- copies of files or extracts of databases created solely to transfer data between systems.

Decisions about which material constitutes a record should be documented in agency policies and procedures. The agency Records Management Officer and SARA staff can provide advice and assistance in distinguishing records from nonrecord material.

Types of Records Covered by This Schedule

The schedule covers 212 records series. It is organized into 23 separate sections, each of which covers the records created or used to carry out a specific function. Each section begins with a short definition of the function, a listing of pertinent control agencies for the function, and then a summary schedule providing basic information on retention and disposition of the records covered by the section. The summary schedules are followed by more complete descriptions and other information specific to each records series in the section. The 23 sections cover the following functions:

Activity/Production Scheduling and Reporting -- Scheduling, planning, and reporting on routine or recurring activities in agencies or program units.

Administrative Analysis, Planning, and Procedures Development -- Analysis and planning activities carried out to identify and solve administrative problems and to develop operational procedures.

Affirmative Action -- Programs administered in compliance with various State and Federal requirements to ensure equal employment opportunities for and prevent discrimination against members of protected classes.

Budget Preparation -- Development and submission of annual agency budget requests.

Electronic Data Processing -- Activities undertaken by agencies to design, develop, and provide electronic data processing services.

Employee Relations -- Programs and activities that establish and implement the terms and conditions of employment in Executive Branch agencies.

Equipment, Supplies, and Motor Vehicle Management -- Activities intended to ensure efficient and effective control, use, and maintenance of State-owned property, equipment, and other resources, excluding real property or fixed assets.

Facilities Management -- Operation and maintenance of buildings or other facilities owned or leased by New York State.

Fiscal Operations -- Activities undertaken by agencies to manage, account for, collect, and expend funds (see also Payroll).

Forms Management -- Activities to control, standardize, design, create, and monitor use of forms.

Health, Safety, and Security -- Monitoring and reporting agency compliance with health and safety standards, first aid and preventive health, regulation and monitoring of the environment in State facilities, storage and use of toxic and harmful substances, facility security, fire prevention and response, and disaster preparedness and response.

Internal Controls -- Methods and measures adopted within an agency to safeguard its assets, check the accuracy and reliability of its accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies.

Library Operations -- Acquisition and management of agency library collections, reference and research use, materials circulation, and interlibrary loan operations.

Mail and Messenger Services -- Use of interagency mail, private vendors, or the U.S. Postal Service for mail, message, and parcel pickup and delivery.

Minority and Women-Owned Business Development -- Activities intended to assist minorities and women to enter and remain in the mainstream of economic activities.

Office Administration -- Activities associated with the routine operation of most program units in State government.

Payroll -- Activities associated with preparation, issuance, and accounting for State employee compensation.

Personnel -- Recruitment and appointment of agency staff, monitoring and developing the agency work force, development and implementation of agency personnel policies and procedures, and administration of employee benefits programs.

Public Information -- Activities that provide information on agency programs and services, respond to inquiries from the public, disseminate information, and administer the Freedom of

Introduction

Information and Personal Privacy Protection laws.

Publication and Reproduction Services -- Publication, printing, photoduplication, and other forms of document reproduction for large-volume runs of publications and smaller quantities of documents for limited distribution.

Records Management -- Activities undertaken to improve the management of records and to comply with records management regulations.

Telecommunications (Voice and Fax) Management -- Planning, implementation, operation, and maintenance of telephone and other facilities for voice and fax communications.

Training -- Educational activities undertaken by agencies to help ensure a work force with the skills and knowledge sufficient to accomplish agency goals, and to offer employees opportunities for professional development.

Records Not Covered by This Schedule

This schedule does not apply to the types of records listed below.

- **Records created or maintained by control and service agencies** that are used to carry out or document governmentwide approval, control, audit, or oversight responsibilities, or to provide centralized services to other agencies. These control and service agencies are identified specifically in the introductions to each major section of the schedule or in the *Records Not Covered* section of a schedule item.
- **Records being used for audits or legal actions.** Records being used for audits or legal actions must be kept until the audit is satisfied or the legal action ends, even if their minimum retention period has passed.
- **Original records that are microfilmed or scanned for storage on a digital imaging system before the minimum retention period has passed.** If an agency wishes to retain records on microfilm or as digital images in lieu of originals, the agency Records Management Officer must submit a separate Records Disposition Request to SARA before destroying original records. SARA staff will advise agencies on the feasibility and cost-effectiveness of microfilming and digital imaging.
- **Records that are subject to specific Federal retention requirements longer than the retention periods authorized in this schedule.** Agencies must make certain that the retention periods in this schedule are sufficient to meet applicable audit, reporting, or records retention requirements for any programs that are subject to Federal government

audits or oversight. If longer retention periods are needed to meet Federal requirements, then agencies must submit separate records disposition requests for such records.

INTERPRETING SCHEDULE ITEMS

SAMPLE ENTRY

90303 Building Admittance and Visitor Logs -- Logs of entry to and exit from agency facilities containing visitor name, organization or business, address, reason for visit or person/unit visited, and dates and times of entry and exit.

Minimum Retention and Disposition: Destroy 3 years after the end of the year to which they relate.

Justification: This retention period meets the statute of limitations involving personal injury litigation (Section 214 of the Civil Practice Law and Rules). It also meets or exceeds the statute of limitations for initiating criminal prosecutions for misdemeanors (Section 30.10 of the Criminal Procedure Law).

Records Not Covered: *Records maintained by facilities that require extraordinary security (e.g., State Police barracks, correctional facilities, and secured mental health facilities) and records maintained by the Office of General Services in its capacity as a service agency for building security.*

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

For each records series, the schedule entry provides the following information:

- **A Records Disposition Authorization (RDA) Number** for each authorized retention period. This is a control number assigned by SARA to indicate that the retention period has been authorized and to control the retention and final disposition of records stored in the State Records Center.
- **Title and Description:** A title that describes the contents, types of materials, and/or function of the records series and a brief description of the common uses for the records.

Introduction

- **Retention and Disposition:** Retention is the **minimum** amount of time that records must be retained by the agency and the final action that can be taken after the minimum retention period has passed. Disposition is the method of disposal authorized for the records.
- **Justification:** A brief explanation of the reasons for the retention period and the final disposition.
- **Records Not Covered:** An indication of records that are not covered by a schedule entry.
- **Note:** Some items will include explanatory notes.

SUGGESTIONS FOR EFFECTIVE USE OF THIS SCHEDULE

Good records management involves controlling records from the point of creation to final disposition through their destruction or transfer to the State Archives. This schedule and the following suggestions will help both agency Records Management Officers and program staff control the creation, distribution, storage, and disposition of administrative records.

Create and Maintain Adequate Recorded Documentation of Administrative Policies, Procedures, Transactions, and Controls

Agencies should use this schedule to organize both manual and automated files, establish or refine recordkeeping systems, and design information flows that are consistent with records management principles and which will help agencies create and maintain adequate documentation as required by the New York State Government Accountability, Audit, and Internal Control Act and any other legal and fiscal recordkeeping requirements.⁶ Documentation of administrative activities must be complete, purposeful, and useful to managers for controlling administrative operations and to auditors or others involved in analyzing operations. This schedule may serve as a guide in designing manual files and automated access and retrieval systems, and in planning for records equipment, supplies, and storage needs. During the initial design of records and information systems, agency staff should give due attention to future needs for retrieval, security, disposition, and preservation of the records.

Relate Administrative Records to Specific Schedule Entries

This schedule covers all copies of records whether maintained in central, regional, or facility administrative offices, or by program units. The records series descriptions in the schedule are intended to encompass the variety of ways in which agencies maintain their records. Therefore, the titles and

⁶ Chapter 814, Laws of 1987.

descriptions of records series may not reflect the exact titles or filing arrangements used by each agency. Agencies have considerable flexibility in applying the schedule to their specific needs, as long as records are kept at least as long as the minimum retention set forth in this schedule. Agencies should review the title, description of the records series, and justification to help determine whether an item applies to a particular series of records. If you are not certain whether the schedule applies to a specific group of records or if you need assistance with records not covered by this schedule, please contact your agency Records Management Officer or SARA staff for advice and assistance.

Identify the Appropriate Retention Periods for Multiple Copies

Many records are produced in multiple copies, as a result of photocopying, multi-copy forms, or multiple electronic documents or data files. Sometimes records exist in multiple media or formats. All schedule entries provide a retention period for copies of records retained by the program office responsible for a specific function. These are commonly referred to as the "record copies" of the records. Some entries also provide another, usually shorter, period for other copies ("non-record copies") retained in other offices. In such cases, each program unit must determine which retention period is applicable prior to disposing of records. The agency Records Management Officer should work with administrative and program units to make these determinations, including identifying offices responsible for maintaining the "record copies" of documents. The Records Management Officer should consult with SARA if there are unresolved questions.

Use of This Schedule for Subject and Correspondence Files in Program Units

Program units often interfile their copies of administrative records in general subject and correspondence files. The general categories used to organize this schedule may serve as a useful guide for organizing subject and correspondence files in program units. In some cases, program staff may find it possible to weed these files on a regular basis using the schedule as a guide to identify obsolete records that may be discarded. However, because weeding is labor intensive and time consuming, it usually is not an effective way to remove obsolete records from large subject and correspondence files. Program units can employ file cutoffs in which all records created during a specific period of time (e.g., one fiscal or calendar year) are kept for the longest retention period required for any of the interfiled records, and then dispose of the obsolete records together as a unit. Agencies should consider redesigning filing systems if regular disposition of obsolete records is problematic.⁷

Use of This Schedule for Records of Electronic Data Processing Units and for Electronic Records in Program Units

⁷ SARA's *Guide to Efficient Filing Systems* provides advice on filing system design. SARA's *Managing Records in Automated Office Systems* provides advice on system design and maintenance of records in automated office systems. These free publications are available from agency Records Management Officers or from SARA.

Introduction

This general schedule applies to all records regardless of format or media, including computer-generated electronic records. The Electronic Data Processing section of the schedule provides agencies with uniform guidelines for the retention and disposition of common EDP unit records in both hard copy and electronic form. The section covers records for which EDP units are responsible, including administrative records and those used to process data and monitor and control operations.

Data processing units are often the physical custodian of records, most often computer-readable electronic records, used to support program operations. These types of records must be retained to meet retention requirements specified by the program area. This EDP section does not cover electronic records that support program functions and activities. Program managers and staff are responsible for developing and applying retention schedules to those electronic records retained to meet program-specific requirements. Electronic records not included in this schedule must be scheduled separately by the program unit having the responsibility and authority to determine their retention requirements and final disposition.

Use of this schedule will ensure that EDP unit records are retained long enough for administrative needs, to meet legal and audit requirements, and to support management and control of automated systems that create and maintain electronic records. The guidelines have been developed to conform to generally accepted data processing practices. The schedule can also be used to help agencies define records that are the responsibility of EDP units and those that should be the responsibility of other program units.

Dispose of Records on a Regular Basis

Once adopted, an agency may use this schedule to dispose of obsolete records on a continuing basis after their minimum retention periods have been met. Disposition should be carried out periodically (generally once a year or at least once every two years). To facilitate orderly disposition of paper records, agency staff should review filing arrangements, cut off files periodically, and develop procedures to segregate inactive and obsolete files. Agencies should also develop and implement procedures for effective purging of electronic records from automated information systems on a regular basis. Disposition of electronic records can include down-loading them to off-line storage media such as magnetic tapes or diskettes, and eventual deletion or erasure. If files have not been purged for several years, this schedule may identify a significant volume of obsolete records that can be destroyed immediately.

Agencies should determine that no legal actions have been initiated which might require access to records before disposing of them. This is particularly important for records having a retention period based upon a legal statute of limitation because of the possibility that legal actions may have begun during the last days or weeks of the limitation period. If a case-by-case review of files prior to disposition is impractical, the Office of the Attorney General advises that the records be retained an additional three months beyond the minimum retention period. The "justification" portions of

authorizations in this schedule clearly indicate when the minimum retention periods for records are based upon a statute of limitation.

Disposition includes transfer of records to Records Center storage, when appropriate, and destruction of records through the State's wastepaper recycling contract, which SARA administers. SARA administers a revenue contract for the removal, secure destruction, and recycling of obsolete records from State-owned and leased facilities in the Albany area. All agencies are required to use this service, which provides for the confidential destruction of record material. The agency Records Management Officer should arrange for removal of records in accordance with the wastepaper contract by contacting SARA's Records Center Services at (518) 457-3171.

Retention of Records Longer Than the Authorized Minimum Period

Generally, records should be destroyed when the minimum retention period has been met, unless the records are being used in an audit or legal action, or if the agency requires them for continued reference or other administrative purposes. Obsolete records consume expensive office space and computer storage capacity, and they can hinder efficient access and retrieval of current records. Implementation of the schedule will allow agencies to destroy inactive records when they become obsolete in a timely and efficient manner.

Specific or temporary situations in an agency may create the need for retention periods that exceed the minimum retention periods in this schedule. Examples of situations that may require longer retention periods include stringent internal audit requirements, use of records to conduct research or monitor long-term trends, or the need to use records for ongoing investigations. Agencies are not required to destroy records at the end of the retention period, and they are not required to inform SARA if they intend to keep records longer. However, if agencies intend to retain records longer than the minimum retention periods as a regular business practice, they should document this intent in written internal procedures. This will provide documentation of normal practice for Freedom of Information Law requests, for legal actions such as discovery motions, or to justify continued storage of records in the State Records Center. Agencies may submit separate Records Disposition Requests (RDRs) for those series that they wish to retain longer than the retention periods in this schedule, but they are not required to do so.

Identify and Protect Vital Records

Agencies should identify "vital records" through risk assessment and provide for their security and protection. Vital records are those records that are essential to the operation of the agency and that would be required to resume and continue government operations after a disaster, to recreate legal and financial status of the organization, or to fulfill obligations to the public and employees. Examples of vital administrative records might include policies and procedures for particularly significant agency activities, data documentation for critical electronic information systems, and unique records documenting crucial

Introduction

physical plant structures and operating systems. Protection of vital records generally requires creation of duplicate copies, usually by microfilming or by creating backup computer tapes, which are stored in the State Records Center or other secure off-site location.

Archival Records

Archival records are those records designated by SARA for continuous preservation because they have enduring administrative, legal, fiscal, educational, historical, or other values. Seven series of records covered by this schedule are designated as entirely or partially archival:

- 90109 Agency Copy of Agency Budget Request
- 90202 Reports of Major Administrative Studies
- 90203 Major Administrative and Operational Plans
- 90208 Major Administrative Policies and Procedures
- 90336 Press Release Files
- 90338 Agency Annual Reports
- 90359 Labor-Management Process Records.

One copy of Agency Copy of Agency Budget Request (90109), Reports of Major Administrative Studies (90202), Major Administrative and Operational Plans (90203), and Major Administrative Policies and Procedures (90208), and supporting documentation should be retained in executive level files, which will be evaluated by SARA staff for transfer to the State Archives. Press Release Files (90336), Agency Annual Reports (90338), and Labor-Management Process Records (90359) have been consistently appraised as archival by SARA. These records should be transferred periodically to the State Archives. In addition, Personal History Files (90001) of employees who left State service prior to 1945 may be archival. Please contact the State Archives and Records Administration regarding disposition of these records. The final disposition for all other records covered by this schedule is, *destroy*.

Store Inactive Records Off-Site

The State Records Center, operated by SARA, provides safe, low-cost storage and reference and retrieval services for inactive records. Inactive records that are not needed on a regular basis to conduct current business may be stored more cost effectively at the State Records Center's facilities. Agencies that need to retain records in the Records Center longer than the minimum retention periods on this schedule may do so, if a written justification for the longer retention is provided. Agency program staff should contact their Records Management Officer to apply to transfer records to the Records Center. Additional information about Records Center services and facilities is available from SARA's Records Center Services, Building 21, State Office Campus, Albany, NY (518) 457-3171.

SOURCES OF ADDITIONAL INFORMATION AND ASSISTANCE

Each agency has a designated **Records Management Officer**, who coordinates the agency's records management program and serves as the primary contact for agency staff seeking information on adoption and use of general schedules. The Records Management Officer is responsible for agencywide records management planning, program development, training, and technical assistance, including records inventorying and scheduling. Agency staff should contact their Records Management Officer for advice on use of this schedule. Most agencies also have an **Internal Controls Officer** who may be able to review the adequacy of policies and procedures for documenting administrative operations. The agency **Public Records Access Officer**, who is responsible for implementing agency programs to comply with the Freedom of Information and Personal Privacy Protection Laws, can provide advice on public access questions.

SARA staff, working in conjunction with the agency Records Management Officer, assist agencies with developing or improving records access, storage and retrieval systems, assessing the feasibility of microfilming or imaging records, managing electronic records, and implementing retention and disposition schedules. SARA also provides courses for State agency personnel on a variety of records management topics. SARA staff can assist you in learning about these and other services and in coordinating their delivery to your agency.

For additional assistance, contact your agency Records Management Officer, or call or write SARA, 9B74 Cultural Education Center, Albany, New York 12230, telephone (518) 474 - 6771.

ACTIVITY/PRODUCTION SCHEDULING AND REPORTING

Activity and production scheduling and reporting refers to records created to schedule, plan, and report on routine or recurring activities in agencies or program units.

SUMMARY SCHEDULE

RDA #

90200 Routine Activity and Production Reports

Destroy when superseded or obsolete.

90201 Routine Scheduling Records

Destroy when superseded or obsolete.

**ACTIVITY/PRODUCTION SCHEDULING AND REPORTING
RECORDS DISPOSITION AUTHORIZATIONS**

90200 Routine Activity and Production Reports – Occasional and periodic reports, work load reports, work progress reports, backlog and production reports, and cumulative and summary reports used to monitor and document recurring and routine activities or production.

Minimum Retention and Disposition: Destroy when superseded or obsolete.

Justification: Routine activity and production reports are used for a short time for analysis and planning of operations.

90201 Routine Scheduling Records – Calendars, lists, and logs used by agencies and program units to schedule routine activities such as meetings, work shifts, telephone or front desk coverage, and time off or vacations.

Minimum Retention and Disposition: Destroy when superseded or obsolete.

Justification: These records have no legal or fiscal value.

ADMINISTRATIVE ANALYSIS, PLANNING, AND PROCEDURES DEVELOPMENT

Agencies carry out administrative analysis and planning activities to identify and solve administrative problems and to develop operational procedures. Administrative analysis and planning activities include evaluation of organizational structure, operations, work force, information systems, and procedures. These activities often produce plans, proposals, and other recommendations for reorganization, new or revised procedures, and new information systems. Administrative analysis and planning projects may address agencywide issues or they may be limited to problems in one or a few program areas. Some agencies have separate planning units, while other agencies combine administrative analysis, planning, and procedure development in a single unit.

SUMMARY SCHEDULE

RDA #

90202 Reports of Major Administrative Studies

Retain 1 copy of the final report and any responses in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in office of origination for 3 years after report recommendations are implemented or rejected, then destroy. Destroy other copies when no longer needed for administrative reference.

90203 Major Administrative and Operational Plans

Retain 1 copy of the final plan and any responses in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in office of origination for 3 years after implementation of the plan or supersession by a new plan, then destroy. Destroy other copies when no longer needed for administrative reference.

90204 Reports of Routine Administrative Studies

Designate 1 copy as the master copy and retain for 3 years after the implementation or rejection of the study recommendations, then destroy. Destroy other copies when no longer needed for administrative reference.

- 90205 Administrative Study and Survey Work Papers**
Destroy 1 year after implementation or rejection of study recommendations.
- 90206 Routine Operational Plans**
Destroy all plans after implementation or when superseded by a new plan.
- 90207 Administrative Analysis and Planning Subject Files**
Destroy when obsolete or superseded.
- 90208 Major Administrative Policies and Procedures**
Retain 1 copy of all major administrative policies and procedures in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in issuing office for 6 years after policy is withdrawn, revised, or superseded, then destroy. Destroy other copies when no longer needed for administrative reference.
- 90209 Routine Administrative Policies and Procedures**
Retain 1 copy in issuing office for 3 years after policy or procedure is withdrawn, revised, or superseded, then destroy. Destroy other copies when no longer needed for administrative reference.
- 90362 Agency Copies of Control Agency Policies and Procedures**
Destroy when obsolete or superseded.
- 90210 Administrative Policies and Procedures Background and Development Files**
Destroy 1 year after a policy or procedure is issued.

**ADMINISTRATIVE ANALYSIS, PLANNING, AND PROCEDURES DEVELOPMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90202 Reports of Major Administrative Studies – Major administrative studies are initiated by the agency head, or conducted in response to a legislative, Federal, or an Office of the State Comptroller program audit, an executive order, or a court order. They generally address agencywide operations or issues, affect the largest or most critical agency functions, or address issues of public visibility and concern. Studies that recommend elimination, merger, or reorganization of an agency or a major subdivision are considered major studies.

Minimum Retention and Disposition: Retain 1 copy of the final report and any responses in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in office of origination for 3 years after report recommendations are implemented or rejected, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Major administrative studies may have long-term value for research on agency program development and priorities. Administrative studies may also be used in program management audits by the Office of the State Comptroller or other control agencies. SARA staff will evaluate executive level files to determine their archival value and arrange for their preservation, if warranted.

Note: Agencies should send 30 paper copies and one electronic copy of all published reports to the NYS Library's Gifts and Exchange Unit for inclusion in the State Documents Depository System.

90203 Major Administrative and Operational Plans – Comprehensive plans for the administration, reorganization or operation of an entire agency or major subdivision. Administrative and operational plans do not include mission-related or program-specific plans (e.g., State Energy Master Plan, State University Construction Fund Campus Master Plans).

Minimum Retention and Disposition: Retain 1 copy of the final plan and any responses in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in office of origination for 3 years after implementation of the plan or supersession by a new plan, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Major administrative and operational plans may have long-term value for research on agency program development and priorities. Plans may also be used in program audits by the Office of the State Comptroller or other control agencies. SARA staff will evaluate executive-level files to determine their archival value and arrange for their preservation, if warranted.

90204 Reports of Routine Administrative Studies -- Reports of studies, surveys, management audits, or similar efforts that analyze routine operations, procedures, or processes or that address administrative problems in a single program unit.

Minimum Retention and Disposition: Designate 1 copy as the master copy and retain for 3 years after the implementation or rejection of the study recommendations, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Administrative studies may be used in program management audits by the Office of the State Comptroller and other control agencies.

90205 Administrative Study and Survey Work Papers -- Project design plans, survey forms, data bases, charts and diagrams, statistics, analyses, research materials, and related records created or collected for major or routine studies, surveys, management audits, or plans.

Minimum Retention and Disposition: Destroy 1 year after implementation or rejection of study recommendations.

Justification: Records should be kept for 1 year to verify and justify conclusions and recommendations.

90206 Routine Operational Plans -- Plans developed to guide administrative and routine operations in program areas. These records typically include program unit weekly, monthly, and yearly work plans and plans for specific projects.

Minimum Retention and Disposition: Destroy all plans after implementation or when superseded by a new plan.

Justification: Routine operational plans are not needed for reference once they are superseded or all activities are completed.

90207 Administrative Analysis and Planning Subject Files -- Correspondence, memoranda, copies of reports, articles, and related background materials, arranged by subject and used to support administrative analysis, planning, and development of procedures.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Justification: These records have no legal or fiscal value.

Note: Agencies should cut off files at the end of each fiscal or calendar year and dispose of all obsolete records at regular intervals. Agencies should not use this item for records which are covered by separate authorizations in this schedule.

90208 Major Administrative Policies and Procedures -- Major administrative policies and procedures generally are issued by the agency head, chief administrative officer, or an executive-level office to address agencywide operations, critical agency functions, or issues of public visibility or concern. Major policies and procedures are formally promulgated and often take the form of formal directives, formal policy memoranda, printed or published procedures, bulletins, orders, rules, notices, or formal policy and procedural manuals. This series does not include policies or procedures that regulate activities outside the agency or that are established through statute or regulations.

Minimum Retention and Disposition: Retain 1 copy of all major administrative policies and procedures in the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain 1 copy in issuing office for 6 years after policy is withdrawn, revised, or superseded, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Major administrative policies and procedures may have long-term value for research on agency missions, program development, and accomplishments. SARA staff will evaluate executive-level files to determine their archival value. Major administrative policies and procedures may be used in development of agency operational plans, in program audits by the Office of the State Comptroller or other control agencies, and in litigation.

90209 Routine Administrative Policies and Procedures -- Administrative policies and procedures governing routine, day-to-day operation of an agency or program unit. These records may include memoranda, orders, directives, guidelines, bulletins, manuals or other instructions which are directive in nature. Routine administrative policies and procedures usually explain operating policies and procedures pertaining to the internal administration of an agency or program unit.

Minimum Retention and Disposition: Retain 1 copy in issuing office for 3 years after policy or procedure is withdrawn, revised, or superseded, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: The issuing office should retain policies and procedures for a minimum of 3 years after they are withdrawn, revised, or superseded for use in development of subsequent policies and procedures. Routine policies and procedures may be used in program audits by

the Office of the State Comptroller or other control agencies. These records may also be used in litigation.

Records Not Covered: *This series does not include policies or procedures that govern activities of individuals or organizations outside the issuing agency, or that are established through promulgation of regulations, adjudication, or contractual agreements.*

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

90362 Agency Copies of Control Agency Policies and Procedures -- Agency copies of memoranda, rules, orders, directives, procedural instructions, regulations, bulletins, notices and any other instructions issued by control agencies which are directive in nature or explain policies or procedures which are to be followed by other State agencies.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Justification: The control agencies maintain the record copies of these records. Once a policy or procedure is superseded or obsolete, copies held by other agencies have no further value.

Records Not Covered: *Record copies of policies and procedures maintained by control agencies.*

Note: *Before disposing of these records, agencies may wish to consider whether longer retention is needed to document procedures used or actions taken by the agency in the event of possible future litigation or audit.*

90210 Administrative Policies and Procedures Background and Development Files -- Background materials created or collected during the development of internal administrative policies and procedures, including correspondence, analyses, research materials, copies of model policies and procedures, draft policies and procedures, comments, and related records.

Minimum Retention and Disposition: Destroy 1 year after a policy or procedure is issued.

Administrative Analysis, Planning, and Procedures Development

Justification: Background materials may be needed for reference and analysis for at least 1 year after a policy or procedure is issued.

AFFIRMATIVE ACTION

State agencies are required to develop and administer affirmative action programs to comply with various State and Federal requirements.¹ The purpose of agency affirmative action programs is to ensure equal employment opportunities for and prevent discrimination against members of protected classes, including racial and ethnic minorities, women, disabled persons, and Vietnam era veterans. Most agencies have an affirmative action officer or office to direct and support the agency's affirmative action program.

Control Agency: The Department of Civil Service issues guidelines which State agencies are mandated to follow in developing affirmative action plans and procedures, and assists these agencies in meeting State requirements.

Records Not Covered: *Records of the Department of Civil Service that document its role as a control agency for governmentwide affirmative action programs and records required by Federal agencies to document their affirmative action requirements.*

SUMMARY SCHEDULE

RDA #

90211 Agencywide Affirmative Action Plans and Procedures

Retain record copy in issuing office for 3 years after superseded by a new plan and procedures, then destroy. Destroy other copies when no longer needed for administrative reference.

90212 Recruitment Plans and Reports

Destroy record copy 3 years after each search is completed. Destroy other copies when no longer needed for administrative reference.

90213 Affirmative Action Program Report Files

Destroy 3 years after filing.

90214 Affirmative Action Subject Files

Affirmative Action

Destroy 3 years after creation or when superseded, whichever occurs later.

90215 Grievance/Complaint Files

Destroy record copy 3 years after final resolution of grievance and execution of any stipulations. Destroy other copies when no longer needed for administrative reference.

90216 Outreach Program Records

Destroy 3 years after action on application or discontinuance of program.

90217 Affirmative Action Training Records

Destroy 6 years following completion of training session or discontinuance of specific course.

**AFFIRMATIVE ACTION
RECORDS DISPOSITION AUTHORIZATIONS**

90211 Agencywide Affirmative Action Plans and Procedures -- Plans and procedures developed by agencies and filed with the Department of Civil Service, Division of Diversity Planning and Management. Plans and procedures establish affirmative action goals and support their achievement in compliance with State and Federal requirements.

Minimum Retention and Disposition: Retain record copy in issuing office for 3 years after superseded by a new plan and procedures, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with Federal and/or State affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination. The records can also be used to document workforce trends and for analysis purposes.

Note: Agencies may wish to retain these records for longer periods to meet administrative analysis needs. Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90212 Recruitment Plans and Reports -- Records documenting procedures, search committees, job advertising, recruitment and outreach plans, screening criteria, statistics on applicants, and related records created to document compliance with agency affirmative action policies and plans.

Minimum Retention and Disposition: Destroy record copy 3 years after each search is completed. Destroy other copies when no longer needed for administrative reference.

Justification: These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with Federal and/or State affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an

additional 3 months beyond the minimum retention period.

90213 Affirmative Action Program Report Files -- Copies of reports prepared by agency affirmative action programs for oversight agencies (e.g., Department of Civil Service, U. S. Office of Civil Rights) regarding agency affirmative action policies, programs, and activities.

Minimum Retention and Disposition: Destroy 3 years after filing.

Justification: This retention period will ensure that these records are available to document compliance, and for reference, analysis, and development of subsequent reports.

Note: *Employment Inquiry Files and Applications are covered by item #90006 in the Personnel records section of this schedule.*

90214 Affirmative Action Subject Files -- Correspondence, memoranda, copies of reports, articles, policies and procedures, copies of regulations, and related materials arranged by subject and used to administer an agency affirmative action program on topics such as recruitment, career planning, community relations, discrimination and sexual harassment, cultural diversity, and reasonable accommodations.

Minimum Retention and Disposition: Destroy 3 years after creation or when superseded, whichever occurs later.

Justification: Some records in affirmative action subject files may be needed to document compliance with State or Federal affirmative action requirements.

Note: *Agencies should cut off files at the end of each fiscal or calendar year and dispose of all obsolete records at regular intervals. Agencies should not use this item for records which are covered by separate authorizations in this schedule.*

90215 Grievance/Complaint Files -- Agency copies of grievances made by employees against an agency and the records of the resolution of grievances. Grievance files generally include complaints, agency responses, and decisions. They may also include correspondence, exhibits, tape recordings, depositions, notes, transcripts, agency decisions, appeals to the Division of Human Rights, arbitration decisions, and State or Federal court litigation records.

Minimum Retention and Disposition: Destroy record copy 3 years after final resolution of grievance and execution of any stipulations. Destroy other copies when no longer needed for administrative reference.

Justification: These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with Federal and/or State affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

Note: Agencies may wish to retain these records beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90216 Outreach Program Records – Records of affirmative action programs directed toward providing a greater degree of participation of protected class individuals in the agency work force. Examples of such programs include fellowships and/or internships. These records include applications, decisions and awards, program descriptions, publications, participant duty descriptions, and related correspondence and reports.

Minimum Retention and Disposition: Destroy 3 years after action on application or discontinuance of program.

Justification: These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with Federal and/or State affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90217 Affirmative Action Training Records – Records of training provided employees on affirmative action, equal employment opportunity, sexual harassment, and related human rights policies. These records document administration and content of training courses, and participation of agency staff. They include memoranda, flyers, curricula, sample course handouts, applications, registration, evaluation forms, and related correspondence and reports.

Minimum Retention and Disposition: Destroy 6 years following completion of training session or discontinuance of specific course.

Affirmative Action

Justification: These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with Federal and/or State affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period. Agencies may also wish to retain a record of training provided to specific employees as a part of Employee Training History records (see item #90022 in the Training records section of this schedule).*

BUDGET PREPARATION

Executive Branch budget preparation includes development and submission of annual agency budget requests, and subsequent review and approval by the Division of the Budget.

Control Agency: The Division of the Budget is the central control agency for this function.

Records Not Covered: *Records of the Division of the Budget that document its role as a control agency for the development of the annual budget for New York State government.*

SUMMARY SCHEDULE

RDA #

90107 Program Unit Budget Request Files

Destroy 1 fiscal year after the fiscal year covered by the budget request.

90108 Agency Budget Preparation Files

Destroy 3 fiscal years after the fiscal year covered by the budget.

90109 Agency Copy of Agency Budget Request

Retain 1 copy of the final budget request and supporting documentation in the executive-level files of the agency (files of the Commissioner, Executive Deputy Commissioner, etc.). Destroy other copies when no longer needed for administrative reference.

**BUDGET PREPARATION
RECORDS DISPOSITION AUTHORIZATIONS**

90107 Program Unit Budget Request Files -- Records created and used by program managers to develop budget requests including cost statements, estimates, justifications, narrative statements, spread sheets, pertinent background materials, and originating offices' copies of submissions to agency budget office.

Minimum Retention and Disposition: Destroy 1 fiscal year after the fiscal year covered by the budget request.

Justification: Program units use previous year's requests during budget preparation for the current year. Generally, reference to past requests decreases after 1 year. However, some program units may want to retain these records longer.

Note: *The final copy of a program unit budget request and supporting documentation of the agency's internal budget modification and approval process should be filed in general administrative files or the program unit director's office files. These records will be scheduled separately.*

90108 Agency Budget Preparation Files -- Records created by budget analysts during the process of reviewing program unit budget requests and preparing the agency's budget request including cost statements, estimates, justifications, narrative statements, various reports, and other pertinent data submitted to an agency budget unit. The records in this series are the source documents for an agency's final budget request submitted to DOB.

Minimum Retention and Disposition: Destroy 3 fiscal years after the fiscal year covered by the budget.

Justification: Agency budget unit and others use previous year's requests to prepare and compare with present year's requests. After 3 years records lose their administrative value.

90109 Agency Copy of Agency Budget Request -- Copy of the final budget request created by an agency budget unit and submitted to DOB, and supporting materials that document communication between the agency and DOB and the Legislature regarding budget negotiations and subsequent review after agency submission of the budget request.

Minimum Retention and Disposition: Retain 1 copy of the final budget request and

supporting documentation in the executive-level files of the agency (files of the Commissioner, Executive Deputy Commissioner, etc.). Destroy other copies when no longer needed for administrative reference.

Justification: The agency budget request and supporting documentation may have long-term value for research on agency program development and priorities. Executive-level files should be appraised by SARA staff to determine their archival value and scheduled separately.

ELECTRONIC DATA PROCESSING

Electronic data processing (EDP) encompasses all activities undertaken by agencies to design, develop, and operate electronic information systems. This section covers records for which EDP units are responsible including administrative records and those used to process data and monitor and control operations. This section does not cover records created to support specific operations in program units outside the EDP organization. Records retained to meet program-specific requirements outside the EDP unit must be scheduled separately by the unit with the responsibility and authority to determine their retention requirements and final disposition.

Records Disposition Authorizations (RDAs) for this section are subdivided into seven functional areas as follows:

- General Administration
- Systems and Application Development
- Computer Operations and Technical Support
- Data Administration
- User/Office Automation Support
- Network/Data Communication Services
- Internet Services.

Each subsection of authorizations begins with a brief description of the function covered by that subsection.

SUMMARY SCHEDULE

RDA #

GENERAL ADMINISTRATION

90218

Data Processing Unit Subject Files

Destroy when obsolete or superseded.

90219

Information Resources Management and Data Processing Services Plans

Retain master copy of plan and essential background documentation for 3 planning

cycles after the plan is completed, superseded, or revised, then destroy. Destroy copies, drafts, and routine material when no longer needed by agency.

90220 Data Processing Policies

Destroy 3 years after policy is withdrawn, revised, updated, or superseded.

90221 Data Processing Product/Vendor and State Contracts Reference Files

Destroy after records are no longer needed for reference.

90222 OGS Data Center Time Billing Records

Destroy 3 years after the end of the fiscal year.

90223 Copies of Purchase Requisitions, Orders, and Billing Records for Data Processing Services

Destroy after final payment or lapse of funds or after expiration of contract, whichever is later.

90224 Records of Chargebacks to Data Processing Services Users

Destroy 3 fiscal years after creation.

SYSTEMS AND APPLICATION DEVELOPMENT

90225 Application Development Project Files

Destroy 3 years after completion of project.

90226 Data Systems Specifications

Destroy 3 years after discontinuance of system but not before system data is destroyed or transferred to new operating environment.

90227 Data Documentation

Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format.

90228 Automated Program Listing/Source Code

Retain for 3 system update cycles after code is superseded or replaced, then destroy.

90229 Technical Program Documentation

Destroy 1 year after replacement, modification, or related programs cease to be used.

90230 Data Processing Procurement Files

Destroy contract-related records 6 years after expiration of the contract. Destroy all other records 3 years after completion of the purchase.

90231 Test Database/Files

Destroy when no longer needed but not before user accepts and management reviews and approves test results.

COMPUTER OPERATIONS AND TECHNICAL SUPPORT

90232 Data Processing Operating Procedures

Destroy 3 years after procedure is withdrawn, revised, updated, or superseded.

90233 Data Processing Hardware Documentation

Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment.

90234 Maintenance Contracts Files

Destroy record copy 6 years after expiration of contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

90235 Operating System and Hardware Conversion Plans

Destroy 1 year after successful conversion.

90236 Disaster Preparedness and Recovery Plans

Destroy after superseded by revised plan.

90237 System Backup Files

Destroy after 3 system backup cycles.

90238 System Users Access Records

Destroy after the individual no longer has access to the system but not before audit requirements for the records modified by that individual have been met.

90239 Computer Usage Files

Destroy after 3 system backup cycles.

90240 Summary Computer Usage Reports

Destroy 1 fiscal year after creation.

90241 Computer Run Scheduling Records

Destroy after current fiscal year.

90242 Input Documents

Destroy after all data has been entered into the system and, if required, verified.

90243 Work/Intermediate Files

Destroy after the transaction is completed.

90244 Valid Transaction Files

Destroy after 3 database/master file backup cycles.

90245 Print Files (Not Used to Document a Transaction)

Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.

90246 Audit Trail Files

Destroy after 3 database/master file backup cycles.

90247 Data Processing Unit's Copies of Output Reports

Destroy after output is distributed.

90248 Summary or Extracted Data Files

Destroy after data is distributed.

90249 Finding Aids (Indexes) or Tracking Systems

Destroy after the related hard copy or electronic records have been destroyed.

90250 Automated Tape Library System Files

Destroy after related records or media are destroyed or withdrawn from the tape library.

90251 Reports on the Destruction of Files ("Scratch Reports")

Destroy after superseded or (if required) management review and approval.

90252 Tape Library Control Records

Destroy after superseded.

DATA ADMINISTRATION

90253 Data/Database Dictionary Records

Destroy after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure or format.

90254 Data/Database Dictionary Reports

Destroy when superseded or no longer used by agency.

USER/OFFICE AUTOMATION SUPPORT

90255 Site/Equipment Support Files

Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service histories and other summary records after the related equipment is no longer in use.

90256 Help Desk Telephone Logs and Reports

Destroy 1 year after creation.

90257 Training Course Information

Destroy when superseded or obsolete.

90258 Software Review Files

Destroy after software is no longer used by agency.

NETWORK/DATA COMMUNICATION SERVICES

90259 Network Site/Equipment Support Files

Destroy site visit reports, trouble reports, and routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use.

90260 Inventories of Circuits

Destroy after the circuit is no longer used by agency.

90261 Network or Circuit Installation and Service Files

Destroy 1 year after request is filled or repairs are made.

90262 Network Usage Files

Destroy after 3 system backup cycles after creation.

90263 Network Usage Reports

Destroy 1 fiscal year after creation.

90264 Network Implementation Project Files

Destroy after superseded.

INTERNET SERVICES

90363 Agency Internet Services Logs

Destroy after 3 backup cycles, but not before relevant audit and documentation requirements have been met.

90364 Employee Internet Use Logs

Destroy after 3 backup cycles, but not before any appropriate review and verification.

**ELECTRONIC DATA PROCESSING
RECORDS DISPOSITION AUTHORIZATIONS**

GENERAL ADMINISTRATION – General Administration includes EDP policy development, fiscal and personnel administration, planning, and the coordination of activities within EDP units and between an EDP unit and other parts of an agency.

90218 Data Processing Unit Subject Files -- Correspondence, memoranda, reports, publications, and related records used to support the administration of agency data processing services.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Justification: These records have no legal or fiscal value.

Records Not Covered: Agency IRM plans, long-range or strategic plans, agency EDP and IRM policies, records that document fiscal transactions, and any records covered by other items in this schedule.

Note: Agencies should cut off files at the end of each fiscal or calendar year and dispose of all obsolete records at regular intervals. Agencies should not use this item for records which are covered by separate authorizations in this schedule.

90219 Information Resources Management and Data Processing Services Plans – Agency IRM plans submitted to the Division of the Budget, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas.

Minimum Retention and Disposition: Retain master copy of plan and essential background documentation for 3 planning cycles after the plan is completed, superseded, or revised, then destroy. Destroy copies, drafts, and routine material when no longer needed by agency.

Justification: Planning records often have value for budgetary and planning purposes for a number of years or planning cycles after they become inactive.

90220 Data Processing Policies -- Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership.

Minimum Retention and Disposition: Destroy 3 years after policy is withdrawn, revised, updated, or superseded.

Justification: Policies may be needed for reference and management audit purposes for a number of years after they are no longer in force.

Records Not Covered: Data processing operating procedures (see item #90232).

90221 Data Processing Product/Vendor and State Contracts Reference Files -- Information on data processing equipment, software, and other products and their vendors.

Minimum Retention and Disposition: Destroy after records are no longer needed for reference.

Justification: These records have no value once they are no longer needed for reference purposes.

Records Not Covered: Master copies of State contracts are retained by OGS.

90222 OGS Data Center Time Billing Records -- Reports and other records from OGS detailing charges for use of the Office of General Services computer services including monthly billing reports, copies of vouchers and bills.

Minimum Retention and Disposition: Destroy 3 years after the end of the fiscal year.

Justification: Records may be needed for audits, disputed charges, or planning.

Records Not Covered: Billing records for service providers other than OGS (see item #90223).

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90223 Copies of Purchase Requisitions, Orders, and Billing Records for Data Processing Services -- Copies of records created to initiate the purchasing process, authorize and provide funds for, or satisfy claims and expedite payments for private service providers including copies of purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting

documentation.

Minimum Retention and Disposition: Destroy after final payment or lapse of funds or after expiration of contract, whichever is later.

Justification: The agency's fiscal office should retain the agency's official copies of purchase requisitions, orders, and billing records used to satisfy all audit requirements and statutes of limitations. OSC maintains the State's official copy of these records. The data processing unit's copies of these records lose their value after the final payment for services or the expiration of the related contract.

Records Not Covered: Agency's official copy of purchase requisitions, orders, and billing records. OGS Data Center time billing records (see item #90222).

90224 Records of Chargebacks to Data Processing Services Users – Electronic and manual records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.

Minimum Retention and Disposition: Destroy 3 fiscal years after creation.

Justification: Chargeback records are needed for 3 fiscal years for budgetary purposes and, if they are used for cost recovery or billing purposes, to meet audit requirements.

Records Not Covered: Chargeback records subject to Federal audit requirements should be scheduled separately.

SYSTEMS AND APPLICATION DEVELOPMENT – Systems and application development covers the EDP unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes.

90225 Application Development Project Files – Records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.

Minimum Retention and Disposition: Destroy 3 years after completion of project.

Justification: Records may be needed up to 3 years after the conclusion of a project for reference or for management audit purposes.

Records Not Covered: System or application documentation (see items #90226 and #90227).

Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items #90226 and #90227).

90226 Data Systems Specifications — User and operational documentation describing how an application system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), 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.

Minimum Retention and Disposition: Destroy 3 years after discontinuance of system but not before system data is destroyed or transferred to new operating environment.

Justification: Current and accurate information on how an application system operates is needed throughout its life cycle. System documentation may be needed 3 years after the system is discontinued or modified for the admissibility of electronic records in legal proceedings, retrospective analysis, and remedying errors.

Records Not Covered: Data documentation and other records used to explain the meaning, purpose, or origin of data (see item #90227).

90227 Data Documentation — Records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated 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.

Minimum Retention and Disposition: Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format.

Justification: These records are needed to use electronic records and have value as long as the data/electronic records are retained.

Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.

Application design documentation and user's guides covered by item #90226 may also serve to explain how data was interpreted and used.

90228 Automated Program Listing/Source Code -- Automated program code which generates the machine-language instructions used to operate an automated information system.

Minimum Retention and Disposition: Retain for 3 system update cycles after code is superseded or replaced, then destroy.

Justification: These records are the instructions used to operate an application system. After the code is modified or replaced it has no administrative or legal value.

Note: This item coincides with item #90237, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item #90237).

90229 Technical Program Documentation -- Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.

Minimum Retention and Disposition: Destroy 1 year after replacement, modification, or related programs cease to be used.

Justification: Records are used for reference, backup, EDP audits, to insure adequacy of change documentation, or to rectify errors in program implementation up to a year after related programs are replaced, modified, or cease to be used.

Note: Agencies may consider retaining documentation for critical systems for a longer period.

90230 Data Processing Procurement Files -- Records used in the procurement of system hardware and software including request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line.

Minimum Retention and Disposition: Destroy contract-related records 6 years after expiration of the contract. Destroy all other records 3 years after completion of the purchase.

Justification: Data processing units may maintain key contract related documents needed for litigation. These records must be retained 6 years after expiration of the contract to satisfy the statute of limitations on contract related litigation (Civil Practice Law and Rules, Article 2-213).

Records not related to a contract may be needed for up to 3 years after the purchase for reference or audit.

Note: Before disposing of these records, agencies must ensure that no legal actions have

been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90231 Test Database/Files -- Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system.

Minimum Retention and Disposition: Destroy when no longer needed but not before user accepts and management reviews and approves test results.

Justification: Agencies' practices vary in the management of test files. These materials can be considered and are often managed as nonrecords. However, other agencies retain test data for an extended time period for continued testing and training. This retention period gives agencies the flexibility to retain test files based on their own needs.

COMPUTER OPERATIONS AND TECHNICAL SUPPORT -- Computer operation and technical support covers the EDP unit functions related to operating systems, maintaining hardware and software, system security, data input services, system backup, tape library operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.

90232 Data Processing Operating Procedures -- Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.

Minimum Retention and Disposition: Destroy 3 years after procedure is withdrawn, revised, updated, or superseded.

Justification: Operating procedures must be retained and accessible as long as they are in force. Outdated procedures may be necessary for reference and management audit purposes for up to 3 years after they are no longer used for active administration.

90233 Data Processing Hardware Documentation -- Records documenting the use, operation, and maintenance of an agency's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

Minimum Retention and Disposition: Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment.

Justification: These records have no value after the agency ceases to use related hardware and transfers the data to a new hardware environment.

Note: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis.

90234 Maintenance Contracts Files – Maintenance contracts for data processing equipment, and related records including copies of contracts, service histories, and work orders.

Minimum Retention and Disposition: Destroy record copy 6 years after expiration of contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

Justification: Agencies must retain official copies of agency-let service contracts and related records for 6 years after the contract expires to satisfy the statute of limitations on litigation (Civil Practice Law and Rules, Article 2-213). This retention period will also satisfy Office of State Comptroller audit requirements.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90235 Operating System and Hardware Conversion Plans – Records relating to the replacement of equipment or computer operating systems.

Minimum Retention and Disposition: Destroy 1 year after successful conversion.

Justification: Plans may be needed after conversions for reference and to deal with unforeseen issues and problems.

90236 Disaster Preparedness and Recovery Plans – Records related to the protection and reestablishment of data processing services and equipment in case of a disaster.

Minimum Retention and Disposition: Destroy after superseded by revised plan.

Justification: A current disaster preparedness and recovery plan should be developed and

retained by agencies.

Note: Agencies should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

90237 System Backup Files -- Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction.

Minimum Retention and Disposition: Destroy after 3 system backup cycles.

Justification: This item authorizes the disposal of backups in accordance with accepted data processing practice that 3 generations of backups be retained.

Records Not Covered: Backups used to document transactions or retained for purposes other than system security should be scheduled by the responsible program unit. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from the Fiscal Operations records section of this schedule or, if they are covered by specific Federal audit requirements requiring longer records retention, scheduled separately by the appropriate program unit.

Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.

90238 System Users Access Records -- Electronic or textual records created to control or monitor individual access to a system and its data created for security purposes, including but not limited to user account records, security logs, and password files.

Minimum Retention and Disposition: Destroy after the individual no longer has access to the system but not before audit requirements for the records modified by that individual have been met.

Justification: Some records, particularly user account records, are needed for data processing or fiscal audits as long as the records the user accessed are retained for audit purposes. The retention period ensures that the security records of individuals are retained until all audit requirements are met.

Note: Computer Usage Records (item #90239) may also serve some security purposes.

90239 Computer Usage Files – Electronic files or automated logs created to monitor computer system usage including but not limited to log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage.

Minimum Retention and Disposition: Destroy after 3 system backup cycles.

Justification: Records may be needed for summary reports, charge-back billing, EDP audits, or other purposes for 3 backup cycles.

Records Not Covered: Security logs and related records (see item #90238).

90240 Summary Computer Usage Reports – Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes.

Minimum Retention and Disposition: Destroy 1 fiscal year after creation.

Justification: Records may be needed for reporting, reference, charge-back billing, EDP audits, system security, or other purposes for 1 fiscal year after they were created.

90241 Computer Run Scheduling Records – Records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

Minimum Retention and Disposition: Destroy after current fiscal year.

Justification: Scheduling records for the current fiscal year may be needed for audits. Information on runs also retained in internal system logs, which should be retained with system backup covered by item #90237 and computer usage records covered by item #90239.

90242 Input Documents -- Copies of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are retained by the program unit.

Minimum Retention and Disposition: Destroy after all data has been entered into the system and, if required, verified.

Justification: Records used solely for data input to an automated system have no value after data has been entered and verified.

Records Not Covered: *Input records retained for fiscal audit or legal purposes, or, containing information needed by a program unit, should be scheduled by the responsible program unit. Input records that document valid transactions are covered by item #90244. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal Operations records section of this schedule.*

90243 Work/Intermediate Files -- Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail.

Minimum Retention and Disposition: Destroy after the transaction is completed.

Justification: Agencies generally manage these types of files as nonrecords and do not retain them to document agency business or because of the information they contain.

Records Not Covered: *Intermediate files retained to document valid transactions, to serve as an audit trail, or needed for system recovery backup.*

90244 Valid Transaction Files -- Records used to update and/or document a transaction in database or master file including valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes.

Minimum Retention and Disposition: Destroy after 3 database/master file backup cycles.

Justification: Valid transaction records are retained to create an audit trail for a master file/database and can be used to recreate a database/master file or document changes in a master file/database for legal admissibility purposes. The retention of such records for 3 update cycles conforms with standard data processing practices.

Records Not Covered: *Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, should be separately scheduled by the responsible program unit.*

90245 Print Files (Not Used to Document a Transaction) – Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions.

Minimum Retention and Disposition: Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.

Justification: These records have limited value after all related print runs are completed and the output verified. In many cases, agencies will not manage print files as records.

Records Not Covered: Print files needed for fiscal audits or retained to document transactions should be separately scheduled by the responsible program unit.

90246 Audit Trail Files -- Data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.

Minimum Retention and Disposition: Destroy after 3 database/master file backup cycles.

Justification: Audit files are retained to create a management audit trail for and to ensure the quality of data. They can aid in recreating or documenting changes in a master file or database for legal admissibility or other purposes. The retention of audit files for 3 backup cycles conforms with standard data processing practices.

90247 Data Processing Unit's Copies of Output Reports – Data processing unit's copy of output reports produced for client program units.

Minimum Retention and Disposition: Destroy after output is distributed.

Justification: After output is distributed to client, data processing unit's copy has limited value.

90248 Summary or Extracted Data Files – Summary or aggregate data from a master file or database and created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs.

Minimum Retention and Disposition: Destroy after data is distributed.

Justification: These records are produced to distribute data to an EDP unit's clients and have no value once this is accomplished.

Records Not Covered: Summary or extract files altered or augmented to support program-specific needs should be separately scheduled by the responsible program unit.

90249 Finding Aids (Indexes) or Tracking Systems -- Electronic indexes, lists, registers, and other finding aids used only to provide access to the hard copy and electronic records in the custody of the data processing unit.

Minimum Retention and Disposition: Destroy after the related hard copy or electronic records have been destroyed.

Justification: Finding aids and tracking systems have no value after the related records are destroyed.

Records Not Covered: Finding aids and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records.

90250 Automated Tape Library System Files -- Automated records used to control the location, maintenance, and disposition of magnetic media in a tape library.

Minimum Retention and Disposition: Destroy after related records or media are destroyed or withdrawn from the tape library.

Justification: Tape libraries have little need to access information on media or records after they are out of their custody. The retention period is in conformance with typical data processing practice.

90251 Reports on the Destruction of Files ("Scratch Reports") -- Records containing information on the destruction of files stored on electronic media in a tape library.

Minimum Retention and Disposition: Destroy after superseded or (if required) management review and approval.

Justification: Records may be needed for a brief period to document that files were properly destroyed.

90252 Tape Library Control Records -- Records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

Minimum Retention and Disposition: Destroy after superseded.

Justification: Retention insures that current information on media stored in tape library is available.

DATA ADMINISTRATION -- Data administration covers EDP unit functions related to data administration support including the maintenance of data standards, corporate data models, and data definitions and dictionaries.

90253 Data/Database Dictionary Records -- Usually in an automated system, used to manage data in an agency's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data.

Minimum Retention and Disposition: Destroy after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure or format.

Justification: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format.

90254 Data/Database Dictionary Reports -- Periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes.

Minimum Retention and Disposition: Destroy when superseded or no longer used by agency.

Justification: Records have no administrative value after need for reference ceases.

Records Not Covered: *The official copy of essential data documentation is covered by either item #90227 or #90253.*

USER/OFFICE AUTOMATION SUPPORT -- User/Office Automation Support refers to EDP unit functions that provide support to users of a mainframe or office automation, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and the review and recommendation of software for agency use.

90255 Site/Equipment Support Files -- Records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.

Minimum Retention and Disposition: **Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service histories and other summary records after the related equipment is no longer in use.**

Justification: After the related equipment is no longer in operation the records have limited value.

90256 Help Desk Telephone Logs and Reports -- Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes.

Minimum Retention and Disposition: **Destroy 1 year after creation.**

Justification: Records are needed for at least 1 year to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes.

90257 Training Course Information -- Memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by a data processing user support or office automation support unit.

Minimum Retention and Disposition: **Destroy when superseded or obsolete.**

Justification: Records have limited administrative value after they are no longer needed to

support active training programs.

90258 Software Review Files -- Records related to the review and recommendations for software for agency use including vendor information, manuals, software reviews, and related material.

Minimum Retention and Disposition: Destroy after software is no longer used by agency.

Justification: Records have limited administrative value once use of software ceases.

NETWORK/DATA COMMUNICATION SERVICES -- Network and Data Communication Services covers EDP unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with OGS and other network providers. For related records, see the Telecommunications Management records section of this schedule.

90259 Network Site/Equipment Support Files -- Records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda.

Minimum Retention and Disposition: Destroy site visit reports, trouble reports, and routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use.

Justification: The records have limited value after the related site or equipment is no longer in operation.

Note: Routine records that do not contain substantial information on the maintenance history or site can be weeded and destroyed on an annual basis.

90260 Inventories of Circuits -- Automated or paper records containing information on network circuits used by the agency including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.

Minimum Retention and Disposition: Destroy after the circuit is no longer used by agency.

Justification: The records have no value after the related circuit is no longer in operation.

90261 Network or Circuit Installation and Service Files -- Copies of requests by agencies to the OGS Bureau of Telecommunications or service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.

Minimum Retention and Disposition: Destroy 1 year after request is filled or repairs are made.

Justification: Records should be retained 1 year for management analysis and planning.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90262 Network Usage Files -- Electronic files or automated logs created to monitor network usage including but not limited to log-in files and system usage files.

Minimum Retention and Disposition: Destroy after 3 system backup cycles after creation.

Justification: Records may be needed for summary reports, EDP audits, system security, or other purposes for 3 backup cycles after creation.

90263 Network Usage Reports -- Summary reports and other records created to document computer usage for reporting or other purposes.

Minimum Retention and Disposition: Destroy 1 fiscal year after creation.

Justification: Records may be needed for reporting, reference, charge-back billing, EDP audits, system security, or other purposes for 1 fiscal year after they were created.

90264 Network Implementation Project Files -- Agencies' records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.

Minimum Retention and Disposition: Destroy after superseded.

Justification: Records are essential for operating a network.

INTERNET SERVICES – Internet Services covers records related to providing and monitoring services delivered and received via the Internet.

90363 Agency Internet Services Logs – Electronic files or automated logs created to monitor access and use of agency services provided via the Internet, including, but not limited to, services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services.

Minimum Retention and Disposition: Destroy after 3 backup cycles, but not before relevant audit and documentation requirements have been met.

Justification: Records may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, EDP audits, system security, or other purposes.

90364 Employee Internet Use Logs – Electronic files or automated logs created to monitor and control use of the Internet by agency employees.

Minimum Retention and Disposition: Destroy after 3 backup cycles, but not before any appropriate review and verification.

Justification: Records may be needed for audits, system security, summary reports, planning, or other purposes.

EMPLOYEE RELATIONS

Employee Relations includes all programs and activities that establish and implement the terms and conditions of Executive Branch employment subject to the Public Employees' Fair Employment Act, Article 14 of the Civil Service Law (Taylor Law), through other laws and regulations, or collective negotiations and related activities.

Control Agencies: The Governor's Office of Employee Relations (GOER) carries out New York State's responsibilities as an employer in accordance with the Taylor Law through collective bargaining with public employee unions representing Executive Branch agency employees, and administration of the employee grievance, disciplinary action, and joint labor-management committee programs. The Public Employment Relations Board (PERB) hears and rules on charges of improper practices by State employee unions against the State or by the State against the unions.

Records Not Covered: *Records created and retained by the Governor's Office of Employee Relations (GOER) and the Public Employment Relations Board (PERB) in their roles as control agencies are not covered by this schedule. Records of State agencies not subject to Article 24, Section 654 of the Executive Law are also not covered.*

SUMMARY SCHEDULE

RDA #

90357 Grievance Case Records

Retain record copy for a minimum of 10 years after final resolution of grievance, then destroy. Destroy other copies when no longer needed for administrative reference.

90358 Disciplinary Action Records

Retain record copy for a minimum of 10 years after final resolution of the disciplinary action or for 6 years after an employee terminates employment with the agency, whichever is first, then destroy, unless otherwise stipulated through disciplinary settlement or negotiated agreement. Destroy other copies when no longer needed for administrative reference.

Employee Relations

90359 Labor-Management Process Records

Retain record copy until labor-management agreement expires or is superseded by new labor-management agreement, and when no longer needed for reference, then transfer to State Archives. Destroy other copies when no longer needed for administrative reference.

90360 Employee Relations Subject Files

Retain for minimum of 1 contract cycle, then as long as needed for reference, then destroy.

EMPLOYEE RELATIONS RECORDS DISPOSITION AUTHORIZATIONS

90357 Grievance Case Records – Agency copies of contract and noncontract grievances made by employees against an agency, including grievance statements, agency responses, appeals, decisions, and supporting materials such as correspondence, exhibits, depositions, notes, tape recordings, transcripts, referrals to GOER, appeals, and copies of arbitration decisions.

Minimum Retention and Disposition: Retain record copy for a minimum of 10 years after final resolution of grievance, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Grievance records may provide precedents for other similar grievances. GOER does not maintain records of grievances that have been resolved at the agency level.

Records Not Covered: Records created and retained by GOER in its capacity as a control agency are not covered. Records of disciplinary grievances are covered by item #90358 Disciplinary Action Records.

Note: Agencies may want to retain some grievance records longer than the minimum retention in specific cases for reference purposes.

90358 Disciplinary Action Records – Records of disciplinary actions, contractual or pursuant to Section 75 of the Civil Service Law, brought by agencies against their employees, and of disciplinary grievances filed by employees in response to such actions. These records include notices of charges, responses, appeals, decisions, and supporting materials such as correspondence, notes, tape recordings, hearing transcripts, exhibits and other related documents from all levels of the process.

Minimum Retention and Disposition: Retain record copy for a minimum of 10 years after final resolution of the disciplinary action or for 6 years after an employee terminates employment with the agency, whichever is first, then destroy, unless otherwise stipulated through disciplinary settlement or negotiated agreement. Destroy other copies when no longer needed for administrative reference.

Justification: Future disciplinary proceedings against individual employees may consider previous discipline in assessing penalties. Disciplinary actions may also be considered in the performance evaluation and processes. Additionally, control agencies may require historical trend reports of discipline cases which would require agencies to reference these records. GOER does not maintain records of agency discipline cases. Records may also be needed in

case of litigation related to disciplinary actions.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90359 Labor-Management Process Records -- Agency records of labor-management meetings on specific topics and of labor-management committee activities, including minutes, agenda, background materials, and written agreements. Such meetings may be at various levels of the agency as appropriate to the subject(s).

Minimum Retention and Disposition: Retain record copy until labor-management agreement expires or is superseded by new labor-management agreement, and when no longer needed for reference, then transfer to State Archives. Destroy other copies when no longer needed for administrative reference.

Justification: Agency-level agreements are effective until expired or superseded, and frequently are effective through the term of several Statewide negotiated agreements. GOER does not maintain records of agency-level labor management activities. SARA staff have consistently appraised agency labor management committee records as archival.

90360 Employee Relations Subject Files -- Records supporting agency employee relations programs, arranged by subject, and consisting of correspondence, memoranda, extra copies of contracts, agency employee relations policies and procedures, reports and background materials pertaining to contract administration issues, and related employee relations matters.

Minimum Retention and Disposition: Retain for minimum of 1 contract cycle, then as long as needed for reference, then destroy.

Justification: These records generally have no legal or fiscal value, and they lose administrative value after they are no longer needed for reference.

Note: Agencies should not use this item for records which are covered by separate authorizations in this schedule.

EQUIPMENT, SUPPLIES, AND MOTOR VEHICLE MANAGEMENT

Equipment, supplies, and motor vehicle management ensures efficient and effective control, use, and maintenance of State-owned property, equipment, and other resources, excluding real property or fixed assets.

Control and Service Agencies: The Office of General Services (OGS), Bureau of Surplus Personal Property Disposition, operates the State surplus property disposition program. The OGS Division of Statewide Vehicle Management provides motor vehicle management services for agencies. The Office of State Comptroller, Bureau of Management Audit, audits use and disposition of equipment, supplies, and property.

Records Not Covered: *The following records are excluded from this schedule:*

- *records maintained by OSC for control and audit purposes*
- *records maintained by OGS for control, management, or centralized support functions*
- *records for which Federal regulations or audit requirements specify a longer retention period*
- *records of real property and fixed assets, and*
- *records of heavy equipment used for highway construction, maintenance, or related activities.*

SUMMARY SCHEDULE

RDA #

90265

Equipment and Furniture Inventories

Destroy as inventories are superseded or become obsolete.

90266

Supplies, Commodities, and Parts Inventories

Destroy as inventories are superseded or become obsolete.

90361 Supplies, Commodities, and Parts Disbursement Records

Destroy record copy 3 fiscal years after disbursement. Destroy other copies when no longer needed for administrative reference.

90267 Equipment Control Records

Destroy 3 years after equipment is returned.

90268 Equipment Maintenance Records

Destroy record copy 3 years after equipment is sold, transferred, or otherwise disposed. Destroy other copies when no longer needed for administrative reference.

90269 Motor Vehicle Maintenance Records

Destroy record copy 3 years after associated vehicle has been sold, transferred, or otherwise disposed. Destroy other copies when no longer needed for administrative reference.

90270 Agency Copies of Centralized Motor Vehicle Assignment Records

Destroy 3 years after end of vehicle assignment.

90271 Agency Copies of Decentralized Motor Vehicle Assignment Records

Destroy 3 years after end of vehicle assignment.

90272 Vehicle Incident Records

Destroy 5 years after filing of report.

90273 Surplus Property Disposition Records

Destroy 3 years after property has been disposed.

90365 Agency Recycling Reports

Destroy 1 year after filing of report.

**EQUIPMENT, SUPPLIES, AND MOTOR VEHICLE MANAGEMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90265 Equipment and Furniture Inventories -- Running inventories of equipment such as audiovisual equipment, tools, and laboratory equipment, and furniture, that describe each item of property, indicate its location, and provide cumulative totals of each type of agency-owned or leased equipment and furniture. These records are often maintained as manual card files or computer databases.

Minimum Retention and Disposition: Destroy as inventories are superseded or become obsolete.

Justification: Running inventory records are continually updated. Normally only most current version is needed for agency operations or audits.

Note: For records related to equipment classed as Fixed Property under Chapter 46, Section 2 of the Public Lands Law, see the Facilities Management records section of this schedule.

90266 Supplies, Commodities, and Parts Inventories -- Running inventories used to manage stocks of expendable materials such as office supplies, commodities, and parts, describing the materials and indicating current stock balances.

Minimum Retention and Disposition: Destroy as inventories are superseded or become obsolete.

Justification: Running inventory records are continually updated. Normally only most current version is needed for agency operations or audits.

90361 Supplies, Commodities, and Parts Disbursement Records -- Records documenting disbursement of office supplies, commodities, parts, and other expendable materials.

Minimum Retention and Disposition: Destroy record copy 3 fiscal years after disbursement. Destroy other copies when no longer needed for administrative reference.

Justification: These may be required for program audits by the Office of the State Comptroller or for investigations of fraud or theft.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90267 Equipment Control Records – Records documenting equipment use, excluding motor vehicles, and charge-out of equipment to program units or individuals to prevent misuse, abuse or theft, or determine internal agency chargebacks. Examples include portable computers, tool control records, and audiovisual checkout logs.

Minimum Retention and Disposition: Destroy 3 years after equipment is returned.

Justification: These records may be required for use as evidence in personal injury suits related to use of associated equipment under Section 214 of the Civil Practice Law and Rules, which establishes a time limitation of 3 years on initiating such actions. Also, they may be required for program audits by the Office of the State Comptroller.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90268 Equipment Maintenance Records – Records documenting service and repairs to agency equipment, excluding motor vehicles. These records normally include maintenance orders, logs, copies of fiscal documents such as requisitions or purchase orders for parts or services, warranties, operation and repair manuals, and parts lists.

Minimum Retention and Disposition: Destroy record copy 3 years after equipment is sold, transferred, or otherwise disposed. Destroy other copies when no longer needed for administrative reference.

Justification: These records may be required for use as evidence in personal injury suits related to use of associated equipment under Section 214 of the Civil Practice Law and Rules, which establishes a time limitation of 3 years on initiating such actions. Also, the records may be required for program audits by the Office of the State Comptroller.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is

impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90269 Motor Vehicle Maintenance Records -- Records documenting service and repairs to motor vehicles assigned to or owned by an agency. These records normally include maintenance orders and logs, copies of fiscal documents such as requisitions or purchase orders for parts or services, operation and repair manuals, and parts lists.

Minimum Retention and Disposition: Destroy record copy 3 years after associated vehicle has been sold, transferred, or otherwise disposed. Destroy other copies when no longer needed for administrative reference.

Justification: These records may be required for use as evidence in personal injury suits related to use of associated equipment under Section 214 of the Civil Practice Law and Rules, which establishes a time limitation of 3 years on initiating such actions. The records may be required for program audits by the Office of the State Comptroller.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90270 Agency Copies of Centralized Motor Vehicle Assignment Records -- Records documenting the assignment of motor vehicles to an agency by OGS, Division of Statewide Vehicle Management. These records normally include requests for assignment of vehicle, assignments, reports to OGS containing information on vehicle use, gasoline consumption and lubricant consumption, credit card charges, and copies of fiscal documents such as oil or gas purchasing receipts.

Minimum Retention and Disposition: Destroy 3 years after end of vehicle assignment.

Justification: Records are used to track and monitor vehicle use and for administrative review and analysis by the agency. They may be required for program audits by the Office of the State Comptroller.

90271 Agency Copies of Decentralized Motor Vehicle Assignment Records -- Records documenting agency assignments of motor vehicles to employees. These records normally include requests for assignments, assignment and use logs, and reports.

Minimum Retention and Disposition: Destroy 3 years after end of vehicle assignment.

Justification: Records are used to track and monitor vehicle use and for administrative review and analysis by the agency. They may be required for program audits by the Office of the State Comptroller.

90272 Vehicle Incident Records -- Reports and supporting materials documenting accidents, thefts, and other incidents involving State-owned vehicles.

Minimum Retention and Disposition: Destroy 5 years after filing of report.

Justification: OGS retains official copy of reports and supporting materials. Agencies may be asked by investigators or OSC auditors to supply copies for up to 5 years after a report is filed.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90273 Surplus Property Disposition Records -- Agency copies of records that identify surplus property, expedite its transfer to the OGS Bureau of Surplus Personal Property Disposition, and track disposition of property. These records include requests for disposal of surplus property, receipts, copies of OGS reporting forms and supporting documentation that describes the property being disposed and provides information on proposed method of disposition.

Minimum Retention and Disposition: Destroy 3 years after property has been disposed.

Justification: OGS retains official copy of reports and supporting materials. However, agencies may be asked to supply copies for use by OSC auditors. They may also be required for use in investigations of alleged theft or fraud.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90365 Agency Recycling Reports – Agency copies of annual reports on recycled paper and products purchased and waste reduction efforts implemented and planned. Agencies file these reports with the Office of General Services, and copies with the Department of Environmental Conservation and the Department of Economic Development, each year as required by Executive Order 142 of 1991.

Minimum Retention and Disposition: Destroy 1 year after filing of report.

Justification: The Office of General Services maintains the record copies of these reports.

Records Not Covered: Copies of annual reports held by the Office of General Services, the Department of Environmental Conservation and the Department of Economic Development.

FACILITIES MANAGEMENT

Facilities management encompasses the operation and maintenance of buildings or other facilities, including residential facilities, owned or leased by New York State. Facilities management includes fixed asset management, building and grounds maintenance, space planning and allocation, and parking assignment and control.

Records Not Covered: This schedule does not cover records created by the Office of General Services that document its facility management or records created by the Office of the State Comptroller in the performance of audits related to fixed asset management. Records that document the construction and major rehabilitation of buildings and other structures are also not covered by this schedule and must be scheduled separately.

SUMMARY SCHEDULE

RDA #

90274 Fixed Assets Inventory Files

Destroy agency copy maintained by unit responsible for administration of agency fixed asset management program 3 fiscal years after disposal of associated property. Destroy other copies when no longer needed for administrative reference.

90275 Agency Copies of Fixed Assets Update Reports

Destroy after receipt of updated Fixed Asset Report from OGS.

90276 Agency Copies of Fixed Assets Reinventory Printouts

Destroy 3 years after report is superseded by new report.

90277 Facility Maintenance Work Order Files and Logs

Destroy copies maintained by agency facility maintenance office 3 years after completion of work. Destroy other copies when no longer needed for administrative reference.

90278 Applications for Use of Facilities and Schedules

Destroy at end of calendar year.

90279 Physical Plant Maintenance/Operations Reference Drawings and Files

Destroy 3 years after superseded by new drawings or manuals or records are made obsolete by replacement or disposal of equipment.

90280 Tenant Records

Destroy agency record copy 6 years after expiration of lease or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

90281 Lease Files

Destroy agency record copy 6 years after expiration of lease or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

90282 Space Allocation Planning Files

Destroy when space plan is implemented, revised, or canceled.

90283 Space Assignment Files

Destroy copies maintained by agency facility maintenance office when a space assignment is terminated. Destroy other copies when no longer needed for administrative reference.

90284 Parking Permit Application Files

Destroy 6 months after parking space assigned and employee registered.

90285 Parking Permit Assignment Records

Destroy 6 months after permit canceled or superseded by a new permit.

90286 Physical Plant Systems Monitoring and Inspection Records

Facilities Management

Destroy 3 years after creation.

90287 Facility Management Subject Files

Destroy when obsolete or superseded.

**FACILITIES MANAGEMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90274 Fixed Assets Inventory Files -- Agency copies of records documenting purchase and ownership of property meeting criteria for fixed assets as defined by the Statewide Fixed Asset Accounting System under Section 33 of the State Finance Law. Fixed assets include but are not limited to:

- all land
- land improvements costing over \$100,000
- all buildings
- all building renovations costing over \$100,000
- equipment costing over \$15,000.

This series typically includes all input forms supplied by agencies to the Office of General Services, or, when data is supplied in electronic form, copies of data input documents, as well as copies of purchase orders, vouchers, surplus property forms, or other records related to purchase and disposition of the property.

Minimum Retention and Disposition: Destroy agency copy maintained by unit responsible for administration of agency fixed asset management program 3 fiscal years after disposal of associated property. Destroy other copies when no longer needed for administrative reference.

Justification: The Statewide Fixed Asset Accounting Systems Procedures Manual requires that agencies retain these records until the disposition of the associated property plus an additional 3 years to conform with normal accounting procedures. This retention period satisfies OSC audit requirements.

90275 Agency Copies of Fixed Assets Update Reports -- Agency copies of computer-generated reports sent by the Office of General Services to agencies documenting changes to assets under the Statewide Fixed Asset Accounting System.

Minimum Retention and Disposition: Destroy after receipt of updated Fixed Asset Report from OGS.

Justification: These records have no value to an agency once superseded by an updated report.

90276 Agency Copies of Fixed Assets Reinventory Printouts -- Reports issued by OGS to agencies every 2 years detailing all agency fixed assets currently documented in the Statewide Fixed Asset Accounting System.

Minimum Retention and Disposition: Destroy 3 years after report is superseded by new report.

Justification: These reports may be used by OSC during audits of agency fixed asset management programs.

90277 Facility Maintenance Work Order Files and Logs -- Agency records documenting requests from facility tenants (both within and outside of the agency) for facility and physical plant system (heating, ventilation, air conditioning) maintenance work and records of work completed.

Minimum Retention and Disposition: Destroy copies maintained by agency facility maintenance office 3 years after completion of work. Destroy other copies when no longer needed for administrative reference.

Justification: This retention period ensures that these files will be available in the event of personal injury actions.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90278 Applications for Use of Facilities and Schedules -- Agency records documenting requests to use facilities (e.g., meeting rooms) and the schedules resulting from those requests.

Minimum Retention and Disposition: Destroy at end of calendar year.

Justification: Applications and schedules have no administrative value after facility has been used.

90279 Physical Plant Maintenance/Operations Reference Drawings and Files -- Copies of architectural and engineering drawings and fixed equipment manuals used for reference in building operation and maintenance.

Minimum Retention and Disposition: Destroy 3 years after superseded by new drawings or manuals or records are made obsolete by replacement or disposal of equipment.

Justification: This retention period ensures that these records will be available in the event of personal injury actions.

Records Not Covered: *Original or unique copies of as-built and shop drawings that document construction and major rehabilitation of structures.*

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

90280 Tenant Records – Agency records documenting negotiations for and completion of leases for office space and other facilities, records of subsequent communications with landlords, and other records related to tenancy. These records typically include copies of leases, correspondence, lease approvals from control agencies, copies of fiscal documents, and requests for maintenance or repairs.

Minimum Retention and Disposition: **Destroy agency record copy 6 years after expiration of lease or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.**

Justification: This retention period satisfies the statute of limitations on litigation involving contracts (Section 213 of the Civil Practice Law and Rules).

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

90281 Lease Files – Leases for agency-owned property leased to public or private organizations and individuals and records of administration of the terms of the leases. These records typically include copies of leases, related correspondence, copies of fiscal documents, and requests for maintenance or repairs.

Minimum Retention and Disposition: **Destroy agency record copy 6 years after expiration of lease or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.**

Justification: This retention period satisfies the statute of limitations on litigation involving

contracts (Section 213 of the Civil Practice Law and Rules).

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90282 Space Allocation Planning Files – Agency space allocation plans and related documentation including copies of requests, estimates of space, justification needs, specifications, copies of building diagrams, floor layouts, and supporting documentation from agencies to the Office of General Services for allocation of space in facilities operated by OGS.

Minimum Retention and Disposition: Destroy when space plan is implemented, revised, or canceled.

Justification: Records are no longer needed after space allocation plans have been implemented, revised, or canceled.

90283 Space Assignment Files – Agency copies of requests for space from program units, specifications, building diagrams, floor layouts, justifications, and records of actual assignment of space to program unit, and master building directories.

Minimum Retention and Disposition: Destroy copies maintained by agency facility maintenance office when a space assignment is terminated. Destroy other copies when no longer needed for administrative reference.

Justification: Records of space assignments are not needed after space has been reassigned.

90284 Parking Permit Application Files – Applications for agency-controlled parking spaces and waiting lists.

Minimum Retention and Disposition: Destroy 6 months after parking space assigned and employee registered.

Justification: These records should be retained in case of employee grievances.

90285 Parking Permit Assignment Records – Records of assignments of agency-controlled

parking spaces, including authorized user, permit number, and location of assigned space.

Minimum Retention and Disposition: Destroy 6 months after permit canceled or superseded by a new permit.

Justification: These records should be retained in case of employee grievances.

90286 Physical Plant Systems Monitoring and Inspection Records – Records documenting the operation and inspection of facility heating, ventilation, air conditioning, water, electrical, and mechanical systems, including but not limited to meter readings, steam pressure logs, fixed equipment (e.g., elevators and mechanical doors) inspection reports, and heating fuel consumption recordings.

Minimum Retention and Disposition: Destroy 3 years after creation.

Justification: These records may be required for program audits by the Office of the State Comptroller. Also, they may be required for use as evidence in personal injury suits related to system failure or malfunction (Section 214 of the Civil Practice Law and Rules).

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

90287 Facility Management Subject Files -- Records used to support agency facility management programs, arranged by subject, and consisting of correspondence, memoranda, reports, manuals, copies of policies and procedures, and related records pertaining to maintenance and use of facilities.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Justification: These records have no legal or fiscal value.

Note: Agencies should cut off files at the end of each fiscal or calendar year and dispose of obsolete records at regular intervals. Agencies should not use this item for records which are covered by separate authorizations in this schedule.

FISCAL OPERATIONS

Fiscal operations encompasses most activities undertaken by agencies to manage, account for, collect, and expend funds. Records Disposition Authorizations for this section are subdivided into five functional areas as follows:

- Fiscal Administration
- Purchasing/Claims and Payments
- Revenue and Collections
- Accounting Reports (New York State Accounting System)
- Bank Transactions.

Records related to budget preparation or payroll are covered in other sections of this schedule.

Control Agencies: The State Comptroller is the chief fiscal officer for New York State government and heads the Office of the State Comptroller (OSC). OSC audits agencies, oversees the State Finance Law, and prescribes methods of bookkeeping, filing, and rendering accounts. The Division of the Budget (DOB) oversees agency budget preparation and must preapprove the expenditure of allocated funds by agencies. The Office of General Services (OGS) operates a centralized contracting service for purchases by agencies of common goods and services.

Records Not Covered: *This schedule does not apply to the types of fiscal records listed below.*

- *Records created or maintained by control agencies (e.g., Office of the State Comptroller, Division of the Budget, Office of the Attorney General, or Office of General Services) that are used to carry out or document government-wide approval, control, audit, or oversight responsibilities.*
- *General ledgers, general journals, and "books of original entry". The retention periods for general ledgers, general journals, and "books of original entry" will vary from agency to agency depending on the nature of the accounts documented in the records. In addition, some records may contain information of long-term value on accounts and expenditures. These records should be evaluated by SARA prior to destruction.*
- *Records related to capital construction. These records may have longer retention periods than those for other fiscal records. For example, contracts and related records which document the history of design and construction of a structure*

generally should be maintained for the life of the structure plus 3 years to protect an agency against tort claims.

- *Records related to the acquisition or sale of real property. Contracts and related records involving the State's right or title in real property, the rents or profits therefrom, or a citizen's real property claims by virtue of Letter Patent or a grant from the State, have a statute of limitations on a claim against such a contract of twenty years after expiration (CPLR, sec. 211 (c) and (d)). This statute of limitation exceeds the "6 year after expiration of contract" statute of limitation applied to most other contracts. Moreover, some fiscal records related to the acquisition or sale of real property may contain information of long-term value for research purposes. These records must be scheduled separately and should be evaluated by SARA before destruction.*
- *Records that document receipt, management, and/or expenditure of Federal funds and which are subject to specific Federal retention requirements longer than the retention periods authorized in this schedule. These records must be scheduled separately to meet Federal retention requirements.*
- *Records created by public benefit corporations or public authorities not subject to section 112 of the State Finance Law.*

SUMMARY SCHEDULE

RDA #

FISCAL ADMINISTRATION

90100 **General Subject and Correspondence Files**

Destroy 3 fiscal years after creation.

90101 **State Fiscal Policies and Procedures Records**

Destroy after superseded or obsolete.

90102 **Budget Certificates of Approval**

Destroy 2 fiscal years after lapse of funds.

90103 Routine Internal Status and Activity Reports

Destroy after report is updated, superseded, or obsolete.

90104 Nonroutine Financial Reports and Studies

Destroy 3 fiscal years after creation.

90105 Audit Reports and Responses

Destroy 3 fiscal years after the issuance of the report.

90106 Reconciliation Work Papers

Destroy 3 fiscal years after creation.

PURCHASING/CLAIMS AND PAYMENTS

90126 Purchase/Accounts Payable Records Related to Agency-Let Contracts

Destroy record copy 6 years after expiration of related contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

90127 Purchase/Accounts Payable Records Not Related to Agency-Let Contracts

Destroy record copy 3 fiscal years after completion of purchase, including delivery of goods and services and payment. Destroy other copies when no longer needed for administrative reference.

90119 Employee Travel Payment Files

Destroy record copy 3 fiscal years after payment or overpayments are returned by the employee, whichever is later. Destroy other copies when no longer needed for administrative reference.

REVENUE AND COLLECTIONS

90120 Revenue Accounting (Billing and Accounts Receivable) Records

Destroy 3 fiscal years after receipt of funds.

ACCOUNTING REPORTS (NEW YORK STATE ACCOUNTING SYSTEM)

90121 Accounting/Fiscal Status Reports (Except Year-End Reports)

Destroy after report is superseded or becomes obsolete.

90122 End of Fiscal Year Status Reports

Destroy 3 fiscal years after year covered by report.

90123 Daily Journal Reports

Destroy 6 months after receipt of report.

BANK TRANSACTIONS

90124 Revenue Bank Account Files

Destroy 3 years after the end of the fiscal year.

90125 Payment Bank Account Files

Destroy 3 fiscal years after payment, except schedules of outstanding checks should not be destroyed until those checks are written off to the general fund and relevant identifying information submitted to the Office of the State Comptroller.

**FISCAL OPERATIONS
RECORDS DISPOSITION AUTHORIZATIONS**

FISCAL ADMINISTRATION -- Fiscal administration includes agency fiscal policy development and implementation, compliance with State fiscal policies and procedures, reporting of financial status and activities, reconciliation of accounts, and responses to audits.

90100 General Subject and Correspondence Files -- Records used to support general agency fiscal management (usually arranged alphabetically by subject) including correspondence, memoranda, and reports pertaining to budget preparation, purchasing, general fiscal matters, and internal fiscal policies and procedures.

Minimum Retention and Disposition: Destroy 3 fiscal years after creation.

Justification: A 3 fiscal year minimum retention ensures that any supporting material for audits is retained and allows weeding of obsolete and superseded records on a 3-year cycle. Agencies may wish to keep certain records in this series longer than the legal minimum.

Note: Agencies should not use this item for records which are covered by separate authorizations in this schedule.

90101 State Fiscal Policies and Procedures Records -- Memoranda, rules, orders, directives, procedural instructions, regulations, bulletins, notices, and any other instructions issued by OSC, DOB, OGS, or other control agencies which are directive in nature or explain policies or procedures relating to the fiscal and administrative responsibilities of an agency's fiscal office.

Minimum Retention and Disposition: Destroy after superseded or obsolete.

Justification: DOB, OSC, OGS, and other control agencies maintain the record copy of these records for an extended retention period. Once a policy or procedure is superseded or obsolete it has no value to an agency.

Records Not Covered: Record copy of policies and procedures maintained by DOB, OSC, OGS, or other control agency.

90102 Budget Certificates of Approval -- Certificates issued by DOB authorizing the expenditure of allocated funds.

Minimum Retention and Disposition: Destroy 2 fiscal years after lapse of funds.

Justification: These records are actively referenced in the agency budget unit for up to 2 years after the lapse of funds.

90103 Routine Internal Status and Activity Reports -- Internal statistical and narrative reports created by an agency on the routine operations and functions of a fiscal office, including weekly, monthly, and quarterly reports used for operations, management analysis, and planning.

Minimum Retention and Disposition: Destroy after report is updated, superseded, or obsolete.

Justification: Most reports have limited value after they are superseded or updated. Agencies may choose to retain selected summary reports longer to track operational trends or for planning.

Records Not Covered: All audit reports, reports generated by the New York State Accounting System, and reports created outside the agency.

90104 Nonroutine Financial Reports and Studies -- Reports and studies created for fiscal, accounting, and administrative review or analysis by the agency, another State agency, a Federal agency, or an external party including equity and escrow reports, fringe benefit studies, facility usage reports, cost comparison studies, sales reports, investment practice studies, and other special reports or studies.

Minimum Retention and Disposition: Destroy 3 fiscal years after creation.

Justification: Records are maintained for audit purposes, as well as budget and long-range financial planning. Some reports have reference value beyond the 3-year retention period and may be retained longer.

Records Not Covered: This item does not cover audit reports or OSC New York State Accounting System Reports.

90105 Audit Reports and Responses -- Agency copies of audit reports created by OSC, agency internal auditors, and other State, Federal, or private agencies that monitor, examine and verify the accounts and fiscal affairs of an agency, and agency responses.

Minimum Retention and Disposition: Destroy 3 fiscal years after the issuance of the report.

Justification: After 3 years, audit reports normally become obsolete for administrative purposes. Agencies may want to keep audit reports for longer than the minimum retention period for reference and administrative purposes.

Records Not Covered: Official copies created by OSC or other control agencies in performing their auditing function. Also does not cover audit reports and responses which are subject to longer retention requirements of Federal or other funding agencies. Agencies should submit separate disposition requests for any records subject to longer retention requirements.

90106 Reconciliation Work Papers -- Intermediate fiscal records of receipts and disbursements used to reconcile accounts, including spread sheets, proof sheets or trial balance work sheets, abstracts of receipts, disbursements, or claims, and other supporting documents.

Minimum Retention and Disposition: Destroy 3 fiscal years after creation.

Justification: These records are retained for audit purposes.

PURCHASING/CLAIMS AND PAYMENTS -- This section covers all contract and non-contract records related to purchases of goods and services or payment of claims, except for records of contracts related to capital construction or land purchases.

90126 Purchase/Accounts Payable Records Related to Agency-Let Contracts -- Records related to the purchase of goods and services which require a contract, including purchase requisitions and justifications, vendor solicitations, requests for proposal, price quotations, contracts, leases, bonds, bid proposals, specifications, procurement record checklists, purchase orders, receipts and other payment history records, invoice requests, merchandise receipts, vendor invoices, agency vouchers, service reports, and other supporting documentation. Also includes records used by an agency accounts payable/claims office to track and monitor the claims and payment process on a daily basis, including manual and automated logs, registers, listings, and related records.

Minimum Retention and Disposition: Destroy record copy 6 years after expiration of related contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

Justification: An agency's record copy of an agency-let contract file, including supporting

documentation, must be maintained for 6 years after expiration of the contract to satisfy the statute of limitations on litigation involving a contract (Civil Practice Law and Rules, Article 2-213) and to satisfy OSC's audit requirements. OSC also maintains copies of contracts for 6 years and copies of contract-related invoices and vouchers for a minimum of 10 years. However, important supporting documentation is only maintained by agencies.

Records Not Covered: *Requisitions, receipts and related purchase and payment history records for purchases which do not require agency-let contracts. Also, OSC copies of contracts, OGS-let term (centralized) contracts, real property acquisitions or sales contracts, and capital construction contracts are not included in this item and are not covered by this schedule. Agencies should schedule real property acquisitions and sales and capital construction records separately.*

Note: *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

90127 Purchase/Accounts Payable Records Not Related to Agency-Let Contracts -- Records related to the purchase of goods and services which do not require a contract, including purchase requisitions and justifications, vendor solicitations, requests for proposal, price quotations, procurement record checklists, purchase orders, receipts and other payment history records, invoice requests, merchandise receipts, vendor invoices, agency vouchers, service reports, purchase order logs, requisition logs, printouts showing encumbrance of funds, and other supporting documentation. Also includes records used by an agency accounts payable/claims office to track and monitor the claims and payment process on a daily basis, including manual and automated logs, registers, listings, and related records.

Minimum Retention and Disposition: **Destroy record copy 3 fiscal years after completion of purchase, including delivery of goods and services and payment. Destroy other copies when no longer needed for administrative reference.**

Justification: Purchase requisitions and orders are used for up to 3 fiscal years to develop new purchases, to track purchasing trends, for agency internal audits and to satisfy OSC's audit requirements.

Records Not Covered: *Requisitions, orders, and related purchase and payment history records for purchases which require agency-let contracts.*

90119 Employee Travel Payment Files -- Records of employees' requests for reimbursement or payment for expenses for State-related travel including encumbrance records, requests for travel advance, travel vouchers, justifications, and various supporting records.

Minimum Retention and Disposition: Destroy record copy 3 fiscal years after payment or overpayments are returned by the employee, whichever is later. Destroy other copies when no longer needed for administrative reference.

Justification: This series is kept 3 years after payment to meet OSC's audit requirements and the statute of limitations for actions involving nonpayment of money collected on execution (Civil Practice Law and Rules, Article 2-214). OSC maintains the record copy of the vouchers in this series for 6 years.

Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

REVENUE AND COLLECTIONS -- This section covers records related to billing, receipt of funds, and management/disposition of funds received by an agency.

90120 Revenue Accounting (Billing and Accounts Receivable) Records -- Revenue accounting records of billing, receipt, and subsequent disposition of monies including bills, invoices, cash receipts records, cash disbursement records, cashier's reports, refunds of appropriations, report of monies received, reports of revenue transfers, transmittals, master control records, journal vouchers, and other related records.

Minimum Retention and Disposition: Destroy 3 fiscal years after receipt of funds.

Justification: Revenue accounting records are retained by an agency 3 years to satisfy OSC's audit requirements. OSC maintains "reports of revenue" for 5 years.

Records Not Covered: This records series is not applicable to agencies established as collection agencies or engaged in revenue/collection activities as a significant part of their function (e.g., Department of Taxation & Finance, Division of the Lottery, and certain operations of Department of Motor Vehicles).

Note: Bank account records are covered by items #90124 and #90125.

ACCOUNTING REPORTS (NEW YORK STATE ACCOUNTING SYSTEM) -- OSC

operates a centralized system to account for all receipts and expenditures of agency funds. This system regularly generates reports to provide agencies with information about the status of their fiscal accounts.

90121 Accounting/Fiscal Status Reports (Except Year-End Reports) – Accounting/fiscal reports generated from OSC's New York State Accounting System reflecting the status of appropriations/segregations, expenditures, disbursements, and receipts of an agency including:

ASC 210	Federal DHHS Report of Disbursement by Agency
ASC 220	Federal DHHS Report of Disbursement
ASC 280	Cost Center Reporting Attribute Listing
ASC 280L	Lapsed Cost Centers Reporting Attribute Listing
ASC 330	Active Cost Centers by Segregation
BUD 049C	Appropriation/Segregation Accounts (Selected Funds)
BUD 049L	Lapsed Appropriation/Segregation Accounts
BUD 065	Cost Center Performance Report
BUD 150	Disbursements by Appropriation/Segregation
CON 070	Listing of Retainage by Contract
CTL 090	Report of Charges by Other Agencies
CTL 440	Outstanding Encumbrances by Segregation
CTL 440L	Lapsed Encumbrances by Segregation
CTL 620	Negative Segregation Status
CTL 650	Special Accumulator Analysis
ENC 040	Outstanding Encumbrances by Originating Agency
ENC 040L	Lapsed Encumbrances by Originating Agency
ENC 060	Contract Listing
LED 070	Accounts Receivable Ledger
PCM 010	Personal Car Mileage Trans. by Agency
PCM 010Y	Personal Car Mileage Trans. by Agency - Year End
PCM 020	Personal Car Mileage Trans. by Traveler
REV 052	Accounts Receivable - Balances
REV 053	Accounts Receivable - Capital Projects
REV 054	Accounts Receivable - Public Authorities
VOU 065	Payee List By Agency and Voucher
VOU 360	Liquidation Warning Report
VOU 570	Vouchers Disposition
VOU 690	Paid Interest Report
VOU 710	Invoice Processing Time Trend Report
VOU 750	Interest Expenditures by Agency/Segr/Cost Center
VOU 760	Interest Payments Reasons.

Minimum Retention and Disposition: Destroy after report is superseded or becomes

obsolete.

Justification: Reports have minimal administrative value after they are updated or superseded by the latest report. The New York State Accounting System User Procedure Manual instructs agencies to retain these reports "at your discretion, ensuring that accounting data is available for budget preparation, financial analysis, and audit of federal and other grants".

90122 End of Fiscal Year Status Reports -- Five (5) end-of-year status reports generated from the New York State Accounting System as follows:

BUD 049	Appropriation/Segregation Accounts Including Lapse
BUD 060	Cost Center Status by Segregation
CTL 470	Expenditure Analysis
LED 010	Appropriation/Segregation Ledger Abstract
LED 040	Fund/Subfund Ledger.

Minimum Retention and Disposition: Destroy 3 fiscal years after year covered by report.

Justification: The New York State Accounting System User Procedure Manual instructs agencies to "Retain the fiscal year-end copies of the following reports (BUD049, BUD060, CTL470, LED010, and LED040) for three years for post-audit purposes."

90123 Daily Journal Reports -- Consists of 8 journal reports generated from the New York State Accounting System as follows:

JRN 010	Revenue Journal
JRN 020	Appropriation Journal
JRN 030	Segregation Journal
JRN 040	Refund of Appropriation Expenditure Journal
JRN 050	Encumbrance Journal
JRN 060	Expenditure Journal
JRN 070	Expenditure Adjustment Journal
JRN 080	Disbursement Journal.

Minimum Retention and Disposition: Destroy 6 months after receipt of report.

Justification: The New York State Accounting System User Procedure Manual instructs agencies to "Retain daily journals (JRN010 through JRN080) for six months to provide an audit

trail (with the LED010 and LED040) to accounting transactions and source documents."

BANK TRANSACTIONS -- Many agencies hold separate accounts with banks and other financial institutions to manage funds outside of the New York State Accounting System.

90124 Revenue Bank Account Files -- Records of bank transactions for revenue or income accounts including bank statements, deposit slips, summary of the status of accounts, uncollectable checks, balance of funds over a specified period, and other records related to the routine revenue or collected monies of an agency.

Minimum Retention and Disposition: Destroy 3 years after the end of the fiscal year.

Justification: Records are retained for 3 years to satisfy OSC audit requirements.

Note: Agencies should maintain documentation on uncollected obligations, including copies of uncollected checks, as part of item #90120, Revenue Accounting (Billing and Accounts Receivable) Records.

90125 Payment Bank Account Files -- Records of bank transactions for payments including bank statements, listing of deposits, canceled checks, cancellation of payment, bank reconciliations, check stubs, bad check advices, schedule of checks outstanding, other back-up statements and documents, and other records reflecting the status of an agency's accounts relating to petty cash, travel expenses, and any escrow payments.

Minimum Retention and Disposition: Destroy 3 fiscal years after payment, except schedules of outstanding checks should not be destroyed until those checks are written off to the general fund and relevant identifying information submitted to the Office of the State Comptroller.

Justification: Records are maintained for 3 fiscal years after payment to satisfy OSC audit requirements. Outstanding checks are written off to the general fund pursuant to Section 102 of State Finance Law.

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