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Notes

General Retention and Disposition Schedule for New York State Government Records, effective April 1997 through March 2002, put out by NY State Archives and Records Administration (SARA)

SEE ALSO
PART 1 PAM
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Part 2

FORMS MANAGEMENT

Forms management involves agency activities to control, standardize, design, create, and monitor use of forms.

SUMMARY SCHEDULE

RDA #

90288 Form History Files

Destroy file for a form 2 years after the form is discontinued.

90289 Forms Inventory Records

Destroy when superseded by an updated inventory.

90290 Forms Management Program Subject Files

Destroy when obsolete or superseded.

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**FORMS MANAGEMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90288 Form History Files -- Records created and maintained to control the creation, design, printing, use, and revision of agency forms and documentation of the forms review and approval process. These records typically include program unit requests for preparation of forms, memoranda and other records concerning forms design and use, draft forms, a master copy of each form created by the agency, and related records.

Minimum Retention and Disposition: Destroy file for a form 2 years after the form is discontinued.

Justification: Agencies may refer to forms history files for up to 2 years after a form is discontinued to plan revisions of current forms or to reinstate a discontinued form.

90289 Forms Inventory Records -- Inventories of agency forms used to control the creation, use, and proliferation of forms.

Minimum Retention and Disposition: Destroy when superseded by an updated inventory.

Justification: Outdated forms inventories have no legal, fiscal, or administrative value.

90290 Forms Management Program Subject Files -- Records used to support the administration of an agency forms management program, arranged by subject, and consisting of correspondence, memoranda, reports, guidelines, articles, vendor literature, studies, copies of internal policies and procedures, and related records on forms design, management, and control.

Minimum Retention and Disposition: Destroy when obsolete or superseded.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

HEALTH, SAFETY, AND SECURITY

Health, safety, and security functions protect the well-being of State employees and members of the general public while engaged in official business, or while residing in or visiting State-owned or operated facilities. Health, safety, and security programs include monitoring 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.

Records Not Covered: Records of the Department of Labor, the Department of Environmental Conservation (DEC), the Office of General Services (OGS), the Department of State (DOS), and any other agency that document governmentwide control or oversight of health, safety, and security functions, or the provision of centralized services are not covered by this general schedule. See descriptions and recommendations below for more specific information about records that are not covered by this schedule.

SUMMARY SCHEDULE

RDA #

90291 Annual Environmental Audit Report Records

Retain copy in issuing office for 3 years after report is submitted to DEC, then destroy. Destroy other copies when no longer needed for administrative reference.

90292 Toxic Substances in the Workplace Notifications and Information Files

Destroy agency record copy 40 years after superseded or obsolete.

90293 Lists of Employees Who Handle Toxic Substances

Destroy 40 years after end of calendar year in which list was created.

90294 Toxic Substances Training and Education Files

Destroy 3 years after employee separation from agency.

- 90295 Employee Occupational Injury and Illness Incident Logs, Summaries, and Supplemental Records**
Destroy agency record copy 5 years after the end of the calendar year in which created.
Destroy other copies when no longer needed for administrative reference.
- 90296 Annual Occupational Injuries and Illness Surveys**
Destroy agency copy 1 year after submission to the Department of Labor.
- 90297 Employee Health Service Records**
Destroy 3 years after the end of the calendar year to which they relate.
- 90298 Facility Health and Safety Inspection Records**
Destroy 3 years after completion of inspection or after any violations are remedied, whichever is longer.
- 90299 Health and Safety Code and Regulations Variance Files**
Destroy 3 years after request is denied or after the variance is no longer in effect.
- 90300 Fire Code Compliance Records**
Retain records of inspections, drills and annual reports for 3 years or until all violations are corrected, whichever occurs later, then destroy. Destroy code compliance certificates 3 years after they expire.
- 90301 Fire Safety Program Records**
Destroy 3 years after superseded or obsolete.
- 90302 Fire Safety Education and Training Records**
Destroy 3 years after creation.
- 90303 Building Admittance and Visitor Logs**

Destroy 3 years after the end of the year to which they relate.

90304 Building Pass Records

Destroy 3 years after passes are canceled or become invalid.

90305 Incident and Investigation Records

Destroy 5 years after any investigation is closed or dropped.

90306 Building Security Subject Files

Destroy when obsolete or superseded.

90307 Facility Disaster Preparedness Files

Destroy 3 years after a plan is superseded or made obsolete because the agency vacates a facility.

**HEALTH, SAFETY, AND SECURITY
RECORDS DISPOSITION AUTHORIZATIONS**

90291 Annual Environmental Audit Report Records – Agency copies of annual environmental audit reports submitted to the NYS Department of Environmental Conservation and related records providing an assessment of agency compliance with environmental laws. The records include descriptions of environmental problems, records of remedial investigations, plans, and actions; estimates of capital, contractual, personnel, and other resources needed to remedy violations; projected remedial time schedules; internal assessments of remedial plans; lists of violations and rankings; and related correspondence, memoranda, and printed materials used to compile reports.

Minimum Retention and Disposition: Retain copy in issuing office for 3 years after report is submitted to DEC, then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: These records are needed for 3 years in the event of personal injury litigation (Section 214 of the Civil Practice Law and Rules) and for use in compiling new reports.

Records Not Covered: Records maintained by the Department of Environmental Conservation related to its role as a control agency for this function.

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.

90292 Toxic Substances in the Workplace Notifications and Information Files – Records documenting notification by agencies to employees of the existence of toxic substances in the workplace and the potential effects of exposure to these substances, including correspondence and memoranda, Material Safety Data Sheets, or related records documenting transmission of information to employee.

Minimum Retention and Disposition: Destroy agency record copy 40 years after superseded or obsolete.

Justification: Records created pursuant to Article 28, Section 876 of the New York State Labor Law and 12 NYCRR 820.3. The retention period ensures the availability of information from these files for the same period of time during which lists of employees handling the toxic substances will be maintained (see item #90293).

Records Not Covered: This series does not include records required to document compliance with Federal and State regulations related to specific substances. Agencies seeking information on specific substances and possible retention requirements should

refer to 29 CFR 1910, et seq.

Note: Item #90013 in the Personnel records section of this schedule covers records relating to actual exposure of individual employees to toxic substances.

90293 Lists of Employees Who Handle Toxic Substances -- Records of names, addresses, and social security numbers of employees who handle or use substances included in section 1910 of the Federal Occupational Safety and Health regulations, subparagraph z.

Minimum Retention and Disposition: Destroy 40 years after end of calendar year in which list was created.

Justification: Article 28, Section 879 of the New York State Labor Law requires that these records be retained for this period of time.

90294 Toxic Substances Training and Education Files -- Course material, attendance records, correspondence, and memoranda, documenting the training and education of employees in the proper use and handling of toxic substances, and compliance with Federal Occupational Safety and Health Administration requirements.

Minimum Retention and Disposition: Destroy 3 years after employee separation from agency.

Justification: 12 NYCRR 820.4 requires employers to maintain records of toxic substance training until employee separation. The additional 3 years will cover need for these records in personal injury litigation under Section 214 of the Civil Practice Law and Rules.

Records Not Covered: Records related to the development of curriculum and memoranda, flyers, leaflets, and descriptive materials used for course development, instruction or reference are covered by item #90020 of the Training records section of this schedule. Records of the State Occupational Safety and Health Hazard Abatement Board, located in the Department of Labor, that document its control oversight of agency toxic substances training and education programs are not covered by this schedule.

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).

90295 Employee Occupational Injury and Illness Incident Logs, Summaries, and Supplemental Records -- Records documenting "recordable occupational injury and illness" of agency employees including incident logs, summary records, supplementary records, correspondence, and memoranda.

Minimum Retention and Disposition: Destroy agency record copy 5 years after the end of the calendar year in which created. Destroy other copies when no longer needed for administrative reference.

Justification: 12 NYCRR 801.7 and 29 CFR 1904.6 require that employers create and maintain these records for 5 years.

Records Not Covered: Records related to employee hazardous substances exposure are covered by item #90013 of the Personnel records section of this schedule. Also not covered are any records of the Department of Labor maintained in relation to its role as a control agency for this function.

Note: Copies of agency reports to the New York State Workers' Compensation Board, if required, can be used to fulfill the requirements concerning supplementary records described in 12 NYCRR 801.5. If this procedure is followed, these records must be retained for an extended period in accordance with item #90015 of the Personnel records section of this schedule.

90296 Annual Occupational Injuries and Illness Surveys -- Agency copies of incident reports and annual statistical reports (Annual Occupational Injuries and Illness Survey Covering Calendar Year 19--) submitted to the New York State Department of Labor under 12 NYCRR 801.9 and 801.10.

Minimum Retention and Disposition: Destroy agency copy 1 year after submission to the Department of Labor.

Justification: The Department of Labor maintains the record copies of these annual surveys.

Records Not Covered: Records maintained by the Department of Labor in connection with its role as a control agency for this function.

90297 Employee Health Service Records -- Records documenting the administration and

operation of an agency's first aid and preventive health programs. These records typically include promotional materials about preventive care, health and fitness programs and services; information about the location, hours and services of first aid and nurses stations; first aid procedures, appointment logs, schedules, educational materials, and statistics on use of employee health services and referrals.

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

Justification: This retention period meets the statute of limitations involving personal injury suits (Section 214 of the Civil Practice Law and Rules).

Records Not Covered: Records documenting exposure of employees to toxic substances are covered by item #90013 in the Personnel records section of this schedule.

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.

90298 Facility Health and Safety Inspection Records -- Notices of inspection, inspection reports, descriptions of violations, remedial action plans, correspondence, and memoranda documenting agency cooperation with the New York State Department of Labor in facility inspections mandated by 12 NYCRR 802 and agency efforts to comply with Department of Labor findings and determinations.

Minimum Retention and Disposition: Destroy 3 years after completion of inspection or after any violations are remedied, whichever is longer.

Justification: This retention period meets the statute of limitations involving personal injury suits (Section 214 of the Civil Practice Law and Rules).

Records Not Covered: Records maintained by the Department of Labor in connection with its role as a control agency for this activity.

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.

90299 Health and Safety Code and Regulations Variance Files -- Agency requests for relief

from health and safety standards and regulations and records of approved variances. This includes petitions, applications for temporary or permanent variances, interim orders, requests for hearings, notices of hearings, transcripts of variance hearings and conferences, depositions, affidavits, variances, amendments issued by the Department of Labor, consistent findings and orders, decisions, and appeals.

Minimum Retention and Disposition: Destroy 3 years after request is denied or after the variance is no longer in effect.

Justification: This retention period meets the statute of limitations for personal injury suits (Section 214 of the Civil Practice Law and Rules).

Records Not Covered: Records maintained by the Department of Labor in connection with its role as a control agency for this activity.

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.

90300 Fire Code Compliance Records — Agency copies of fire safety inspections, complaints, violation corrective plans, code compliance certificates, fire drill records, and annual reports that document compliance with the NYS Uniform Fire Prevention and Building Code.

Minimum Retention and Disposition: Retain records of inspections, drills and annual reports for 3 years or until all violations are corrected, whichever occurs later, then destroy. Destroy code compliance certificates 3 years after they expire.

Justification: This retention period meets the statute of limitations requirements for personal injury litigation (Section 214 of the Civil Practice Law and Rules) and complies with NYS Department of State inspections requirements (19 NYCRR 448).

Records Not Covered: Records maintained by the Department of State to control and provide oversight for this function.

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.

90301 Fire Safety Program Records -- Records concerning the establishment and administration of a network of fire wardens, marshals, and searchers, including lists of individuals serving in these capacities, building diagrams, assignments, evacuation procedures, meeting records, and lists of equipment disbursed to wardens, marshals, and searchers.

Minimum Retention and Disposition: Destroy 3 years after superseded or obsolete.

Justification: This retention period meets the statute of limitations for personal injury litigation (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.

90302 Fire Safety Education and Training Records -- Records relating to agency fire safety education and training programs include course information records and course registration records for wardens, marshals, and searchers and for building tenants.

Minimum Retention and Disposition: Destroy 3 years after creation.

Justification: This retention period meets the statute of limitations involving personal injury litigation (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. 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).

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.*

90304 Building Pass Records – Agency records documenting the issuance and cancellation of building passes include applications for temporary and permanent passes, copies of passes, lists of individuals with valid passes, records of revocations or cancellations, correspondence, and memoranda.

Minimum Retention and Disposition: **Destroy 3 years after passes are canceled or become invalid.**

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).

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.*

90305 Incident and Investigation Records – Agency copy of records documenting security-related incidents and investigations by agency staff and external investigators. These records include but are not limited to complaints, incident reports, accident reports, reports of stolen property, investigation-related records (e.g., forms, reports, etc.), emergency response-related records, and correspondence and memoranda.

Minimum Retention and Disposition: **Destroy 5 years after any investigation is closed or dropped.**

Justification: This retention period meets or exceeds the statutes of limitations for initiating criminal prosecutions for misdemeanors (Criminal Procedure Law 30.10) and for felonies (Criminal Procedure Law 30.10(b)) except those categorized as Class A felonies in the State Penal Law (e.g., murder, first degree kidnapping). This retention period will also ensure the availability of these records in instances concerning personal injury suits.

Records Not Covered: *Records maintained by any agency having a law enforcement function, and records of incidents and investigations in correctional, mental hygiene, and other residential facilities.*

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.*

90306 Building Security Subject Files -- Reports, memoranda, correspondence, copies of policies and procedures, background materials and related records used by agencies to support administration of building security programs, arranged by subject and covering topics such as facility access and incident reporting.

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

Justification: These records have no legal or fiscal value.

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

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.*

90307 Facility Disaster Preparedness Files -- Agency copies of disaster preparedness and evacuation plans for agency-owned and occupied buildings. These records typically include, but are not limited to correspondence, memoranda, risk assessments and vulnerability studies, disaster/contingency and evacuation plans, supporting materials used to develop plans, and training and educational materials.

Minimum Retention and Disposition: **Destroy 3 years after a plan is superseded or made obsolete because the agency vacates a facility.**

Justification: This retention period meets the statute of limitations involving personal injury suits (Section 214 of the Civil Practice Law and Rules).

Records Not Covered: *Records of activities of the State Preparedness Commission and the State Emergency Management Office, located in the Division of Military and Naval Affairs.*

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.*

INTERNAL CONTROLS

The Governmental Accountability, Audit and Internal Control Act (Chapter 814, Laws of 1987) directs State agencies to develop internal control programs. Internal controls are defined there as "the plan of organization and all of the coordinate methods and measures adopted within an organization to safeguard its assets, check the accuracy and reliability of its accounting data, promote operational efficiency and encourage adherence to prescribed managerial policies." Through this function, agencies periodically audit their programs and operations to ensure that appropriate internal control measures are in place and to promote sound management. The overall objective of agency internal control audits is to identify areas of agency operations susceptible to abuse or misuse and to focus resources on control of the most vulnerable and important aspects of operations.

Records Not Covered: Records created and maintained by the Office of the State Comptroller documenting its oversight of agency internal control programs are excluded from this portion of the general schedule.

SUMMARY SCHEDULE

RDA #

90308 Internal Control Policies and Directives

Destroy master copies in the issuing office 3 years after the policy or directive is withdrawn, revised, or superseded. Destroy other copies when no longer needed for administrative reference.

90309 Vulnerability Assessment Files

Destroy 3 years after completion of assessment.

90310 Internal Control Audit Work Papers

Destroy 1 year after completion of an audit report.

90311 Internal Control Audit Reports

Retain copy in issuing office for 3 years after completion of the next internal control

audit report for the concerned program area, then destroy. Destroy other copies when no longer needed for administrative reference.

90312 Corrective Action Files

Destroy 3 years after issue has been settled.

90313 Internal Control Program Subject Files

Destroy when obsolete or superseded.

**INTERNAL CONTROLS
RECORDS DISPOSITION AUTHORIZATIONS**

90308 Internal Control Policies and Directives – Final versions of agency policies and directives governing internal control requirements and procedures for agency program units and staff. These records may also include associated memoranda, bulletins, and manuals which explain agency internal control policies.

Minimum Retention and Disposition: Destroy master copies in the issuing office 3 years after the policy or directive is withdrawn, revised, or superseded. Destroy other copies when no longer needed for administrative reference.

Justification: The issuing office should retain policies for a minimum of 3 years after they are withdrawn, revised, or superseded for use in development of subsequent policies and procedures. Copies of obsolete policies and procedures have no value to other offices.

90309 Vulnerability Assessment Files – Correspondence, memoranda, survey forms, risk assessments, and reports created and collected during the course of surveys and studies which identify areas of agency operations susceptible to abuse or misuse.

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

Justification: Background materials are used for reference and to plan for subsequent internal control audits.

90310 Internal Control Audit Work Papers -- Plans, analyses, research materials, draft reports, background materials and related records used to plan and prepare internal control audit reports.

Minimum Retention and Disposition: Destroy 1 year after completion of an audit report.

Justification: These records are used for reference for 1 year following release of an audit report.

90311 Internal Control Audit Reports -- Reports documenting the findings of internal control audits of agency program areas and recommendations for improvements.

Minimum Retention and Disposition: Retain copy in issuing office for 3 years after completion of the next internal control audit report for the concerned program area,

then destroy. Destroy other copies when no longer needed for administrative reference.

Justification: Internal control audit reports may be used during the next audit cycle to monitor compliance with internal control program recommendations.

90312 Corrective Action Files – Reports, memoranda, and other records documenting responses by program units to vulnerability assessment reports and to internal audit reports.

Minimum Retention and Disposition: Destroy 3 years after issue has been settled.

Justification: Records may be useful in program audits by Office of the State Comptroller and other control agencies.

90313 Internal Control Program Subject Files – Reference files used to support the development and administration of agency internal control programs, including reports, plans, articles, policies and procedures, and related material, arranged by subject on topics such as risk management, risk assessment, management practices, operational efficiency, and audit methods.

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 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.

LIBRARY OPERATIONS

Many agencies operate libraries that provide information, research materials, and services to agency staff. Agency libraries maintain collections, perform research, loan materials, borrow materials through interlibrary loan, and conduct database searches. Some agency libraries provide library materials and services to clients, researchers, and patrons from the general public.

Records Not Covered: Records maintained by the State Library that document library operations or in connection with its missions of services to the public and of centralized support for agency library programs.

SUMMARY SCHEDULE

RDA #

90314 Interlibrary Loan Files

Destroy 3 years after completion of transaction (i.e., receipt or issuance of photocopies or return of borrowed materials).

90315 Catalogs of Holdings

Destroy catalog record when associated material is permanently removed from the collection or after record is revised or superseded.

90316 Circulation or Loan Records

Destroy after patron returns borrowed item or after efforts to retrieve are abandoned.

90317 Reference Requests Records

Destroy after completion of request.

90318 Collection Acquisition Records

Destroy when obsolete or superseded.

90319 Serials Subscription Records

Retain until obsolete or superseded, then destroy.

90320 Library Subject and Correspondence Files

Destroy when obsolete or superseded.

**LIBRARY OPERATIONS
RECORDS DISPOSITION AUTHORIZATIONS**

90314 Interlibrary Loan Files -- Requests from patrons and requests from an agency library to borrow or photocopy materials from other libraries, receipts for materials, photocopy logs, accounting records, and circulation records.

Minimum Retention and Disposition: Destroy 3 years after completion of transaction (i.e., receipt or issuance of photocopies or return of borrowed materials).

Justification: This retention period ensures that records of transactions will be available for reference, analysis, and planning. This period will also meet any legal need to demonstrate compliance with U. S. Copyright Law (17 USC 507) which establishes a 3 year limitation on actions for copyright violations.

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.

90315 Catalogs of Holdings -- Manual and automated catalogs and lists of books, journals, reports, serials, and other published materials held in an agency library.

Minimum Retention and Disposition: Destroy catalog record when associated material is permanently removed from the collection or after record is revised or superseded.

Justification: Catalog records for specific items are not needed after the items have been removed from the library collection or after the record has been superseded.

90316 Circulation or Loan Records -- Logs, charge-out cards, and related records documenting the loan of library materials to patrons.

Minimum Retention and Disposition: Destroy after patron returns borrowed item or after efforts to retrieve are abandoned.

Justification: Circulation records have no legal or fiscal value after patrons return materials or agency abandons retrieval efforts.

90317 Reference Requests Records -- Call slips, requests for database searches, requests for

research services, and related records created by patrons to request services such as database searches or retrieval of material from library stacks.

Minimum Retention and Disposition: Destroy after completion of request.

Justification: Reference request records are not needed after requests have been filled.

90318 Collection Acquisition Records -- Copies of purchase requests, orders, vouchers, receipts, invoices, and related correspondence documenting the acquisition of books, serials, database services, brochures, and other publications for a library collection.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Justification: These records have no legal or fiscal value because record copies of purchase records are retained by fiscal offices of agencies.

90319 Serials Subscription Records -- Logs, card files, databases, and other records used by agency libraries to check-in serials and to prompt or plan subscription renewals.

Minimum Retention and Disposition: Retain until obsolete or superseded, then destroy.

Justification: These records have no legal or fiscal value.

90320 Library Subject and Correspondence Files -- Correspondence, reports, studies, surveys, copies of internal policies and procedures, articles, vendor materials, and related materials used to support library operations, arranged by subject, covering such topics as library methods, information services, library automation, relations with the New York State Library and other agency libraries, the New York State Inter-Agency Information Group (NYSIIG), the American Library Association, and similar subjects.

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.

MAIL AND MESSENGER SERVICES

Mail and messenger services include use of interagency mail, private vendors, or the U. S. Postal Service for mail, message, and parcel pickup and delivery. Most agencies operate central mail and messenger services.

Records Not Covered: Records of the Office of General Services, mail, interagency messenger and courier services are not covered by this general schedule.

SUMMARY SCHEDULE

RDA #

90321 Mail Pickup and Delivery Records

Destroy 1 year after creation.

90322 Mail and Messenger Service Distribution and Routing Plans, Schedules, and Lists

Destroy when routes, assignments or services are modified or discontinued.

90323 Mailing Address Lists

Destroy after lists are updated or withdrawn.

90324 Mail Services Subject Files

Destroy when obsolete or superseded.

**MAIL AND MESSENGER SERVICES
RECORDS DISPOSITION AUTHORIZATIONS**

90321 Mail Pickup and Delivery Records -- Mail logs, copies of certified or registered mail receipt forms, signed pickup and delivery receipts, delivery and pickup route logs and related records that document that mail and messages were picked up and delivered.

Minimum Retention and Disposition: Destroy 1 year after creation.

Justification: These records may be required as evidence in case of Article 78 (Civil Practice Law and Rules) suits alleging that an agency did not respond in a timely manner to inquiries or requests for service by the public.

Records Not Covered: Any record specifically required as evidence of the execution of a contract or compliance with statute or regulation.

90322 Mail and Messenger Service Distribution and Routing Plans, Schedules, and Lists -- Service delivery and pickup routes, schedules, and distribution lists used to administer agency mail and messenger services, including route diagrams, mail and messenger service staff assignments, route schedules, and copies of distribution lists.

Minimum Retention and Disposition: Destroy when routes, assignments or services are modified or discontinued.

Justification: Records have no value once they are superseded.

90323 Mailing Address Lists -- Printed and automated mailing lists used to send bulk mailings or to mail materials to subscribers or regular recipients.

Minimum Retention and Disposition: Destroy after lists are updated or withdrawn.

Justification: Mailing lists have no value after they are updated.

90324 Mail Services Subject Files -- Records used to support administration of agency mail and messenger services, arranged by subject, including correspondence, memoranda, reports, vendor materials, rate schedules, and copies of policies and procedures pertaining to mail and messenger services.

Minimum Retention and Disposition: Destroy when obsolete or superseded.

Mail and Messenger Services

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.*

MINORITY AND WOMEN-OWNED BUSINESS DEVELOPMENT

Minority and women's business development activities, defined by Article 15-A of Executive Law, Article 4-A of the Economic Development Law and various regulations, especially 5 NYCRR 140-145, assist minorities and women to enter and remain in the mainstream of economic activities. Agencies are required to promote involvement of minority and women-owned businesses in State-funded and State-supported economic activities, especially procurement.

Control and Service Agency: The Division of Minority and Women's Business Development, Department of Economic Development provides centralized support and oversight for this program.

Records Not Covered: *All records of the Division of Minority and Women's Business Development. Records of federally funded projects where retention requirements exceed the retention periods in this schedule.*

SUMMARY SCHEDULE

RDA #

90325 **Minority and Women-Owned Business Development Annual Agency Goal**
Plans

Destroy 1 year after submission of plan or when superseded by a new plan, whichever occurs later.

90326 **Minority and Women-Owned Business Development Quarterly Utilization**
Reports

Destroy 1 year after submission of report.

90327 **Contractor Compliance Monitoring Files**

Destroy 6 years after contract expiration.

90328 **Minority and Women-Owned Business Development Subject Files**

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

**MINORITY AND WOMEN-OWNED BUSINESS DEVELOPMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90325 Minority and Women-Owned Business Development Annual Agency Goal Plans -- Agency copies of annual plans filed with the Division of Minority and Women's Business Development indicating agency goals to promote business opportunities for minority and women-owned businesses.

Minimum Retention and Disposition: Destroy 1 year after submission of plan or when superseded by a new plan, whichever occurs later.

Justification: Record copies of these records are filed with the Department of Economic Development, Division of Minority and Women's Business Development.

90326 Minority and Women-Owned Business Development Quarterly Utilization Reports -- Agency copies of quarterly reports filed with the Division of Minority and Women's Business Development reporting utilization of minority and women's businesses in procurement.

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

Justification: Record copies of these records are filed with the Department of Economic Development, Division of Minority and Women's Business Development.

90327 Contractor Compliance Monitoring Files -- Reports submitted by contractors and used by agencies to monitor contractor implementation of affirmative action and equal employment opportunity programs for minority group members and women and utilization of minority and women-owned businesses for subcontracts and for the purchase of goods and services.

Minimum Retention and Disposition: Destroy 6 years after contract expiration.

Justification: These records may provide evidence in litigation related to compliance with MWBD requirements in the award and administration of 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.

90328 Minority and Women-Owned Business Development Subject Files -- Records used to support the administration of an agency's minority and women-owned business development program,

arranged by subject, including correspondence, memoranda, internal policies and procedures, contractor complaints and resolutions, statistical reports, vendor materials, bidder information, articles and related records on business development, entrepreneurship, technical assistance and related topics.

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

Justification: Some records in minority and women-owned business development subject files may be needed to document compliance with State contracting requirements.

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.

OFFICE ADMINISTRATION

Office administration includes those records which are created and maintained as part of the routine operation of most program units in State government.

SUMMARY SCHEDULE

RDA #

90366

General Administrative Records

Destroy when superseded or obsolete.

**OFFICE ADMINISTRATION
RECORDS DISPOSITION AUTHORIZATION**

90366 General Administrative Records -- Records created and maintained by program units as a part of routine administrative operations. Includes records concerning office organization, staffing, procedures and communications, along with activity schedules and reports, calendars, phone logs, appointment books, tickler files, daybooks and other records used to manage office activities, exclusive of records which document specific program unit responsibilities or which are covered elsewhere in this schedule.

Minimum Retention and Disposition: Destroy when superseded or obsolete.

Justification: These records have no legal or fiscal value.

Records Not Covered: Records documenting the specific programmatic functions and responsibilities of offices or which are covered elsewhere in this schedule. Also does not apply to general administrative records of agency executive offices; these records may have long-term value. Consult with SARA about the disposition of administrative records not covered by this item or elsewhere in this schedule.

Note: For related records, see also items #90200 and #90201 in the Activity/Production Scheduling and Reporting section, items #90206, #90209 and #90362 in the Administrative Analysis, Planning, and Procedures Development section, item #90107 in the Budget Preparation section, and item #90001 in the Personnel section of this schedule.

PAYROLL

Payroll includes all activities associated with preparation, issuance, and accounting for State employee compensation.

Control Agency: The Office of the State Comptroller oversees the payroll system and is responsible for production of State employee payroll checks.

Records Not Covered: *Records created and retained by OSC in its capacity as a control agency for State employees.*

SUMMARY SCHEDULE

RDA #

90016 Employee's Federal Withholding Allowance Certificate (W-4)

Destroy 4 years after due date of last tax return to which the certificate applied.

90017 Payroll Preprocessing Reports

Destroy after biweekly payroll is generated.

90018 Biweekly Payroll Processing Records

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

90019 Biweekly Payroll Listings (Salary Registers)

Destroy 1 fiscal year after end of payroll period.

90027 Paycheck Log

Destroy 6 months following last entry date.

90032 Payroll Deduction and Direct Deposit Records

Destroy deduction and direct deposit authorization forms 3 years after deduction is no longer in effect or last deposit is made under the authorization.

**PAYROLL
RECORDS DISPOSITION AUTHORIZATIONS**

90016 Employee's Federal Withholding Allowance Certificate (W-4) -- Forms completed by employee and filed with employing agency indicating the employee's authorized deductions for Federal and State tax. These forms are used to generate Forms AC 230 and AC 1040 which are sent to OSC and used to determine the amount of taxes withheld from wages.

Minimum Retention and Disposition: Destroy 4 years after due date of last tax return to which the certificate applied.

Justification: Outdated W-4 or IT-2104 forms may be needed in cases where tax returns are audited. IRS publication 334, and publication 15 "Circular E" include W-4 forms in records which must be retained "4 years after the due date of the return or after the taxes are paid."

90017 Payroll Preprocessing Reports -- Reports generated by payroll office to ascertain accuracy of payroll information before the payroll is sent to OSC/DCS, such as listings of incomplete or inaccurate Payroll and Personnel Transaction Forms (PR75s).

Minimum Retention and Disposition: Destroy after biweekly payroll is generated.

Justification: These records have no administrative value after payroll transaction is completed.

90018 Biweekly Payroll Processing Records -- Agency copies of Payroll and Personnel Transaction Form (PR75), Payroll Deduction Form and Transmittal Certification Form (PR76), and other records sent to OSC/DCS to update the biweekly payroll. These are the key documents for payroll processing in the State.

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

Justification: Records have limited administrative value after 3 fiscal years. OSC is the office of record for payroll records and retains information on payroll transactions for at least 6 years.

Records Not Covered: Payroll/personnel records maintained by the Office of the State Comptroller and Department of Civil Service in performing their control functions.

90019 Biweekly Payroll Listings (Salary Registers) -- OSC salary registers sent to the agency, listing the biweekly payroll.

Minimum Retention and Disposition: Destroy 1 fiscal year after end of payroll period.

Justification: Administrative use of these records ceases 1 year following accurate payroll update. OSC maintains the official payroll records on microfiche for an extended period of time.

Records Not Covered: Payroll records maintained by the Office of the State Comptroller in performing its control function.

90027 Paycheck Log -- Record of paycheck distribution which may include employee's name, line number, and indication that employee received paycheck.

Minimum Retention and Disposition: Destroy 6 months following last entry date.

Justification: OSC maintains the official check register.

Records Not Covered: Check disbursement records for the State payroll maintained by the Office of the State Comptroller.

90032 Payroll Deduction and Direct Deposit Records -- Forms completed by employees authorizing deductions for credit unions, savings bonds, union dues, insurance, individual retirement accounts, parking, charitable contributions and other purposes, along with forms authorizing the direct deposit of paychecks at designated banks or other financial institutions.

Minimum Retention and Disposition: Destroy deduction and direct deposit authorization forms 3 years after deduction is no longer in effect or last deposit is made under the authorization.

Justification: Retention period ensures availability of authorizing forms to respond to inquiries concerning their validity.

PERSONNEL

Personnel encompasses 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. Records Disposition Authorizations (RDAs) for this section are subdivided into three functional areas as follows:

- Personnel Administration
- Civil Service Administration
- Benefits and Health Insurance Administration.

Records for payroll, training, affirmative action, and employee relations are covered in separate sections of the schedule.

Control Agency: The Department of Civil Service is the primary control agency for personnel functions in New York State government.

Records Not Covered: Records created and retained by the Department of Civil Service in its capacity as a control agency for State government personnel matters.

SUMMARY SCHEDULE

RDA #

PERSONNEL ADMINISTRATION

90001 Personal History Files

Destroy record copy 6 years after employee separation from agency, unless earlier disposition is permitted under terms of a labor-management contractual agreement. Destroy duplicate copies held by program units when no longer needed for administrative reference.

90002 Employee Summary Service Records

Destroy 10 years after separation from agency service.

90003 Employee Time Records

Destroy 3 fiscal years after date of last entry.

90004 Summary Reports Regarding Personnel/Payroll Functions

Destroy record copy after report is updated or superseded. Destroy other copies when no longer needed for administrative reference.

90005 Subject and Correspondence Files

Destroy when obsolete or superseded.

90006 Employment Inquiry Files

Destroy record copy 3 years from the date of the personnel action on a vacancy to which any records relate or 3 years after receipt for records unrelated to a specific personnel action or vacancy. Destroy all other copies when no longer needed for reference.

90031 Employment Eligibility Verification Forms

Destroy 3 years from the date of the hiring action or 1 year after the individual's employment is terminated, whichever is later.

CIVIL SERVICE ADMINISTRATION

90007 Classification Files

Destroy record copy of classification or allocation records 10 years after the position/title is reclassified, reallocated, or eliminated, whichever comes first. Destroy other copies when no longer needed for administrative reference.

90008 Centralized Eligible List Certification Files

Destroy 3 years after the personnel action to which the records relate.

90009 Decentralized Eligible List Certification Files

Destroy 3 years after expiration of decentralized eligible list (lists may be active up to 4

Personnel

years).

90010 Examination Development Files

Destroy record copy 1 year after a subsequent examination is developed for the title or 1 year after elimination of this title from the agency, whichever comes first. Destroy other copies when no longer needed for administrative reference.

90011 Examination Administration Files

Destroy 3 years after expiration of eligible list.

BENEFITS AND HEALTH INSURANCE ADMINISTRATION

90012 Health Insurance Files

Destroy 6 years after separation from agency or when employee is no longer eligible for insurance, whichever is later.

90013 Employee Hazardous Substance Exposure Records

Destroy 30 years after exposure.

90014 Retirement Benefits Files

Destroy 1 year following completion of retirement processing or upon separation from agency before retirement eligibility.

90015 Workers' Compensation Files

a.) Records of allowed claims: Destroy case files, including basic record of injuries and illnesses, 18 years after the injury or illness or 8 years after final payment on the award, whichever occurs later.

b.) Records of claims disallowed or otherwise disposed of without an award: Destroy case files, excluding basic record of injuries and illnesses, 7 years after the injury or illness. Destroy basic record of injuries or illnesses 18 years after the injury or illness.

c.) Records of injuries or illnesses not resulting in claims: Destroy record of injuries and illnesses 18 years after the injury or illness.

c.) Records of injuries or illnesses not resulting in claims: Destroy record of injuries and illnesses 18 years after the injury or illness.

**PERSONNEL
RECORDS DISPOSITION AUTHORIZATIONS**

PERSONNEL ADMINISTRATION

90001 Personal History Files -- Records related to an individual's employment history with an agency. Personal history files generally include appointment letters, probation reports, performance program evaluations, disciplinary actions, veterans status certifications, resumes, employee information forms, memoranda and correspondence related to employee, health insurance enrollment and declination records, retirement system declination forms, and survivors benefit information.

Minimum Retention and Disposition: Destroy record copy 6 years after employee separation from agency, unless earlier disposition is permitted under terms of a labor-management contractual agreement. Destroy duplicate copies held by program units when no longer needed for administrative reference.

Justification: Inactive records in this series are often used to answer inquiries by former employees, their prospective employers, and others. Information in the series would not necessarily be representative of the current attributes of a former employee after a 6 year period. DCS maintains master summary employee history records on all State employees.

Records Not Covered: Personal History Files of employees who left State service prior to 1945. Please contact the State Archives and Records Administration regarding these records. Also does not cover employment history records on the State work force maintained by the Department of Civil Service.

90002 Employee Summary Service Records -- Summary record of employee's service in an agency including demographic information, positions held, and grade levels.

Minimum Retention and Disposition: Destroy 10 years after separation from agency service.

Justification: Agencies use this series to provide summary information to former employees. After retention period expires such information is available from DCS summary records.

Records Not Covered: Employment history records on the State work force maintained by the Department of Civil Service.

90003 Employee Time Records -- Time and attendance cards/sheets, overtime certification sheets, vacation exchange information, and other records used to account for time, attendance, and time accruals.

Minimum Retention and Disposition: Destroy 3 fiscal years after date of last entry.

Justification: Records are needed for 3 years to meet OSC auditing requirements and for agency reference.

Note: In some agencies the last time card or time sheet that an employee submits at separation is the only record of his/her final time accruals. Employees may need this information to claim unused leave credits if they re-enter State service. Agencies should create a record of final accruals or retain the last time card/sheet in an employee's Personal History File upon separation or leave from the agency.

90004 Summary Reports Regarding Personnel/Payroll Functions – Statistical and narrative summary reports produced by agency, DCS, and OSC of personnel/payroll functions used for operational, management analysis or planning purposes, including reports on vacant positions, nonpermanent positions, payroll additions and separations, health insurance transactions, employees on probation, and performance evaluations due.

Minimum Retention and Disposition: Destroy record copy after report is updated or superseded. Destroy other copies when no longer needed for administrative reference.

Justification: Reports have minimal administrative value after they are superseded or updated. Agencies may choose to retain selected summary reports as long as needed to recap or reconstruct personnel or payroll trends or for planning purposes.

90005 Subject and Correspondence Files – Records used to support general agency personnel administration (usually arranged alphabetically by subject) including reports, memoranda, and correspondence pertaining to employee benefits, health insurance, retirement, Personnel Council, Civil Service Administration, and personnel policies and 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 obsolete records at regular intervals. Agencies should not use this item for records which are covered by separate authorizations in this schedule.

90006 Employment Inquiry Files -- Job applications, resumes, and other records prospective employees submit to personnel and program offices for employment consideration.

Retention and Disposition: Destroy record copy 3 years from the date of the personnel action on a vacancy to which any records relate or 3 years after receipt for records unrelated to a specific personnel action or vacancy. Destroy all other copies when no longer needed for reference.

Justification: Federal regulations (29 CFR 1627.3B1) require the retention of these records for at least 1 year from the date of the personnel action to which they relate. State Human Rights Law (Executive Law Art. 15) has established a 3 year statute of limitations on suits involving unlawful employment practice.

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.

90031 Employment Eligibility Verification Forms -- Immigration and Naturalization Service Form I-9 completed by employers for every employee hired after November 6, 1986, verifying that the employee is a U. S. citizen or is otherwise legally authorized to work in the United States.

Minimum Retention and Disposition: Destroy 3 years from the date of the hiring action or 1 year after the individual's employment is terminated, whichever is later.

Justification: Federal regulations (8 CFR 274a.2) require the retention of these records for 3 years from the date of the hiring action to which they relate or 1 year after the termination of the associated employee, whichever is later.

CIVIL SERVICE ADMINISTRATION

90007 Classification Files -- Records of position classifications and allocations for all Civil Service classified titles in an agency. Classification files generally include requests to DCS for new positions, changes to existing positions and reallocations, duty statements, title and salary plans, correspondence, and background material regarding the classification of Civil Service and appointed positions.

Minimum Retention and Disposition: Destroy record copy of classification or allocation records 10 years after the position/title is reclassified, reallocated, or

eliminated, whichever comes first. Destroy other copies when no longer needed for administrative reference.

Justification: Agency copies of records pertaining to classifications and reallocations become dated and are not needed for administrative purposes 10 years after the next action on a title is completed. DCS maintains the official copy of records of all classification/allocation actions. SARA has appraised DCS classification/allocation records as archival.

Records Not Covered: Position classification and allocation records maintained by the Department of Civil Service in performing its control function.

90008 Centralized Eligible List Certification Files -- Copies of DCS certified eligible lists, canvass letters, responses to canvass, and other records related to availability canvasses for appointment from lists. These records are usually for job titles common to more than one agency and for which DCS has administered the examination process and maintains the full eligible list.

Minimum Retention and Disposition: Destroy 3 years after the personnel action to which the records relate.

Justification: The State Human Rights Law (Executive Law Art. 15) has established a 3 year statute of limitation on suits involving unlawful employment practice.

Records Not Covered: Eligible lists and related records maintained by Civil Service in performing its control function.

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.

90009 Decentralized Eligible List Certification Files -- Agency certified eligible lists, canvass letters, responses to canvass letters, geographic preference information and other records pertaining to availability canvasses for appointment from lists. These records are usually for job titles unique to an agency which are filled by agency-administered promotional or open competitive examinations under DCS decentralized examination program.

Minimum Retention and Disposition: Destroy 3 years after expiration of decentralized eligible list (lists may be active up to 4 years).

Justification: A 3 year retention period should be used for decentralized certification records because the agency must prove compliance with Civil Service Law and because State Human Rights Law (Executive Law Art. 15) has established a 3 year statute of limitation on suits involving unlawful employment practice.

Records Not Covered: Department of Civil Service records maintained in performing its control function.

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.

90010 Examination Development Files -- All records relating to the development and preparation of a Civil Service examination including proposed training and evaluation rating schedules, examination scope records, proposed examination questions, and justification documentation for examination.

Minimum Retention and Disposition: Destroy record copy 1 year after a subsequent examination is developed for the title or 1 year after elimination of this title from the agency, whichever comes first. Destroy other copies when no longer needed for administrative reference.

Justification: Previous examination development records may be needed to develop new examinations.

Records Not Covered: Examination development records maintained by the Department of Civil Service in performing its control function.

90011 Examination Administration Files -- All records relating to the administration of decentralized (agency-administered) examinations including examination announcements, correspondence with candidates, examination applications, copies of examinations, lists of candidates, examination rating sheets, examiners' comments, records documenting rating criteria, examination results, and related documentation.

Minimum Retention and Disposition: Destroy 3 years after expiration of eligible list.

Justification: State Human Rights Law (Executive Law Art. 15) has established a 3 year statute of limitation on suits involving unlawful employment practice.

Records Not Covered: Examination administration records maintained by the Department of Civil Service in performing its control function.

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.

BENEFITS AND HEALTH INSURANCE ADMINISTRATION

90012 Health Insurance Files -- Records of employees' health insurance transactions including but not limited to the following forms:

- PS-404 Authorization for NYSHIP Enrollment and Record Changes
- PS-405 Dual Annuitant Sick Leave Credit Enrollment Form
- PS-406 Deferred Health Insurance Coverage for Retirees (Council 82 and DC-37)
- PS-406.1 Deferred Health Insurance Coverage for Up to 5 Years
- PS-406.2 Deferred Health Insurance Coverage Indefinitely in Retirement
- PS-425.1 Application for Health Insurance Benefits for Domestic Partners of Active NYS Employees and Affidavit of Domestic Partnership
- PS-425.2 Affidavit of Financial Interdependence for Active NYS Employees
- PS-425.3 Dependent Tax Affidavit for Enrolling Domestic Partners of Active Employees in the NYS Health Insurance Program
- PS-425.4 Termination of Domestic Partnership of Active Employees in the NYS Health Insurance Program
- PS-451 Statement of Disability
- PS-452 Waiver of Premium Application
- PS-457 Statement of Dependence.

Minimum Retention and Disposition: Destroy 6 years after separation from agency or when employee is no longer eligible for insurance, whichever is later.

Justification: Records may be needed to verify benefits or as evidence in litigation initiated under CPLR 213.

Records Not Covered: Health insurance records maintained by the Department of Civil Service in performing its control function.

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.

90013 Employee Hazardous Substance Exposure Records -- Record of exposure to toxic or harmful substances including information on substance to which employee is exposed, employee exposure records, summary information derived from detailed environmental monitoring records, and material safety sheets.

Minimum Retention and Disposition: Destroy 30 years after exposure.

Justification: OSHA (29 CFR 1910.20) requires that employee hazardous substance exposure records be maintained for 30 years.

Note: Hazardous Substance exposure records should not be filed in the employee's personal history file. For additional authorizations related to employee health and safety records, see the Health, Safety, and Security section of this schedule.

90014 Retirement Benefits Files -- Records of an employee's retirement benefits from the N.Y.S. Retirement System including copy of original application, statement of arrears, loan or arrears deduction notices, stop loan/arrears deduction notices and all supporting documentation.

Minimum Retention and Disposition: Destroy 1 year following completion of retirement processing or upon separation from agency before retirement eligibility.

Justification: The State Retirement System is the office of record for all records pertaining to retirement benefits and loan/arrears. Retention of agency copy for 1 year following retirement or separation is sufficient to correct errors and respond to inquiries.

Records Not Covered: Retirement benefits records retained by the New York State Retirement System. Retirement system declination forms are not maintained by the New York State Retirement System and therefore should be retained as part of the employee's Personal History File (item #90001).

Note: Agencies may wish to retain and dispose of this information together with the Personal History File (item #90001).

90015 Workers' Compensation Files -- Agency records concerning workplace injuries and illnesses and subsequent workers' compensation claims filed by employees. Records include a record

of all injuries or occupational illnesses prepared pursuant to Section 110 of Workers' Compensation Law, copies of documents filed with or received from the Workers' Compensation Board or State Insurance Fund concerning the injury/illness and any subsequent compensation claim, and related correspondence and other records.

Minimum Retention and Disposition:

a.) Records of allowed claims: Destroy case files, including basic record of injuries and illnesses, 18 years after the injury or illness or 8 years after final payment on the award, whichever occurs later.

b.) Records of claims disallowed or otherwise disposed of without an award: Destroy case files, excluding basic record of injuries and illnesses, 7 years after the injury or illness. Destroy basic record of injuries or illnesses 18 years after the injury or illness.

c.) Records of injuries or illnesses not resulting in claims: Destroy record of injuries and illnesses 18 years after the injury or illness.

Justification: Section 110 of Workers' Compensation Law requires that a record of all injuries and occupational illnesses be retained for a minimum of 18 years. Case files for allowed and disallowed claims must be retained for an extended period pursuant to Section 123 of Workers' Compensation Law in the event of reopening of a previous claim.

Records Not Covered: Workers' compensation records maintained by the Workers' Compensation Board, State Insurance Fund, or workers' compensation litigation files in the Attorney General's Office.

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 related records, also see item #90295, Employee Occupational Injury and Illness Incident Logs, Summaries, and Supplemental Records in the Health, Safety and Security records section of this schedule.

Also note that the Workers' Compensation Board and State Insurance Fund do not maintain records of benefit enhancements provided to State employees. Agencies should therefore maintain records of employer-provided benefits provided for absences related to each workers' compensation case (e.g., leave with pay without charge to credits, award and supplement payments), and other leave transactions related to a case (e.g., recrediting or restoring leave credits). These records should be maintained as part of the case file for the indicated retention period. The State needs the information in these

Personnel

records to ensure that an employee receives only the benefits to which (s)he is entitled if a case is reopened.

PUBLIC INFORMATION

Agencies administer functions to provide information on agency programs and services, respond to inquiries from the public, disseminate information through publications and through the news media, and administer Freedom of Information and Personal Privacy Protection Laws (Sections 84-99, Public Officers Law).

Records Not Covered: All records of the Committee on Open Government, Department of State.

SUMMARY SCHEDULE

RDA #

90329 Information Inquiries and Requests Records

Destroy 1 year after response is made.

90330 Freedom of Information Law (FOIL) Subject Matter Lists

Destroy 6 months after superseded by updated lists.

90331 Freedom of Information Requests and Appeals

Destroy 6 months after access is provided or appeal is resolved.

90332 Personal Privacy Impact Statements

Destroy 6 months after superseded by updated notices or statements.

90333 Personal Privacy Records Access Requests and Appeals

Destroy 6 months after access is provided or appeal is resolved, or after filing the next Personal Privacy Annual Report, whichever is later.

90334 Requests for Record Amendments or Corrections and Appeals

Destroy 6 months after corrections are made or appeal is resolved.

90335 Personal Privacy Annual Reports

Destroy after filing of subsequent report.

90336 Press Release Files

Transfer to State Archives 3 years after creation.

90337 Annual Report Development Files

Destroy 3 years after preparation of annual report.

90338 Agency Annual Reports

Transfer 1 copy of each report to the State Archives. Destroy all other copies when no longer needed for reference.

90339 Public Information Subject Files

Destroy when obsolete or superseded.

**PUBLIC INFORMATION
RECORDS DISPOSITION AUTHORIZATIONS**

90329 Information Inquiries and Requests Records – Letters, memoranda, telephone logs, copies of responses, and related records that document requests for information from the public, organizations, and other agencies, excluding formal requests filed under the Freedom of Information Law.

Minimum Retention and Disposition: Destroy 1 year after response is made.

Justification: Records should be retained for 1 year to document responses and to analyze the nature of requests and responses.

90330 Freedom of Information Law (FOIL) Subject Matter Lists – Agency copies of subject matter lists, lists of records systems, or file categories prepared pursuant to the Freedom of Information Law (Section 87 of the Public Officers Law).

Minimum Retention and Disposition: Destroy 6 months after superseded by updated lists.

Justification: Obsolete lists may be needed for Article 78 (Civil Practice Law and Rules) proceedings.

90331 Freedom of Information Requests and Appeals – Formal requests for access to agency records filed by members of the public, the press, or other agencies under the Freedom of Information Law, agency responses to requests, and appeals in situations where access to records is denied.

Minimum Retention and Disposition: Destroy 6 months after access is provided or appeal is resolved.

Justification: Records may be needed for Article 78, (Civil Practice Law and Rules) proceedings.

90332 Personal Privacy Impact Statements – Copies of privacy impact statements and notices filed by agencies with the Committee on Open Government in compliance with the Personal Privacy Protection Law listing records systems which contain personally identifiable information and indicating their impact on personal privacy.

Minimum Retention and Disposition: Destroy 6 months after superseded by updated notices or statements.

Justification: Records may be needed for Article 78 (Civil Practice Law and Rules) proceedings.

90333 Personal Privacy Records Access Requests and Appeals -- Requests by data subjects filed under provisions of the Personal Privacy Protection Law for access to records pertaining to them, agency responses to requests, and appeals in situations where access is denied.

Minimum Retention and Disposition: Destroy 6 months after access is provided or appeal is resolved, or after filing the next Personal Privacy Annual Report, whichever is later.

Justification: Records and responses may be needed for Article 78, (Civil Practice Law and Rules) proceedings and to provide information needed to prepare the next Personal Privacy Annual Report.

90334 Requests for Record Amendments or Corrections and Appeals -- Requests filed by data subjects under provisions of the Personal Privacy Protection Law to amend or correct personal information contained in agency records, agency responses to those requests, and appeals in situations where the request is denied.

Minimum Retention and Disposition: Destroy 6 months after corrections are made or appeal is resolved.

Justification: Records may be needed for Article 78, (Civil Practice Law and Rules) proceedings.

90335 Personal Privacy Annual Reports -- Agency copies of annual reports to the Committee on Open Government indicating the number of requests for access to records and for corrections and amendments to records which were approved and denied each year under the Personal Privacy Protection Law.

Minimum Retention and Disposition: Destroy after filing of subsequent report.

Justification: The report is needed for reference when preparing a new annual report.

90336 Press Release Files -- Copies of news articles and press releases issued by the agency to the

media to inform the public about events, activities, and accomplishments.

Minimum Retention and Disposition: Transfer to State Archives 3 years after creation.

Justification: Agency press releases warrant preservation in the State Archives because they possess long-term research value and document agency activities and accomplishments.

90337 Annual Report Development Files -- Narrative reports on agency and program unit activities, statistical data and summaries, drafts, charts, graphs, photographs, and related records used to prepare agency annual reports, but excluding the reports themselves.

Minimum Retention and Disposition: Destroy 3 years after preparation of annual report.

Justification: Agencies should retain these records for reference and analysis in preparing subsequent annual reports.

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

90338 Agency Annual Reports -- Annual reports prepared by agencies describing functions, activities, and events of the past year.

Minimum Retention and Disposition: Transfer 1 copy of each report to the State Archives. Destroy all other copies when no longer needed for reference.

Justification: The copy transferred to the State Archives will satisfy archival requirements.

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

90339 Public Information Subject Files -- Records used to support an agency's program, arranged by subject, including correspondence, memoranda, studies, reports, plans, and copies of internal policies and procedures pertaining to relations with the press and news media, public relations techniques, outreach, information dissemination and related topics.

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.

PUBLICATION AND REPRODUCTION SERVICES

This function includes centralized agency services for publication, printing, photoduplication, and other forms of document reproduction for large volume runs of publications and smaller quantities of documents for limited distribution.

SUMMARY SCHEDULE

RDA #

90340

Publication Job Files

Destroy 1 year after completion of job or discontinuation of the publication, whichever occurs later.

90341

Camera-Ready Copies, Printing Masters, and Mechanicals

Destroy 1 year after completion of print job or discontinuation of the publication, whichever occurs later.

90342

Duplication Service Job Files

Destroy 1 year after creation or after order is completed, whichever occurs first.

90343

Publication and Duplication Subject Files

Destroy when obsolete or superseded.

**PUBLICATION AND REPRODUCTION SERVICES
RECORDS DISPOSITION AUTHORIZATIONS**

90340 Publication Job Files -- Requests, orders, job descriptions and specifications, publication design records, sample job products, and related records documenting jobs completed by an agency publication services unit.

Minimum Retention and Disposition: Destroy 1 year after completion of job or discontinuation of the publication, whichever occurs later.

Justification: Job record should be retained in the event of reprinting.

Records Not Covered: Records documenting purchases of goods and services, chargebacks, contracts and any other fiscal records are covered by items in the Fiscal Operations records section of this schedule.

90341 Camera-Ready Copies, Printing Masters, and Mechanicals -- Documents prepared specifically for use as the final printing master.

Minimum Retention and Disposition: Destroy 1 year after completion of print job or discontinuation of the publication, whichever occurs later.

Justification: Printing masters should be retained for use in reprinting.

90342 Duplication Service Job Files -- Records of duplication services provided by outside vendors or by the agency duplicating, photocopy, rapid copy, or self-service copy service, including requests, production activity reports, copy machine usage logs, and related records.

Minimum Retention and Disposition: Destroy 1 year after creation or after order is completed, whichever occurs first.

Justification: These records have no legal or fiscal value. Activity reports, machine usage logs, and related records should be kept a minimum of 1 year to monitor activity and trends.

Records Not Covered: Records documenting purchases of goods and services, chargebacks, contracts and any other fiscal records are covered by items in the Fiscal Operations records section of this schedule.

90343 Publication and Duplication Subject Files -- Records used to support the administration of agency publication and duplication services, arranged by subject, including correspondence,

memoranda, studies, reports, plans, operator's manuals, vendor materials, supply catalogs and copies of internal policies and procedures pertaining to publication and duplication equipment, supplies and services.

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.

RECORDS MANAGEMENT

Records management includes activities undertaken by agencies to improve the management of records and to comply with provisions of Section 57.05 of the Arts and Cultural Affairs Law and 8 NYCRR Part 188.

Records Not Covered: Records maintained by the State Archives and Records Administration of the State Education Department, the Office of the Attorney General, or the Office of the State Comptroller which document their role as control or oversight agencies for State agency records management.

SUMMARY SCHEDULE

RDA #

90344 Records Inventory Files

Destroy when superseded by a new or updated inventory.

90345 Records Disposition Authorization Files

Destroy after the RDA is canceled or superseded and all records covered by the authorization have been disposed.

90346 Records Storage Files

Destroy 3 years after records have been removed from storage or returned following retrieval.

90347 Records Disposal Files

Destroy 3 years after final disposition of records.

90348 Records Management Program Subject Files

Destroy when obsolete or superseded.

**RECORDS MANAGEMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90344 Records Inventory Files -- Descriptive inventories of agency records, including OMP-1 forms, REC-20 forms, the RMP database, and similar documents indicating the titles, contents, locations, volume, inclusive dates, and other attributes of those records.

Minimum Retention and Disposition: Destroy when superseded by a new or updated inventory.

Justification: Agencies are required to maintain an up-to-date inventory of all records (8 NYCRR Part 188.6).

90345 Records Disposition Authorization Files -- Approved Records Disposition Authorizations (RDAs), correspondence and memoranda, copies of laws, regulations, and related retention requirements used to establish legally-approved retention schedules for agency records.

Minimum Retention and Disposition: Destroy after the RDA is canceled or superseded and all records covered by the authorization have been disposed.

Justification: Agencies must retain RDAs to document compliance with State records management laws and regulations.

Records Not Covered: Copies of RDAs maintained by the State Archives and Records Administration as the central oversight agency for records management.

90346 Records Storage Files -- Records used to transfer and retrieve records to and from inactive storage, and to maintain control over them while in storage. These records may include State Records Center or commercial records center transfer lists, internal agency storage requests, records shelf lists, and charge-out slips or logs.

Minimum Retention and Disposition: Destroy 3 years after records have been removed from storage or returned following retrieval.

Justification: Agencies may need to use these records to track missing files, and to provide information or evidence of their unavailability during audits or litigation.

90347 Records Disposal Files -- Records documenting authorized destruction of records or transfer to State Archives for permanent retention. These include destruction request and approval forms, State Archives memoranda of transfer, and related correspondence.

Minimum Retention and Disposition: Destroy 3 years after final disposition of records.

Justification: These records should be retained to document the legal disposition of records in case of discovery actions during litigation or when requested for use in audits.

90348 Records Management Program Subject Files – Records used to support administration of an agency records management program, arranged by subject, including management plans, surveys, reports, correspondence with program units and the State Archives and Records Administration, articles, training materials, information booklets and brochures, program announcements, directions, internal policies and procedures, and related records.

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.

TELECOMMUNICATIONS (VOICE AND FAX) MANAGEMENT

Telecommunications management includes the planning, procurement of services, implementation, operation, and maintenance of telephone and other telecommunications facilities for voice and fax communications. Telecommunications networks operated to support data communications are covered in the Electronic Data Processing records section of this schedule.

Records Not Covered: Records of the Office of General Services, Division of Telecommunications in connection with its responsibilities for oversight and centralized telecommunications services.

SUMMARY SCHEDULE

RDA #

90349 Telephone and Fax Machine Installation and Service Job Files

Destroy copies maintained in agency central administrative unit 1 year after request is filled or repairs are made. Destroy other copies when no longer needed for administrative reference.

90350 Telecommunications Use Logs and Reports

Destroy after logs are reviewed and verified.

90351 Long-Range Intercity Network Communication System (LINCS) Access Number Request and Assignment Records

Destroy after request is approved or denied.

90352 Long-Range Intercity Network Communication System (LINCS) Access Number Quarterly Reports and Weekly Updates

Retain quarterly report and weekly updates until new quarterly report is issued, then destroy.

90353 Telecommunications Planning Records

Destroy copies maintained by agency central administrative unit 1 year after completion of planned activities or projects. Destroy other copies when no longer needed for administrative reference.

90354 Telephone Wiring Schematics and Diagrams

Destroy when superseded by new network documentation or when network installation is dismantled.

90355 Telephone and Fax Directories

Destroy when superseded by updated directory or listing.

90356 Telephone Services Subject Files

Destroy when obsolete or superseded.

**TELECOMMUNICATIONS (VOICE AND FAX) MANAGEMENT
RECORDS DISPOSITION AUTHORIZATIONS**

90349 Telephone and Fax Machine Installation and Service Job Files -- Copies of requests by agencies to the OGS Bureau of Telecommunications or other service providers, for telephone service, installation or repairs, and responses to the requests. These records typically include work orders, correspondence, memoranda, work schedules, copies of building diagrams, and duplicate copies of fiscal documents.

Minimum Retention and Disposition: Destroy copies maintained in agency central administrative unit 1 year after request is filled or repairs are made. Destroy other copies when no longer needed for administrative reference.

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

90350 Telecommunications Use Logs and Reports -- Records listing local and long-distance telephone calls made, and indicating use of the Long-Range Intercity Network Communication System (LINCS) and private carriers, time, length and charge for calls. This series includes logs, computer listings, internal reports, and copies of OGS telephone billing reports on various media used to monitor and control employee use of telephone and fax services.

Minimum Retention and Disposition: Destroy after logs are reviewed and verified.

Justification: OGS retains official copies of billing reports on microfiche.

Records Not Covered: Agency record copies of telephone bills from OGS or commercial service providers maintained by fiscal offices as accounts payable records are covered by items #90126 and #90127 in the Fiscal Operations records section of this schedule. For telephone logs used for office informational purposes, see item #90366, General Administrative Records in the Office Administration records section of this schedule.

90351 Long-Range Intercity Network Communication System (LINCS) Access Number Request and Assignment Records -- Requests by agencies or program units for assignment, changes in authorization levels, or cancellation of LINCS access numbers and calling cards for employees, including copies of requests and related correspondence and memoranda.

Minimum Retention and Disposition: Destroy after request is approved or denied.

Justification: Records of approved LINCS access numbers and assignments are maintained by the OGS Division of Telecommunications and reported in weekly and quarterly update reports (item #90352).

90352 Long-Range Intercity Network Communication System (LINCS) Access Number Quarterly Reports and Weekly Updates – Agency copies of reports from OGS documenting new, changed, or canceled assignments of LINCS access numbers to agency employees.

Minimum Retention and Disposition: Retain quarterly report and weekly updates until new quarterly report is issued, then destroy.

Justification: Each new quarterly report supersedes the previous quarterly report and weekly updates. OGS retains the record copy of LINCS access number assignments.

90353 Telecommunications Planning Records – Correspondence, reports, studies, plans, notes, working diagrams of proposed networks, and related records used by agencies to plan for and implement telecommunications systems.

Minimum Retention and Disposition: Destroy copies maintained by agency central administrative unit 1 year after completion of planned activities or projects. Destroy other copies when no longer needed for administrative reference.

Justification: Plans may be needed for reference during the first year of operation.

90354 Telephone Wiring Schematics and Diagrams – Agency copies of trunk and feeder line diagrams, wiring schematics, specifications, and other records that document the location, capacity and routing of telephone networks used by agencies to support network operation, maintenance, and modification.

Minimum Retention and Disposition: Destroy when superseded by new network documentation or when network installation is dismantled.

Justification: These records are essential for network operation and maintenance.

Note: Data communications may operate over an integrated telecommunications network. See the Electronic Data Processing records section of this schedule.

90355 Telephone and Fax Directories – Logs, lists, and directories of telephone and fax numbers.

Minimum Retention and Disposition: Destroy when superseded by updated directory

or listing.

Justification: These records have no value for operations once they are superseded.

90356 Telephone Services Subject Files -- Correspondence, memoranda, reports, internal agency policies and procedures, vendor materials, equipment manuals and related records, arranged by subject, and used to support administration of telephone and fax services.

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.

TRAINING

Agencies provide training to employees to help ensure a work force with the skills and knowledge sufficient to accomplish agency goals, and to offer employees opportunities for professional development. Agencies also consent, encourage, and/or subsidize employee attendance at training conducted by other State agencies, educational institutions, private trainers, and other organizations.

Records Not Covered: Records related to training provided to other State agencies, local governments, or private organizations and individuals as part of an agency's programmatic responsibilities.

SUMMARY SCHEDULE

RDA #

90020 Course Information Records

Destroy when superseded or obsolete.

90021 Course Registration Processing Records

Destroy 3 years after application for course.

90022 Employee Training History

Destroy 6 years after separation from agency.

90023 Tuition Reimbursement Program Records

Destroy 1 year after reimbursement is paid to employee or application is rejected.

**TRAINING
RECORDS DISPOSITION AUTHORIZATIONS**

90020 Course Information Records -- Memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of agency registrants.

Minimum Retention and Disposition: Destroy when superseded or obsolete.

Justification: Information in this series is used for curriculum development and for reference purposes.

90021 Course Registration Processing Records -- Employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials.

Minimum Retention and Disposition: Destroy 3 years after application for course.

Justification: Information has no administrative value after 3 years.

90022 Employee Training History -- Records of an employee's training history including employee identifying information (e.g., name, social security number), courses registered for and completed, and beginning and completion dates.

Minimum Retention and Disposition: Destroy 6 years after separation from agency.

Justification: Agencies provide this information to former employees and others. Six years after separation from the agency, information would not be current for most purposes. This retention concurs with employee personal history file.

Note: For related records, also see item #90217, *Affirmative Action Training Records in the Affirmative Action records section of this schedule* and items #90294, *Toxic Substances Training and Education Files* and #90302, *Fire Safety Education and Training Records in the Health, Safety, and Security records section of this schedule.*

90023 Tuition Reimbursement Program Records -- Tuition reimbursement records including application, determination of coursework relatedness, and reimbursement computation forms.

Minimum Retention and Disposition: Destroy 1 year after reimbursement is paid to employee or application is rejected.

Justification: The Governor's Office of Employee Relations (GOER) maintains the record copies of the forms included in this series. Records have no administrative value after reimbursements are made to employees.

Records Not Covered: *Tuition reimbursement records maintained by the Governor's Office of Employee Relations (GOER) in performing its control function.*

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