

# Local Records Retention Schedules

Missouri Revised Statutes Chapter 109 (Public and Business Records) Section 255 authorizes the Local Records Board to establish minimum retention periods for the administrative, fiscal and legal records created by local governments.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules.

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August 2011

## General Records Retention Schedule

### Using this Records Retention Schedule

Every day local government offices throughout Missouri produce records that document the rights of citizens, the actions of the government that serves them and the history of the community in which they live. It is the responsibility of local government to effectively maintain and manage these records and to ensure the continued preservation of those records of essential evidence that have enduring and permanent value.

The introduction to this retention schedule provides local government officials with basic information on records and the application of retention schedules.

#### What is a Record?

A "**record**" is defined as any "document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business" (109.210(5) RSMo). This definition includes those records created, used and maintained in electronic form.

#### Non-Records

Even though records include a broad spectrum of recorded information, not all recorded information is a record. According to Section 109.210(5) RSMo, the following are not records: "...Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records..."

Other examples of non-records include the following materials:

- Identical copies of documents maintained in the same file.
- Extra copies of printed or processed materials (official copies of which are retained by the office of record).
- Superseded manuals and other directives (maintained outside the office of record).
- Materials documenting employee fringe activities (blood donors, charitable funds, social and professional meetings, etc.)
- Work papers and drafts of reports or correspondence. Transcribed stenographic materials.
- Blank forms.
- Materials received from other activities that require no action (official copies of which are retained by the office of record).
- Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record.
- Survey forms

Non-records do not require retention scheduling or destruction authorization or reporting. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Avoid filing non-record material with records.

#### The Value of Local Government Records

Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require that special care and consideration be given to their storage conditions and the feasibility of preservation microfilming. Examples of permanent records include year-end reports; minutes; property records such as deeds; and birth, death and marriage records.

Most records do not have values that warrant their permanent preservation. Those records with short-term value should, upon reaching end of the retention period, be destroyed.

### **Statutory Authority for Establishing Records Retention Requirements**

In 1965, the Missouri General Assembly established a State Records Commission to approve retentions for records produced by state agencies. In 1972, Missouri's Business and Public Records Law (Chapter 109) was expanded to include local government. Thus, the Missouri Local Records Board was established to set retention times for local government records. The 16-member board, chaired by the Secretary of State, consists of local government officials from all classes of counties and cities, elementary and secondary education, higher education and a person active in historical society groups.

Supplemental to the Local Records Board, the Records Management and Archives Service of the Secretary of State's office provides assistance to local governments and implements board policy.

### **Application of the Records Retention Schedule**

This schedule establishes minimum retention periods and authorizes dispositions for many of the administrative, fiscal and legal records common to most local governments. Retention periods are based upon federal and state mandates, record surveys, business needs, and general knowledge as to how long records should be kept. Using the schedule as a guide and without seeking further approval from the Local Records Board, any local government may regularly dispose of any of its records that appear on this schedule. The schedule is subject to the following exceptions and limitations:

- A. Local government offices may retain any of their records beyond the retention periods set by the schedule, as they deem necessary. The schedule establishes only a minimum period of retention. Before retaining a record longer than the minimum time required, however, the office should be certain that it has good reason to do so. Unnecessary retention of records can be expensive in space and filing equipment and may expose the office to costly litigation and discovery requirements.
- B. This schedule does not relieve local governments of retention requirements mandated by other state and federal statutes and regulations. When such an obligation does exist, then the longer retention period takes precedence.
- C. This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record required for an audit must be retained until completion of that audit, regardless of its stated retention period in the schedule.
- D. This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules. All schedules are available on the Secretary of State's website at <http://www.sos.mo.gov/archives/localrecls/schedules>

### **Destruction of Records**

The records classification and retention periods in this manual constitute legal authority for retention and disposal of official records. No records can be destroyed until they meet the minimum retention period listed in this manual. In cases where there is no schedule for a particular record series, the Local Records Board must grant permission for the destruction.

The disposition of records should be recorded in a document such as the minutes of the city council or other legally constituted authority that has permanent record status. The record should include the description and quantity of each record series disposed of, manner of destruction, inclusive dates covered and the date on which destruction was accomplished.

The retention schedule does not prescribe the method of destruction (shredding, burning, landfills, etc.), however, record series with a disposition of *Destroy securely* contain confidential data. These records should be destroyed under the supervision of a competent person(s) designated (or appointed) to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.

### **Preservation of Permanent Records**

A fundamental, yet often neglected obligation of local government is to care for its permanent records-in this case, some of the records that it generates and receives. The records that have been identified as permanent require special handling and storage if they are to be preserved. The continuous interaction between a record's medium-paper, magnetic tape, film, etc. -and the quality of the environment in which it is kept-temperature, humidity, light, and air-determines the severity and rate of its deterioration.

General Schedule--Introduction

By microfilming older, deteriorating, but permanently valuable records, local governments can generate durable copies for research and prevent further damage or deterioration of the original. When filmed, processed, and maintained to archival specifications, the master negative will ensure that permanently valuable records are preserved for generations to come.

*The Missouri Local Records Grant program can provide financial assistance in the form of grants-in-aid to supplement local funds for preservation initiatives, such as archival supplies, shelving and preservation microfilming.*

### **A Note about Electronic Records**

Permanent records existing solely in electronic form are in danger of becoming inaccessible through media decay and hardware/software obsolescence. Periodic migration and transfer of permanent records to stable preservation media, such as microfilm, should be considered as a best practice for local government to fulfill its statutory responsibility to maintain permanent records.

### **Vital Records**

Certain records are so important to the essential operations of a government or to the protection of the rights and property of citizens that the records are considered vital. Vital records require special safeguards to ensure that the information and evidence in the records will survive a disaster.

The best method to safeguard vital records is to store a duplicate copy in another location (i.e., bank vault, off-site private storage, or Secretary of State's Office). In many instances, duplicate copies are created as part of the regular operating routine of the office—security copies on computer tapes, microfilm, or paper copies distributed to other offices or agencies. If these copies and the originals are stored in separate buildings, these vital records are adequately protected.

### **A Note about Retention Periods**

This schedule provides minimum retentions. Local authorities may choose to keep a particular series or record for a longer period of time. It should be kept in mind, however, that a record kept beyond its listed retention must be made available for inspection upon request.

### **Retention Definitions:**

**COA=Completion of Audit.** Note that COA is coupled with a lot of 5-year entries to help encourage regular audits. Not all jurisdictions are required to have audits by statute. Audits for some municipalities are governed by the level of federal financing for bonds and public improvements, and thus are governed by federal retentions. Most municipalities are governed by their local authority (alderman, council, mayor, etc.) for auditing policy. Local jurisdictions may consult RSMo 29 to review the State Auditor's chapter for petition audits (see RSMo 250 for large capital projects such as bonds for water and sewer). For general auditing explanations and advice we recommend that clerks contact the State Auditor's office at 573.751.4213.

**DCA=Destroy in Current Area/Reference.** Series with these retentions are considered "reference" records and may be destroyed when they are no longer of use.

### **Modifications and Additions**

Because records reflect activities that are constantly changing, the retention requirements for them sometimes require revision as well. Consequently, records retention and disposition schedules often need modification or additions in order to be realistic and effective. Furthermore, because local governments are so large, it is impractical to consult with every office regarding specific schedule entries. There may be some retention periods and disposition requirements within this schedule that fail to account for all relevant factors and there may be some important record series not addressed here which need to be added. The Local Records Program welcomes all comments and suggestions concerned with improvement of record retention schedules through modifications and additions.

**For further information on any records management or preservation issue, please contact:**

Missouri Secretary of State  
Local Records Preservation Program  
PO Box 1747, Jefferson City, MO 65101-1747  
Telephone: (573) 751-9047  
Fax: (573) 526-3867

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## General Records Retention Schedule

### Administrative Records

#### GS 001

#### Annual and Special Reports

*Also Called:*

*Function:*

Summary reports documenting the program or primary activities and accomplishments of the local government unit for the previous year. Often compiled from monthly, quarterly or other subsidiary activity reports, including surveys.

*Content:*

May include: statistics, narratives, graphs, diagrams, and similar information.

*Minimum Retention:*

Permanent

*Disposition:*

Archive. Microfilm for preservation

*Note:*

Provides administrative history of the office. Any report read into the official minutes may be destroyed

*Approval Date:*

August 15, 2001

#### GS 012

#### Correspondence - General

*Also Called:*

Letters, Memoranda, E-mail

*Function:*

Correspondence that pertains to routine matters handled in accordance with existing policies and procedures. Does not contain significant information about office policies or programs.

*Content:*

May include: incoming and outgoing letters, memoranda, notes, acknowledgements, notices, non-Sunshine requests for information or publications, enclosures, and attachments.

*Minimum Retention:*

1 year

*Disposition:*

Destroy

*Note:*

See also GS 013 Correspondence-Policy; GS 066 Public Information Requests and Documentation

*Approval Date:*

August 15, 2001; Revised August 23, 2011

#### GS 012.1

#### Correspondence - Transitory

*Also Called:*

Letters, Memoranda, E-mail

*Function:*

Documents of short-term interest that have no documentary or evidentiary value, which are not included in another record series

*Content:*

May include: correspondence which requires no administrative action, policy decision, special compilation or research; quasi-official notices that do not serve as the basis of official action, such as holiday notices, reminders of charitable campaigns, upcoming events, unsolicited vendor solicitations, etc.

*Minimum Retention:*

None

*Disposition:*

Destroy

*Note:*

See also: GS 012 Correspondence-General; GS 013; GS 066

*Approval Date:*

August 25, 2009; Revised August 23, 2011

#### GS 013

#### Correspondence - Policy

*Also Called:*

Letters, Memoranda, E-mail

*Function:*

Correspondence which state or form the basis of policy, set important precedents or record important events in the operational and organizational history of the governmental body.

*Content:*

May include: incoming and outgoing letters, memoranda, notes, reports, studies, and other records.

*Minimum Retention:*

Permanent

*Disposition:*

Archive. Microfilm for preservation

*Note:*

This form of correspondence will come exclusively from elected officials, administrators, managers, or supervisors. See also GS 012; GS 012.1

*Approval Date:*

August 15, 2001; Revised August 23 2011

**GS 014***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Mailing Lists**

Lists compiled to facilitate billing, official notification, etc.

May include: name of individual, group or business, address, name and title of contact person, telephone number, comments and similar data.

Destroy when superseded or obsolete

Destroy

August 15, 2001

**GS 016***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Telecommunications Log**

Telephone Log, Communications Log

Registers incoming and outgoing communications including radio, telephone, fax, computer aided dispatch, and teletype transmissions.

May include: telephone number initiating/receiving call, length of call, date and time, subject, location, response, message, and other data depending on the type of transmission.

1 year

Destroy

August 15, 2001

**GS 017***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Telecommunications System Management Records**

Documents the creation, modification or disposition of telecommunications systems.

Records may include but are not limited to: equipment records, Federal Communication Commission records, repaid order forms, systems planning records, telecommunication maintenance contracts, service orders, and correspondence.

Destroy 1 year after system is superseded

Destroy

August 15, 2001

**GS 018***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Records Management Records**

Documents the authorized retention, scheduling, inventory and disposition of public records.

May include, but not limited to: procedural guidelines, records retention schedules, inventory reports, transfer agreements, disposal lists, destruction authorizations, and correspondence.

Retain permanently all inventories; disposal lists; destruction authorizations and transfer agreements. Other records: Retain until superseded or no longer useful.

Records with permanent value: Archive. Microfilm optional. Other records: destroy.

August 15, 2001

**GS 019***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Vendor Files**

Vendor Lists, Registers or Logs

Documents vendors providing goods and services to local government.

May include: name of vendor or company, name of contact or agent, address, telephone and fax numbers, e-mail and web site address, description of goods and services provided.

Destroy when superseded or obsolete

Destroy

August 15, 2001

**GS 020***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Work Orders**

Maintenance requests; Service requests; Service report; Application for Services Active/Inactive; Rejected Application for Services.

Internal records documenting requests and authorizations for needed services, including repair of government owned property.

May include: copy center work order, telephone service and installation requests, printing orders, repair authorizations, and similar records.

3 years

Destroy

August 15, 2001

**GS 021***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Meeting Records (for Boards, Commissions, Committees, or Other Public Bodies)**

Documents the proceedings of public bodies described in RSMo 610.010 (4).

May include: minutes, agendas, exhibits, resolutions, indexes, staff reports, correspondence, related documentation, audio or visual recordings.

Permanent - Minutes, agendas, exhibits, resolutions, and indexes (not retained permanently elsewhere); Other records - 1 year

Permanent records - Archive. Microfilm for preservation. Other records - Destroy.

See also: GS 085 Meeting Records (internal agency staff/committee)

August 19, 2003

**GS 022***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Public Notice Records**

Affidavits of Publication, Notice of Meetings, Public Notices, Proof of Publication

Records documenting compliance with laws requiring public notice of governmental activities

May include: public or legal notices, certificates, affidavits of publication, and similar documents

3 years

Destroy

See also: GS 055 Bid Records

August 19, 2003

**GS 023***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Capital Improvement Projects Files**

Records related to construction/renovation/repair of publicly owned buildings, structures, streets, sidewalks or other infrastructure.

May include: correspondence, bids, specifications, plans, designs, drawings, reports, notes, change orders, etc.

Retain for the life of the structure plus 10 years; May be subject to federal requirements.

Destroy

August 19, 2003; Revised August 23, 2011

**GS 024***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Computer Software Licensing Files**

Documents proving the licensure and implementation of computer software programs by the agency.

May include: permitted uses, rights and restrictions, warranty information, liability statement, and laws governing the product.

Retain for the duration of license plus 5 years

Destroy

August 19, 2003

**GS 025****Computer System Documentation***Also Called:**Function:*

Records related to the development, implementation, modification, and use of computer programs and systems.

*Content:*

May include but is not limited to: system overviews, operation logs, system instruction manuals, system development logs, system specifications and changes, conversion notes, flow charts, data set logs, inventories, and record layouts, hard copies of tables, data dictionaries, programming logs, program specifications and changes, program listings, migration plans, commercial software manuals, related correspondence and documentation.

*Minimum Retention:*

Migration plans: Until superseded; Other records: 1 year after system is superseded

*Disposition:*

Destroy

*Note:**Approval Date:*

August 19, 2003

**GS 036****Publications***Also Called:**Function:*

Published records produced by or for a local government entity or any of its departments or programs and made available to the public.

*Content:*

Includes newsletters, pamphlets, brochures, leaflets, reports, studies, proposals, and similar published records.

*Minimum Retention:*

Retain brochures, pamphlets, and leaflets until superseded or obsolete. Retain one copy of all others permanently.

*Disposition:*

Permanent records: Archive. Other records: Destroy.

*Note:*

Does not include publications received from federal, state, private or other sources - these publications and extra copies of local government-produced publications should be retained as needed.

*Approval Date:*

August 19, 2003

**GS 037****News Releases***Also Called:**Function:*

Prepared statements, announcements, news conference transcripts, and similar records issued to the news media by the local government entity.

*Content:*

May include news releases announcing routine events or actions carried out within the scope of existing policies.

*Minimum Retention:*

Retain policy and historic news releases permanently. Retain routine news releases 2 years.

*Disposition:*

Permanent records: Archive. Other records: Destroy.

*Note:*

Some releases may merit inclusion in applicable related record series (e.g., Incident Case Files, Fire Investigation Records, etc.)

*Approval Date:*

August 19, 2003

**GS 038****Scrapbooks, Photographs and Clippings***Also Called:*

News Clipping File; Scrapbooks; Photo File; Photograph Album

*Function:*

Documents a chronological or similar record of the local government entity.

*Content:*

May contain photographs, newspaper or magazine clippings, commentaries, and other items pertaining to the activities, actions, and reactions of the local government officials, personnel, and citizens. Scrapbooks vary greatly in their content and value. Some may have historical value e.g. World War II Servicemen/Women scrapbooks.

*Minimum Retention:*

Retain as needed.

*Disposition:*

Records with permanent value: Archive. Other records: destroy.

*Note:*

Contact the Missouri Local Records Program for historical evaluation.

*Approval Date:*

August 19, 2003

**GS 039****Technical Manuals, Specifications, and Warranties***Also Called:**Function:*

Owners manuals and warranties for government-owned vehicles and equipment.

*Content:*

Manuals often include specifications, operating instructions, and safety information.

Warranties include terms of coverage for repair or replacement of equipment.

*Minimum Retention:*

Retain manuals until disposition of vehicle or equipment. Retain warranties until expiration.

*Disposition:*

Destroy

*Note:**Approval Date:*

August 19, 2003

**GS 044***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Commission and Appointment Records**

Board Committee files; Appointment files

Appointments made by authorized elected officials to committees, boards, commissions, task forces, other advisory groups, or public offices.

May include applications, interview notes, resumes, staff reports, letters of recommendation, letters of appointment, and related non-routine correspondence.

Record in official minutes. Retain records 1 year after expiration of appointment.

Destroy securely.

August 24, 2004

**GS 045***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Bonds, Public Officials and Employees**

Public Official Bond, Commissions and Official Bonds

Documents the posting of fidelity, performance, or position bonds to guarantee the honest and faithful performance of elected officials, individual employees, or groups of employees.

May include: bond number; name and position(s) of individual or group; insurance company; amount of coverage; appointment data; effective and expiration dates; attorney-in-fact; signatures; attached affidavit and attached power of attorney from insurance company.

Retain 6 years after expiration

Destroy securely.

August 24, 2004

**GS 046***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Oaths of Office**

Oaths of Office of Elected and Appointed Officials

Signed oaths taken by various elected and appointed officials before discharging duties of office.

May include: date, name, office held, text, and signatures. May also include certificate of election.

Retain 1 year after expiration of term. Review for historical value.

Retain permanently those with historical value, destroy all others.

May be filed separately or with appointment files.

August 24, 2004

**GS 047***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Policy and Procedure Files**

Directives; Manuals

Documents policies, procedural directives and manuals developed by the agency to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

May include: internal rules and regulations, sometimes separated by departments; step-by-step procedures used as training manual for job functions; policies for vacation pay, hiring, firing, employee safety and other personnel matters. Often published in manual or booklet format

Retain routine clerical manuals until superseded, updated, or no longer needed for reference. Retain one copy of all other policy documentation permanently.

Permanent records: Archive. Other records: Destroy securely.

August 24, 2004

**GS 048***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Orders Issued by Local Governing Bodies (commissions, councils, legislatures, etc.)**

County Court Orders; Writs of execution

Documents directives issued by local governing body, including those related to tax collection/abatement.

If recorded in official minutes, retain through Completion of Audit. If not recorded, retain permanently as official copy.

Permanent records: Archive. Other records: Destroy securely.

Tax change must be entered into the permanent tax record book prior to the destruction of the court orders for tax abatements/additions.

August 24, 2004

**GS 049****Request and Complaint Files***Also Called:**Function:**Content:*

Documents citizen requests or complaints about service, maintenance, repairs, materials, etc. Information often includes name, phone number, and address of person making request or complaint, narration of request or complaint, name of person responding to request or complaint, dates of related activities, and other data.

*Minimum Retention:**Disposition:**Note:*

3 years after final disposition

Destroy securely.

See also: Equal Employment Opportunity (EEO) Records and Grievance and Complaint Records in the Personnel section; See also: Correspondence, General in this section for routine requests for information or publications.

*Approval Date:*

August 24, 2004

**GS 050****Permits and Licenses***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:*

Building Trades Certification; Contractor Licensing File; Application for Motor Vehicle License; Business License; Facility Use Permit; Parade Permit

Records documenting review, background investigations, recommendations and other actions related to permits and licenses issued for various activities such as: the use of public facilities for dances, parades, etc.; the operation of retail and other businesses including sales, solicitors, second-hand dealers and taxi cabs; also tree removal, temporary signs, keeping livestock, billboards, etc.

May include: applications, background investigation reports, permits, licenses, renewals and related records.

Retain 2 years after expiration.

Destroy securely

This record series does not apply to several types of permit records related to construction, certain public works functions, and others. See: GS 052 for Building Permits and Applications. See: specific office schedules for other permits.

*Approval Date:*

August 24, 2004

**GS 051****Disaster/Emergency Preparedness and Recovery Records***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:*

Civil Defense Plans/Files; Homeland Security Plans; Emergency Management Files; Disaster Plan; Drill Records

Documents the plans for protection and reestablishment of services and equipment in the event of a disaster (natural, chemical, terrorist, etc.).

May include: plan, procedures, checklists, emergency phone numbers and addresses. Also records of practice drills and preparations.

Retain until superseded or no longer needed. Evaluate for historical content.

Retain documents with historical value permanently; all others: Destroy securely

Disaster/Emergency Preparedness and Recovery Plans are considered VITAL RECORDS (see note in introduction). Recommend duplicate copies be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

*Approval Date:*

August 24, 2004

**GS 065****Participant Registration and Attendance Records***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:*

Documents the registration and attendance of participants in sponsored events, activities, and classes.

Records may include registration forms or cards, class or activity rosters, consent/waiver forms and related documents. Information usually includes name, dates, and times of class or activity, fee paid, and name, address, phone number, and signature of participant. Further information may include pertinent medical data, date of birth, signature of parent or guardian, and other data.

3 years

Destroy securely.

August 24, 2005

**GS 066***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Public Information Requests and Documentation**

Sunshine Law Requests; Open Records Requests; Request for Voter Information Data Requests for information pursuant to RSMo 610 (Sunshine Law) and related documentation. May include, but is not limited to: a description of the records being requested (a specific document created on a certain date, or records of a general subject matter within a general date span); whether a copy will be required or the records will be viewed in person; and the name, address, phone number or electronic mail address of the person requesting information. If the record does not exist or cannot be found, certification of this information may be included. When a request is denied, contents may also include a statement of denial, appeal records, documentation of review and decision.

Retain request forms for military information 5 years. (RSMO 59.480) Retain all other requests 3 years.

Destroy

For detailed information about Missouri's Sunshine Law, go to the Attorney General's web site: <http://www.ago.state.mo.us/sunshinelaw/sunshinelaw.htm>.

August 24, 2005

**GS 067***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Vehicle Ownership and Maintenance Records**

Certificate of Title; Registration; Licenses; Warranties; Maintenance Record; Vehicle and Equipment Checklist.

Documents purchase, ownership, licensing and maintenance of all office-owned vehicles.

May include, but is not limited to: legal titles, registration documents, purchase invoice, contracts, warranties, inspections, maintenance logs.

Retain titles, licenses, warranties, and maintenance records until vehicle is sold or disposed of. Retain registration records until superseded or disposition of vehicle.

Destroy

August 24, 2005

**GS 069***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Equipment Ownership and Maintenance Records**

Legal titles; warranties; maintenance log

Records documenting the legal ownership and maintenance of all office-owned equipment.

May include, but is not limited to: date of purchase or lease; purchase price; contract or lease agreement; warranty information; ownership information; make and model; owner's manual; maintenance/service agreements; maintenance logs.

Retain for the life of the equipment, then transfer to the new owner of the equipment or destroy as appropriate.

See also: Vehicle Ownership and Maintenance Records.

August 24, 2005

**GS 071***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Gift and Contribution Records**

Donations; memorials; fundraising records

Records documenting gifts and contributions to the local government that result from fundraising efforts, donations, memorials, or tributes by private individuals or corporations.

May include, but is not limited to: donor and acknowledgment letters, acquisition lists itemizing purchases made with contributed money (books, art, equipment, etc.), checks, receipts, conditions or restrictions, plans and work lists for fundraising events, and related records

Permanent  
Archive. Microfilm for preservation.

August 24, 2005

**GS 072***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Calendars and Scheduling Records**

Appointment books; planners

Records kept to document and facilitate the routine planning and scheduling of meetings, appointments, daily tasks, or similar activities.

May include, but is not limited to: time, location, and topic of meetings, appointments, or events; names and phone numbers of participants of meetings or events; prioritized daily tasks; travel schedules.

1 year

Destroy

August 24, 2005

**GS 074***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Audit Reports - Non-Financial**

Performance Audits; Attestation Engagements; Non-audit Services

Documents investigations or reviews prepared or conducted by internal/external auditors regarding the performance or management of a program, department or agency. Audits may assess effectiveness, economy, and efficiency; internal controls; and compliance with legal or other requirements. May also provide prospective analyses, guidance, or summary information.

May include, but is not limited to: reports; recommendations; working papers; analysis; supporting documents; correspondence.

Retain final reports permanently. Retain working papers and supporting documentation 5 years from report date.

Permanent records: Archive. Other records: Destroy.

See also GS 002 Audit Reports - Financial.

August 24, 2005

**GS 075***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Charters and Articles of Incorporation**

A written instrument that creates and defines the rights and privileges of a city, educational institution, corporation, or other organization.

May include, but is not limited to: original charter, petitions for incorporation, constitution, by-laws, amendments.

Permanent

In the case of citizen petitions for incorporations, only one sample need be retained.

August 24, 2005

**GS 076***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Administrative Reports**

Activity reports; daily, weekly, monthly, or quarterly reports; management reports; subsidiary reports; Log/Journal; Daily Activity Report; Cemetery Monthly Report; Daily Shift Report; etc.

Internal documents that are produced daily, weekly, monthly, or quarterly by local government units to detail program activities, operations, and/or accomplishments. Useful for compiling annual reports, planning and budgeting, and monitoring work progress.

May include, but is not limited to: type of activity; employees and/or volunteers involved; time spent on activity; work completed; related information in narrative or statistical form.

Completion of audit

Destroy

August 24, 2005

**GS 077**

*Also Called:*  
*Function:*  
*Content:*

**Deeds and Conveyances**

Dedication deeds; Record of Right of Way; Deed of Conveyance  
Transfer of property or property rights to/from a local government entity.  
May include, but is not limited to: names and addresses of grantors and grantees; description of property; date property was transferred or granted; cross-referenced volume; page number of recorder's plat books; and signature confirming transaction. Similar records in this series include title opinions, abstracts and certificates of title, title insurance, and documentation concerning alterations or transfer of title.

*Minimum Retention:*  
*Disposition:*  
*Note:*  
*Approval Date:*

Permanent  
Archive  
August 24, 2005

**GS 078**

*Also Called:*  
*Function:*

**Ordinances and Resolutions**

Legislative and non-legislative actions that document policy development. An ordinance defines a law set forth by the governmental authority; a resolution is a formal expression of opinion, will, or intent voted by the official body.  
May include, but is not limited to: ordinance or resolution number; title; text; date; appropriate signatures; seal; supporting documentation.

*Content:*

*Minimum Retention:*  
*Disposition:*  
*Note:*  
*Approval Date:*

Permanent  
Archive. Microfilm for preservation.  
August 24, 2005

**GS 079**

*Also Called:*  
*Function:*

**Websites**

A group of World Wide Web pages usually containing hyperlinks to each other and made available online by the local government entity for responding to public inquiries and providing information about the entity.  
May include, but is not limited to: location of office; hours of operation; organization and officials; services provided; publications; announcements; other information related to the entity and the conduct of its business.

*Content:*

*Minimum Retention:*  
*Disposition:*  
*Note:*  
*Approval Date:*

DCA  
Destroy  
Revised: August 24, 2010  
August 24, 2005

**GS 082**

*Also Called:*  
*Function:*  
*Content:*

**Mission Statement**

Outlines functions and duties of organization, board, etc.

*Minimum Retention:*  
*Disposition:*  
*Note:*  
*Approval Date:*

Destroy when Superseded  
Destroy  
August 20, 2008

**GS 085**

*Also Called:*  
*Function:*  
*Content:*

**Meeting Records (internal agency staff/committee)**

Documents proceedings of internal agency/departmental meetings  
May include: minutes, agendas, exhibits, reports or related documentation  
Minutes, agendas, reports retain 3 years; Other materials, DCA  
Destroy  
See also: GS 021 Meeting Records (for Boards, Commissions, Committees, or Other Public Bodies)

*Minimum Retention:*  
*Disposition:*  
*Note:*

*Approval Date:*

August 24, 2010

**GS 087***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Unclaimed Property**

Abandoned Property

Documents the handling of property that has been abandoned: may include cash from bank accounts, stocks, bonds and safe deposit boxes; may also include uncollected insurance policy proceeds, government refunds, utility deposits and wages from past jobs

1 year after turning over State Treasurer

Destroy

State law requires financial institutions, insurance companies, public agencies and businesses to turn over unclaimed property to the state if they have had no contact with the owners for 5 or more years. Per RSMo 447.532, unclaimed property held by political subdivisions can be turned over to the state after 3 years of no contact with an individual  
August 24, 2010**GS 088***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Security Camera Video Recordings**

Surveillance Camera Video

Records activities in public area such as streets, parking garage, and public buildings-- including city halls, schools, courthouses and jails

30 days and review

Destroy/reuse

Managers should extract significant information involving criminal or other liability issues prior to deleting video/reusing tape. Extracted video must be maintained until administrative/judicial proceedings are complete.

August 24, 2010

**GS 092***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Tax Increment Financing (TIF) Records--Administrative Records**

Documents verifying the creation and governance of the district

May include resolutions, agreements, certifications, etc.

Life of the district + 10 years

Destroy

TIFs are governed under RSMo 99.800-99.865.

August 24, 2010

**GS 093***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Tax Increment Financing (TIF) Records--Financial Support Records**

Documents that provide the basis for the permanent general ledger

Bills, invoices, receipts, vouchers, etc.

10 years after creation of record

Destroy

TIFs are governed under RSMo 99.800-99.865. These documents are short term records, the permanent financial record is the General Ledger which is scheduled under the County Collector, 005.033

August 24, 2010

**GS 095***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Domestic Partnership Registry**Documents formal domestic partnership relationships for purposes of employee benefits, hospital and nursing home visitation or other privileges associated with family/spouse  
Names, Addresses, Date of Registration, Date of Separation

Permanent

Archive

These registries are created through local ordinances.

August 23, 2011

## Building Records

### GS 052

#### Building Applications and Permits

|                           |   |
|---------------------------|---|
| <i>Also Called:</i>       | Building Permit Log; Blueprint and Specification File; Roofing Permit; Dangerous Building File; Sign and Banner Permit; Street Opening and Sewer Permit   |
| <i>Function:</i>          | Records documenting requests and authorizations for property owners to erect new structures, including signs, or make structural modifications to existing ones. Serves as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.                                    |
| <i>Content:</i>           | Information usually includes name, address, phone number, and signature of applicant, permit number, type and location of building, name of builder or contractor, legal description, description of work, and value of construction. May also include: plans, specifications and construction documents.   |
| <i>Minimum Retention:</i> | Retain permanently records documenting changes to or demolition of historical structures. Retain permits for completed structures for the life of the structure; Retain demolition permits 10 years after demolition; Retain other permits (including but not limited to: plumbing, electrical, mechanical, and excavation) 5 years after expiration. |
| <i>Disposition:</i>       | Permanent records: Archive. Other records: Destroy.   |
| <i>Note:</i>              | This entry refers to the official record copy of applications and permits. See: office specific schedules e.g. Assessor, Fire Department for retentions of reference copies.  |
| <i>Approval Date:</i>     | August 24, 2004   |

### GS 080

#### Buildings and Grounds Maintenance Records

|                           |   |
|---------------------------|---|
| <i>Also Called:</i>       |   |
| <i>Function:</i>          | Documents all maintenance and repairs to buildings and grounds owned or leased by the local government entity. Used to verify that repairs were made.                       |
| <i>Content:</i>           | May include, but is not limited to: location, narrative of work completed, materials used, personnel completing work, authorization, dates of activities, and related data. |
| <i>Minimum Retention:</i> | 3 years   |
| <i>Disposition:</i>       | Destroy   |
| <i>Note:</i>              | See also: Capital Improvement Projects Files  |
| <i>Approval Date:</i>     | August 24, 2005   |

## Environmental/Health/Safety Records

### GS 081

#### Environmental Complaints

|                           |  |
|---------------------------|--|
| <i>Also Called:</i>       | Investigations; Inspections  |
| <i>Function:</i>          | Documents environmental complaints from suspected hazardous materials to unpleasant odors.   |
| <i>Content:</i>           | complaint forms, investigation notes, memoranda, correspondence, survey notes, lab reports, photos, reference materials, noise readings, court documents, material samples |
| <i>Minimum Retention:</i> | Permanent for hazardous materials; 5 years for non-hazardous   |
| <i>Disposition:</i>       | Destroy  |
| <i>Note:</i>              |  |
| <i>Approval Date:</i>     | August 20, 2008  |

### GS 083

#### Safety Incident Records

|                           |   |
|---------------------------|---|
| <i>Also Called:</i>       | Safety Investigation Records; Amusement Ride Accident Report  |
| <i>Function:</i>          | Documents investigations of workplace injuries/amusement ride incidents.  |
| <i>Content:</i>           | Includes at a minimum: date of incident, description of incident, factors that contributed to the incident, recommendations resulting from the investigation                        |
| <i>Minimum Retention:</i> | 5 years for workplace incidents; 3 years for amusement ride incidents   |
| <i>Disposition:</i>       | Destroy   |
| <i>Note:</i>              | Workplace incident investigations retention mandated under 29 CFR 1904.33; 29 CFR 1910.119; Amusement ride maintenance, inspection and accident records mandated under RSMo 316.212 |
| <i>Approval Date:</i>     | August 24, 2010   |

**GS 084***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Maintenance Safety Compliance Records**

Lockout/Tag-out; Confined Workspace Permits; Hot work Permits

Documents safety practices undertaken by maintenance staff in working on machinery, in confined spaces, in hazardous atmospheres, or performing operations capable of providing a source of ignition

Space to be entered; purpose of entry; date and authorized duration of entry; authorized personnel; personnel standing-by; entry supervisor; nature of hazard; measures taken to mitigate hazard before entry; acceptable entry conditions; results of condition testing; rescue/emergency service to contact; communication procedures; safety equipment provided; other information necessary to ensure employee safety

1 year

Destroy

For more information see 29 CFR 1910.146; permits should be reviewed annually to ensure compliance with confined-space program specified in CFR

August 24, 2010

**GS 086***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Personal Protective Equipment Fit Test Records**

Documents proper fitting of respirators

Employee name; type of test; make, model, style and size of respirator; date; test results

Retain until superseded

Destroy

For more information see 29 CFR 1910.134

August 24, 2010

**GS 089***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Hazardous Materials Records**

Documents the identity of chemicals used and communications/warnings given to

Identity (chemical name, if known) of any substance/agent; where it was used; when it was used.

30 years

Destroy

For more information see: 29 CFR 1910.1020

August 24, 2010

**GS 094***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Hazardous Materials Accident Report**

Documents investigations of hazardous material accidents

Permanent

Archive

August 24, 2010

**GS 096***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Pollution and Pollution Studies**

Pollution Reports; Air Quality Reports; Water Quality Reports; Soil Contamination Reports

Documents management and impact on environment, including air, soil and water quality. Includes hazardous waste handling and documentation

5 Years; See note

Destroy

Environmental records for electrical utilities must be maintained 25 years, per 18CFR125.2.

August 23, 2011

## Financial Records

### GS 002

*Also Called:*

*Function:*

### Audit Report - Financial

Records documenting audits of the financial position of local government units. Conducted by local, state, federal and/or non-governmental auditing agencies in accordance with applicable statutory requirements. Subjects may include accounting principles and methods, the accuracy and legality of transactions, accounts, etc., and compliance with requirements, orders, and regulations of other public bodies pertaining to the financial condition or operation of the local government unit.

*Content:*

May include: accountant's summary, combined financial statements, schedules, balance sheet details, comments, recommendations, and related data.

*Minimum Retention:*

Permanent

*Disposition:*

Archive. Microfilm for preservation

*Note:*

Provides administrative history of the office.

*Approval Date:*

August 15, 2001

### GS 003

*Also Called:*

*Function:*

### Adopted Budget

Official Budget; Approved Budget

Records documenting the final annual financial plan approved by the city, county or other authorizing body.

*Content:*

May include: budget message, financial summaries, revenues and expenditures, operating programs, position and wage analysis, overhead allocations, organizational charts, previous actual and budgeted amounts, and related data.

*Minimum Retention:*

Permanent

*Disposition:*

Archive. Microfilm for preservation

*Note:*

Provides administrative history of the office.

*Approval Date:*

August 15, 2001

### GS 004

*Also Called:*

*Function:*

### Budget Preparation Records

Budget Working Papers, Budget Requests

Documents used in the preparation of the annual office budget; Estimates expenditures and disbursements.

*Content:*

May include: correspondence, budget requests, proposal and instructions, computer reports, notes, staff reports, worksheets, surveys, and other related materials.

*Minimum Retention:*

Completion of audit

*Disposition:*

Destroy

*Note:*

*Approval Date:*

August 15, 2001

### GS 005

*Also Called:*

*Function:*

### General Ledgers

Year end print-out with aggregate totals, Year-end ledger

Documents the summary of accounts, financial receipts and expenditures normally used to monitor, manage and verify the budget and financial position of the office.

*Content:*

May include: debit, credit and balance amounts per account, budget, fund and department numbers, and totals for notes receivable, interest income, amounts due from other funds, federal and state grants received, bank loans received, cash in escrow, deferred loans received, cash, encumbrances, revenues, accounts receivable, accounts payable and other data.

*Minimum Retention:*

Permanent

*Disposition:*

Archive. Microfilm for preservation

*Note:*

Provides administrative history of the office.

*Approval Date:*

August 15, 2001

**GS 006***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Subsidiary Ledgers**

Journals, Registers, Monthly Ledgers, Accounting Summary Report File, Revenue Sharing, Trial Balance Fund

May include: date, payee, purpose, fund credited or debited, check number and similar or related data.

Completion of audit

Destroy

August 15, 2001

**GS 007***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Accounts Payable Records**

Invoices, Vouchers, Warrants, Billing Records, Refund File

Records documenting payment of bills for goods and services received. Payment from general accounts.

May include: correspondence, reports, invoices, statements, vouchers, purchase orders, payment authorizations, receipt records, canceled checks or warrants, and similar documents.

Completion of audit\*

Destroy

\*Per RSMo 50.172 (2), County Clerks must keep these records for five (5) years

August 15, 2001

**GS 008***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Accounts Receivable Records**

Cash Receipt File

Records documenting revenues owed to the local government unit by citizens, organizations, other governmental units, vendors and others to be credited to general accounts. Also documents billing and collection of moneys.

May include: reports, receipts, invoices, awards, logs, lists, summaries, statements and similar records. Information may include: receipt amount, date, invoice number, name, account number, account balance, adjustment, and similar data.

Completion of audit

Destroy

August 15, 2001

**GS 009***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Purchasing Records**

Purchase Orders Ledger, Purchasing Requests, Requisitions, Authorizations, Material and Cost specifications, Acquisition Orders.

Records documenting orders, authorization, and evidence of receipt of the purchase of goods and services by local government office.

May include: vendor number, project number, date of purchase order, department, vendor name and address, shipping instructions, quantity ordered, unit of issue, description of goods/services ordered, unit price, extended price, purchasing agent signature, notations of shortages or damaged goods, signature of individual signing for receipt of goods/services.

3 years plus completion of audit

Destroy

August 15, 2001

**GS 010***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Banking Records**

Account Statements, Deposit books, Deposit and Withdrawal Slips, Cancelled checks, Check Registers, Passbooks, Statements and Receipts for Interest Income  
Records documenting the banking transactions of government offices with financial institutions, and the current status of public funds.

May include: bank and account numbers, transaction dates, beginning balance, check or deposit amount, document numbers, adjustments, description of transaction, ending balance, and other related information.

Completion of audit plus 1 year

Destroy

Series may include other related records.

August 15, 2001

**GS 011***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Receipts**

Copies of receipts issued by the office to persons paying fees, turning over funds, or for the accounting of petty cash expenses.

May include: date, number, from whom received, amount, purpose, and authorizing signatures.

Completion of audit

Destroy

August 15, 2001

**GS 015***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Postal Records**

Records documenting transactions with the US Postal Service and private carriers.

May include: postal meter records, receipts for registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and related items.

1 year

Destroy

August 15, 2001

**GS 040***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Grant Records**

Documents the application, evaluation, awarding, administration, monitoring, and status of grants in which a local government entity is the recipient, grantor, allocator, or administrator. Grants may come from federal or state governments or foundation and other private funding sources.

Records may include but are not limited to: applications including project proposals, summaries, objectives, activities, budgets, exhibits, and award notification, grant evaluation records and recommendations concerning grant applications, grant administration records including progress reports, budgets, project objectives, proposals, and summaries, records documenting allocation of funds, contracts, records monitoring project plans and measuring achievement, equipment inventories, financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation.

Retain final reports from significant grants permanently. Retain other grant records 3 years after submission of final report or as specified by the granting agency, whichever is longer.

Retain unsuccessful grant applications 1 year after rejection or withdrawal.

Permanent records: Archive. Other records: Destroy securely.

August 19, 2003

**GS 053***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Fee Records**

Fee Books, Inquest Fee Statements, Statement of Fees Collected; Motor Vehicle Listing (Fee Office)

Records documenting billing and collection of fees.

May include: date, fee service, by whom paid, settlements, penalties, and total paid.

Completion of audit

Destroy

Fees should not be confused with other monies payable to local government e.g. taxes.

August 24, 2004

**GS 054***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Fixed Assets Inventory**

Property Inventory; Property Control List; Equipment Inventory

Listing of all fixed assets owned by local government.

Information includes assets by department, method of acquisition, purchase authority, fund, origination, physical location.

Retain current inventory in office until superseded. Retain superseded inventories through Completion of Audit.

Destroy

August 24, 2004

**GS 055***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Bid Records**

Bids and Quotes File, Bids and Specs

Documents the publicizing, evaluation, and awarding of quoted bids to vendors and other individuals or organizations. Provides recorded evidence of accepted and rejected bids.

May include requests for proposals (RFP), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, bid award letter and other related correspondence or records.

Accepted, destroy 5 years after contract expiration if filed separately from Contracts and Agreements. Rejected, destroy when 3 years old or on completion of audit whichever is later.

Destroy

August 24, 2004

**GS 068***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Payroll Records**

Payroll Register; Payroll Earnings and Deduction Registers; Employee Earnings Record; Payroll Journal; Payroll Check Register; Employee Payroll Adjustment Files; CERF Form DE, County Deposit Exception; Garnishment File

Documents the earnings, deductions, and withholdings of employees.

May include, but is not limited to: employee name; address; social security number; date of payment; hours worked; gross pay; withholdings for taxes and retirement; net pay; voluntary deductions for life or health insurance, credit union accounts, pension fund, etc. May also include year-to-date earnings and deductions which culminate in a final year-to-date summary report. Employee Payroll Adjustment Files include employee name or number and display current adjustments to payroll master file such as rate, marital status, insurance premiums, other deductions, garnishments, federal and state withholdings, errors, etc. Payroll Journal or Check Register may also include the payroll check number and the amount of the check.

Retain Year-to-Date Annual Summary 70 years for administrative purposes. Retain all other records 5 years.

Destroy securely.

August 24, 2005

**GS 070***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Travel Expense Reimbursement Records**

Travel Vouchers; Expense Reports

Records documenting requests, authorizations, mileage, claims for reimbursements and other actions related to employee travel.

May include, but is not limited to: employee's expense report, expense receipts, check vouchers, authorizations to pay, purchase orders and other supporting papers.

Completion of audit plus 1 year.

Destroy

August 24, 2005

**GS 073***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Annual Financial Statements**

Annual Financial Reports; Financial Statement File

Documents the general financial condition and operation of the local government entity on an annual basis.

May include, but is not limited to: receipts or revenues for each of the funds set up by the local government during the designated year; disbursements or expenditures for each of the funds during the designated year; changes in cash for each of the funds during the designated year; comparisons of the receipts, disbursements, and change in cash with the corresponding budgeted information for the various funds.

Retain 5 years; retain permanently if not included in audit report file.

Archive. Microfilm for preservation.

August 24, 2005

**GS 056***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Insurance Policy Records**

Documents the terms and conditions of insurance policies between local government and insurers. Types of insurance include liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others.

Records usually include policies, endorsements, premium rate change notices, agent of record, and related documents.

Retain until canceled or expired, plus 6 calendar years. Retain insurance policy and carrier information until all claims have been settled.

Destroy securely.

Policies in effect are considered VITAL RECORDS (see introduction) and as such, duplicate copies should be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

August 24, 2004

## Legal Records

### GS 057

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Insurance Claims Files

Damage and Loss Report ; Accident Report (govt-owned) vehicle

Documents various types of insurance claims filed against local government. These include personal injury, property damage, motor vehicle accident, false arrest, and others.

May include: insurance claim forms, copy of hospital, physician, ambulance and medication bills, death and birth certificates, reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents used in processing the claim.

If action taken, retain 10 years after case closed, dismissed, or date of last action; If no action taken, retain 3 years.

Destroy securely.

August 24, 2004

### GS 058

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Litigation Case Files

Dispute Resolution/Arbitration File; Bankruptcy File

Documents judicial proceedings which involve local government offices.

Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.

6 years after the case is closed. Microfilm optional.

Destroy securely.

Court records in this series are also available in the court having jurisdiction over the case. Consult the Office of State Courts Administrator (OSCA), Rule 8, for court records retention schedule.

August 24, 2004

### GS 059

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Legal Opinions

Legal opinions (requested by local government); Attorney General opinions

Formal opinions rendered by government counsel. Documents the rationale for policy and maintains consistency in related issues.

Information usually includes date, office requesting opinion, and the text of the opinion.

Retain until superseded.

Destroy

August 24, 2004

**GS 060***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Contracts, Leases, and Agreements**

Memorandum of Understanding

Official agreements enforceable by law to acquire services, equipment, or maintenance.

Documents the terms and conditions of agreements between local government(s), private companies, and individuals.

May include contracts, exhibits, bid documents, change orders and amendments, leases, agreements and significant related correspondence. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. May also include leases, rental schedules, specifications, bids awarded and attached copies of payments, receipts, and other supporting papers used in managing the contract.

Construction/capital improvement records: Retain 10 years after substantial completion;

Other records: Retain 3 years after expiration.

Destroy

Contracts, leases and agreements in effect are considered VITAL RECORDS (see introduction). Recommend duplicate copies be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

August 24, 2004

## Personnel Records

### GS 026

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Employee Personnel Records

The master personnel records maintained for each employee.

May include: job application, notices of appointment, personnel transaction records reflecting position classification and salary level, employee orientation checklists, payroll withholding information, leave summary record, performance documentation, and other records related to an individual's employment.

75 years from date of hire

Destroy securely

Duplicate copies may be kept at the office or department level. These records should be retained one year following separation, then transferred to the Personnel Officer for evaluation.

August 19, 2003

### GS 027

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Employee Medical Records

Records documenting an individual employee's work related medical history.

Records may include but are not limited to: medical examination records (pre-employment, pre-assignment, periodic, or episodic), X-rays, records of significant health or disability limitations related to job assignments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records (see below), drug testing records, first aid incident records, physical examination statements, Family Medical Leave Act records, release consent forms, and related correspondence. Hazard exposure records document an employee's exposure to hazardous conditions such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous conditions.

Hazard Exposure Records 30 years after separation; all other records 7 years after separation

Destroy securely

These records are not personnel records. Pursuant to the Americans with Disabilities Act, medical records must be kept physically separate from personnel records. See also: 29 CFR 1910.1020 for more information on the retention of Hazard Exposure Records.

August 19, 2003

### GS 028

*Also Called:*

*Function:*

*Content:*

*Minimum Retention:*

*Disposition:*

*Note:*

*Approval Date:*

### Time and Attendance Records

Time sheets, Time Cards, Attendance reports, Absence reports, Sign in/Sign out cards, Work Assignment Schedule, Work Schedule, Work Assignment File

Records documenting hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. Also documents hours of court ordered community service completed by non-employees.

May include: name, social security number, hours worked, type and number of leave hours taken or accrued, total hours, dates, signatures and related data.

3 years plus completion of audit

Destroy securely

See also: Leave Requests

August 19, 2003

**GS 029***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Leave Requests**

Leave Applications

Records documenting an employee's request for sick, vacation, compensatory, or other leave time.

May include: employee's name, department, date, type of leave requested, leave dates, hours, related information, signature of individual authorizing leave and approval date.

3 years plus completion of audit

Destroy securely

See also: Time and Attendance Records

August 19, 2003

**GS 030***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Equal Employment Opportunity (EEO) Records**

Affirmative Action Records

Records documenting the adoption, administration and compliance with US Equal Employment Opportunity Commission regulations.

Records may include: policies, plans, procedures, work place analyses, EEO-4 reports and related records and complaint records (which may include reports, exhibits, withdrawal notices, copies of decision, hearing and meeting records, and related documentation and correspondence).

Plans, policies and updates: Permanent; Complaint records: 3 years after final decision;

Other records: 3 years

Destroy securely

August 19, 2003

**GS 031***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Employment Eligibility Verification Forms**

I-9 Forms

Documents the filing of US Immigration and Naturalization Service form I-9, which verifies that an applicant or employee is eligible to work in the United States.

Retain for length of employment plus one year

Destroy securely

This form is not part of the Employee Personnel Record and should be filed separately.

August 19, 2003

**GS 032***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Employee Benefit Records**

County Employee Retirement Fund (CERF) Records

Documents an individual employee's benefit information such as selection of insurance plans, retirement, pension and disability plans, deferred compensation plans, and other benefit information.

Records may include but are not limited to: plan selection and application forms, enrollment records, contribution and deduction summaries, personal data records, authorizations, beneficiary information, year-end leave balance reports, and related documentation.

Retain year-end leave balance reports and a copy of retirement enrollment records 75 years after date of hire. Retain other records 3 years after employee separation or eligibility

Destroy securely

August 19, 2003

**GS 033***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Wage and Tax Statements**

Federal tax form W-2

Annual statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax.

Information includes employer name and tax identification number, employee name and social security number, wages paid, amounts withheld, and related data.

5 years

Destroy securely

See also: Federal and State Tax Forms in this section for related records.

August 19, 2003

**GS 034***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Federal and State Tax Records**

Records used to report the collection, distribution, deposit, and transmittal of federal and state income, social security, and unemployment taxes.

Examples include the federal miscellaneous income statement (1099), request for taxpayer identification number and certificate (W-9), employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), and similar federal and state completed forms.

5 years

Destroy securely

See also: Wage and Tax Statements and Withholding Allowance Certificates in this section for related records.

August 19, 2003

**GS 035***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Employee's Withholding Allowance Certificates**

W-4 form

Documents the exemption status of individual employees.

Information includes employee name and address, social security number, designation of exemption status, and signature.

5 years after superseded or employee separation

Destroy securely

See also: Federal and State Tax Forms for related information.

August 19, 2003

**GS 041***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Volunteer Program Records**

Documents the activities and administration of volunteer programs. Used for program planning.

May include volunteer hour statistics, volunteer program publicity records, insurance requirement information, inactive volunteer files, and related records.

5 years

Destroy

For records related to individual volunteers, see Volunteer Worker Records.

August 19, 2003

**GS 042***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Volunteer Worker Records**

Documents work performed by citizens without compensation for their services.

May include agreements, applications, skills test results, training documentation, task assignment and monitoring records, and related information.

3 years after separation

Destroy securely

August 19, 2003

**GS 043***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Drug Testing Records**

Drug screening records

Documents the testing of current and prospective employees for controlled substances prohibited by policy, procedure, or statute.

Records may include but are not limited to the documentation of test results, the collection process, the random sample process, and those documenting the decision to administer reasonable suspicion drug testing.

Retain positive test results 5 years. Retain negative test results 1 year. See Note.

Destroy securely

If filed with Employee Medical Records, retain 7 years after separation.

August 19, 2003

**GS 061***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Employment Grievance and Complaint Records**

Grievance Record

Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. Often relates to interpretations and alleged violations of employment contracts.

May include complaints, investigation records, interview and hearing reports, arbitrator's findings and decisions, tape recordings and related records.

5 years after final disposition

Destroy securely

May be filed with employee's personnel records.

August 24, 2004

**GS 062***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Employment Recruitment and Selection Records**

Employee Application Files; Applications for Employment;

Documents the recruitment and selection of employees. Records may also document the recruitment and selection of contracted service providers such as attorneys, auditors, insurance agents, consultants, and others.

Records may include but are not limited to job announcements and descriptions, applicant lists, applications and resumes, position advertisement records, civil service and other examination records, classification specifications, affirmative action records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certifications of eligible applicants, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and ratings levels), and related correspondence and documentation.

Retain announcement records, position description, and test and rating records 3 years; Retain unsolicited applications and resumes 6 months if not returned to the solicitor; Retain unsuccessful applications and other records 1 year after position filled or recruitment

Destroy securely.

See also: Employee Personnel Records and Employment Eligibility Verification Forms (I-9).

August 24, 2004

**GS 063***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Position Description, Classification, and Compensation Records**

Records document the description, classification, and compensation of jobs and positions. Usually includes details of duties and responsibilities of each position, time percentage breakdowns of tasks, skills and abilities needed for each position, and related records documenting the development, modification, or redefinition of each job or position. Records often include reports, position descriptions, position evaluations, compensation studies, wage determination surveys, job analyses, interview data, selection criteria, authorizations, agreements, and related records.

3 years after obsolete or superseded

Destroy

August 24, 2004

**GS 064***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Training Records**

Training Materials; Training Program Records

All records associated with or documenting the job-related instruction of employees/officials for job proficiency, enhancement or for the promotion of skill attainment or improvement.

1) Training materials may include, but are not limited to: course descriptions, manuals, textbooks, worksheets, handouts, films, videos, and course outlines. 2) Program records may include but are not limited to: instructor roster and certifications, planning and development documentation, class enrollment and attendance records, and course evaluations. 3) Individual Employee/Official Training Records may include, but are not limited to: name of employee, social security number, date attended, course title, agency or educational institution, hours of credit, test scores, final grades, certificates of training.

1) Training materials, retain one copy permanently; 2) Program materials, retain 3 years; 3) Individual Employee/Official Training Records, retain 5 years after termination of employment any records not transferred to the employee/official's master Personnel Record

Administrators must determine which Individual Employee/Official Training Records should be included in the Employee Personnel Records (GS 026)

August 24, 2005

**GS 090***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Unemployment Insurance Case Files**

Unemployment Case Files; Unemployment Claims Files

Documents unemployment claims

2 years after last action

Destroy

August 24, 2010

**GS 091***Also Called:**Function:**Content:**Minimum Retention:**Disposition:**Note:**Approval Date:***Worker's Compensation Case File**

Worker's Compensation Claims; Worker's Comp

Documents claims filed against local government

May include: insurance claim forms, copy of hospital, physician, ambulance and medication bills, death and birth certificates, reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents used in processing the claim.

If action taken, retain 10 years after case closed, dismissed, or date of last action; If no action taken, retain 3 years

Destroy

August 24, 2010

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