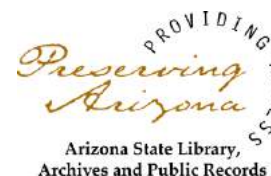




ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS

A DIVISION OF THE ARIZONA SECRETARY OF STATE

Joan Clark, State Librarian & Director



ARCHIVES AND RECORDS MANAGEMENT

Page 1 of 2

Permanent and Historical Records

The Inherent Value of Government Records

The records maintained by Arizona's state and local governments are among the most valuable resources in their care. They are essential for the conduct of ongoing operations and the official documentation of legally binding decisions and actions of the government. Records allow the public to understand civic issues and they are the community's memory.

Records are preserved because:

- Officials use them to administer and monitor government operations
- Records document the conduct of public business
- Records ensure and measure government accountability
- Records contain information that is used by researchers from within and from outside government
- Historians and other researchers use government records for information on individuals, groups and the community, on the development of the government and its operations, and on the life of the community itself

Permanent Record

Permanent records are records that have enduring, historical or research value that are retained permanently in an office or in the Arizona State Archives after a period of active use. Records are considered permanent if they have enduring administrative, fiscal or legal value to government or if they possess significant secondary research value beyond those for which they were created. Permanent Records are also known as Historically Significant, Historical or Archival Records.

Whenever and wherever the Arizona State Library, Archives and Public Records (LAPR) refer to **Permanent Records**, the following are explicitly included:

- 1) Permanent Records are any records in which the retention period is listed as "**Permanent**" on an approved Retention Schedule (General or Custom), or deemed historical records. Any and all Permanent Records shall be strictly processed, retained, maintained and preserved per the Arizona *Standards for Permanent Records*, located at the following link:
http://www.azlibrary.gov/sites/azlibrary.gov/files/arm-standard-for-permanent-records_april_23_2013_signed.pdf.
- 2) Any public body, or their vendor, that processes, retains, maintains and preserves their own Permanent Records, must strictly follow the Arizona *Standards for Permanent Records*. **There are no exceptions.**

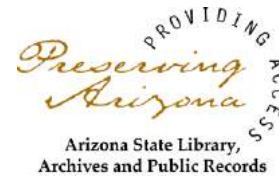
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Joan Clark, State Librarian & Director

ARCHIVES AND RECORDS MANAGEMENT

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Historical Records

Sometimes a record series may not have a permanent retention period, but some records within that series may become permanent records when they are impacted by local or national events or issues. These records become historical when they:

- Document a controversial issue
- Document a program, project, event or issue that results in a significant change affecting the local community, city, county or state
- Document a program, project, event or issue that involves prominent people, places or events
- Document a program, project, event or issue that resulted in media attention locally, statewide or nationally

Examples of historical records may include the following:

- 1) Evolving core values, duties or missions of a state or local agency. Examples include changes within the Child Protective Services Division evolving into a new agency, or the Medical Marijuana program beginning and impacting local law enforcement and regulatory agencies.
- 2) Current or recent issues and events. Any of these may become controversial topics and/or topics of interest. You will recognize many of these issues, especially if you suddenly get a large number of letters, calls or e-mails expressing a concern in opposition or support of an issue. Some examples include Government Employee Retirement Plans and Stadium issues, but may also include some of the following subjects:

- | | |
|--|--|
| • Abortion | • Illegal immigration |
| • Alternative fuels | • Important landmarks |
| • Environmental issues | • Land and development issues |
| • Fiscal concerns | • Legalization of drugs |
| • Forests, wildfires and forest management | • Legislation (involving your Office or public body) |
| • Gambling and casinos | • Protests |
| • Gas prices | • Terrorism or terrorists |
| • Gay rights | • Water issues |
| • Gun control | • Welfare issues (for or against) |
| • Freeways or highways | |

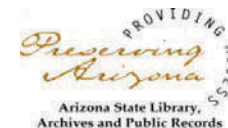
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**General Records Retention Schedule Issued to:
All State And Local Agencies
Administrative and Management Records**

**Schedule Number:
GS 1018(revised)**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **Revision to Administrative and Management Records Schedule, GS 1018, Dated 8/26/2016**

Records Analyst, Secretary of State: Ruben Vargas

**State Records Management Officer, Arizona State Archives,
Records, and Arizona Capitol Museum:** Dr. Ted Hale

State Archivist, Secretary of State: Dr. Melanie Sturgeon

Record Series Electronically Approved in RSM Database

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Revised: December 14, 2015

General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10267	Administrative Orders Board Orders Directives General Orders and Mission Statements Does not include office internal administrative procedure records.	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.
10268	Advertisement Records These are placed by the public body in publications, websites or other means of communicating with the public.	3 Years	After calendar year created.	
10270	Annual Reports These are usually lengthy reports issued yearly by a public body giving an account of its internal workings and especially its finances.	10 Years	After superseded or obsolete unless otherwise specified in this retention schedule. If you are a State Agency please: Send two (2) paper copies to the following address: Library, Archives and Public Records - State Library of Arizona, Attn: State Docs, 1700 W. Washington, Ste. #300 Phoenix, AZ. 85007. Send electronic copy to: http://www.azlibrary.gov . If you are a Local Agency please send one (1) hard copy to the following address: Arizona State Archives, Attn: Arizona Collection, 1901 W. Madison St., Phoenix, AZ. 85009.	ARS §41-151.08.

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10269	Appointment Calendar Records Records that document the scheduling of meetings and activities of an employee. May include meeting planners, paper or electronic calendars and tour / travel guides and planners.	1 Year	After calendar year of entry.	
10271	Assurance Statements These are no longer being created. Statement from public body concerning retention and maintenance of permanent electronic records. Official copy at Arizona State Library, Archives and Public Records (LAPR) / Archives and Records Management Branch.	-	Send original record to LAPR. Destroy agency copy after superseded or obsolete.	
10272	Certificates of Compliance Records Certificate from microfilm vendors verifying microfilm meets Arizona Standards for Permanent Records. Official copy at LAPR / Archives and Records Management Branch.	-	Send original record to LAPR. Destroy agency copy after superseded or obsolete.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10274	Citizenship Verification Records - Filed separately from application paperwork Application Approved When applying for public benefit in response to ARS §1-501 §1-502 and similar.	-	Retain as long as applicant receives benefits.	ARS §1-501 §1-502
10275	Citizenship Verification Records - Filed separately from application paperwork Application Denied When applying for public benefit in response to ARS §1-501 §1-502 and similar.	3 Years	After calendar year denied.	ARS §1-501 §1-502
10273	Citizenship Verification Records - Filed With Application Paperwork When applying for public benefit in response to ARS §1-501 §1-502 and similar.	-	Retain per retention requirements for corresponding application records.	ARS §1-501 §1-502
30678	Contracts Agreements Leases and Related Records Including, but not limited to, intergovernmental agreements (IGA), mutual/automatic aid agreements, cooperative agreements and memorandums of understanding (MOU), but does not include construction contracts. (See Facilities / Grounds schedule).	6 Years	After fulfilled, expired, canceled or revoked.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10276	Disaster Recovery Records Including business continuity plans and continuation of operations plans (COOP).		Keep current plan and most recent superseded plan.	29 CFR 1910.199(n).
30802	FEMA / Multi-Hazard Mitigation Plans - Local Includes, but not limited to, jurisdiction-wide adopted mitigation plans adopted by local governments and approved by the Federal Emergency Management Agency (FEMA).	5 Years	From the date of the approval of the previous plan.	44 CFR § 201.6(d)(3)
30800	FEMA / Multi-Hazard Mitigation Plans - State Level Enhanced Includes, but not limited to, jurisdiction-wide adopted mitigation plans adopted by local governments and approved by the Federal Emergency Management Agency (FEMA).	5 Years	From the date of the approval of the previous plan.	44 CFR § 201.5(c)

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30799	FEMA / Multi-Hazard Mitigation Plans - State Level Standard Includes, but not limited to, jurisdiction-wide adopted mitigation plans adopted by local governments and approved by the Federal Emergency Management Agency (FEMA).	5 Years	From the date of the approval of the previous plan.	44 CFR § 201.4(d)
30801	FEMA / Multi-Hazard Mitigation Plans - Tribal Includes, but not limited to, jurisdiction-wide adopted mitigation plans adopted by local governments and approved by the Federal Emergency Management Agency (FEMA).	5 Years	From the date of the approval of the previous plan.	44 CFR § 201.7(d)(3)
10277	File Plans These plans detail the location where records are retained, the format of the records, etc.		After superseded or obsolete.	
10278	General Correspondence These records do NOT include Executive Correspondence. These are records that are not related to a specific project or case. Including, but not limited to, forms, letters, and memos.		After administrative or reference value has been served.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10279	Grant Records - Historical Includes Administrative, financial and programmatic records. Historical records have enduring and significant value to the public body and meet the requirements found in the Guidance on Permanent and Historical Records at the following link http://www.azlibrary.gov/arm/guidelines-standards-and-statutes	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.
10280	Grant Records - Non Historical Includes administrative, financial and programmatic records.	3 Years	After quarterly, annual, or final expenditure report submitted and approved, or after funding agency requirements are met, whichever is longer.	
10281	Grant Records - Unsuccessful Applications	1 Year	After rejected or withdrawn.	
10282	Hold Harmless / Release / Waiver Agreements These records are often required when the public goes on a ride-a-long with public safety or others reserve / use public facilities and / or equipment, etc.	3 Years	After created or received.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10283	Information Security and Privacy Incident Records - HIPAA Related Health insurance portability and accountability act (HIPAA) records. Including HIPAA information security, privacy or other administrative simplification incidents or complaints. Incidents involving either paper or electronic records and including incidents related to those records.	6 Years	After incident closed and no further activity is anticipated.	
10284	Information Security and Privacy Incident Records - Non HIPAA Related Including information security and privacy incidents or complaints. Incidents involving either paper or electronic records and including incidents related to those records.	3 Years	After incident closed and no further activity is anticipated.	
10285	Legislation Records These records are for legislation proposed by agency.	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10286	Legislation Tracking Records	1 Year	After passed into law or defeated.	
10287	Logs Including, but not limited to, telephone message logs and sign-in sheets. These records don't include any other logs specifically mentioned in other General Retention Schedules.	-	After administrative or reference value has been served.	
10288	National Voter Registration Act (NVRA) Declinations / Batch Reports These records are created when a person is applying for a driver's license or renewal, is presented with the opportunity to register to vote and declines the opportunity.	2 Years	After date received.	ARS §16-112.
10289	Notary Records Includes notary journal(s) and notary seal.	-	Send to the Arizona Secretary of State after commission resigned.	
10290	Office Internal Administrative Records Including, but not limited to, duty rosters, non-policy work procedures / manuals, office assignments, and work schedules.	-	After superseded or obsolete or after administrative or reference value has been served, whichever is later.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10291	Organizational Reporting Records Records of major changes to department or division organizational structure and its relationship to other offices and departments, including reporting structure and other functional relationships. Does not include information on individual employees.	Permanent	Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served. Each version (new and superseded) of an Organizational Reporting Record has a Permanent retention period.	ARS §39-101, §41-151, §13-2407.
10292	Permit Records These are records obtained by the Public Body and are NOT permits issued by Public Body.	3 Years	After permit expired, cancelled or revoked.	
10293	Policy and Procedure Records Official agency policy and procedure records. These records don't include internal office procedures records (see series #10290).	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10294	<p>Progress / Activity / Statistical Reports and Performance Measurement Records</p> <p>These do not include the official agency annual report. Including weekly or monthly reports to supervisors, and managers' status reports, metrics benchmarks and other oversight and compliance records.</p>	-	After administrative or reference value has been served.	
10295	<p>Project Records - Historical</p> <p>Historical records have enduring and significant value to the public body and meet the requirements found in the Guidance on Permanent and Historical Records at the following link http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.
10296	<p>Project Records - Non Historical</p> <p>These records do not include construction projects.</p>	3 Years	After project completed or abandoned.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10299	Public Records Requests Includes the request made by the public for agency records. May include a copy of the records provided in response to the public records request.	1 Year	After calendar year created or received.	
10298	Publication Printing Records and Program Logs Records required for reprinting of publications; may include purchase agreements and forms, publication inventories and catalogs, and price guides.	6 Years	After published or contract fulfilled, expired, cancelled or revoked.	
10297	Publications Produced by Public Body Includes audits, brochures, budgets, capital improvement plans, comprehensive plans, newsletters, pamphlets, transportation studies and other published reports.	1 Year	After superseded or obsolete unless otherwise specified in this retention schedule. If you are a State Agency please: Send two (2) paper copies to the following address: Library, Archives and Public Records - State Library of Arizona, Attn: State Docs, 1700 W. Washington, Ste. #300 Phoenix, AZ. 85007. Send electronic copy to: http://www.azlibrary.gov . If you are a Local Agency please send one (1) hard copy to the following address: Arizona State Archives, Attn: Arizona Collection, 1901 W. Madison St., Phoenix, AZ. 85009.	ARS §41-151.08

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10300	Records Retention Schedules Official copy at LAPR / Archives and Records Management Branch.	-	After superseded or obsolete.	
10301	Reports of Records Destruction Includes Certificates of Records Destruction, Notice of Destruction Prior to Records Disposition, Pre-approval for Unscheduled Records Disposition, and Single Requests for Records Destruction / Transfer. Official copy at LAPR / Archives and Records Management Branch.	-	Send original record to LAPR. Destroy agency copy after administrative or reference value has been served.	
10302	Requests for Document Imaging of Public Records / Requests for Microfilming of Public Records An approved (signed by the LAPR) Request for Imaging / Microfilming Source Records form is required anytime a public body is taking a paper record and converting that record to another format by either scanning it or microfilming it. Official copy at LAPR / Archives and Records Management Branch.	-	Send original record to LAPR. Destroy agency copy after superseded or obsolete.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10303	Rulemaking Records - Enacted / Adopted Includes working documents used in creation or updating of rules and 5 year review records.	1 Year	After superseded or obsolete.	
10304	Rulemaking Records - Not Enacted / Adopted	1 Year	After calendar year rule rejected.	
10305	Source Documents - Data Entry Forms Including records used to update databases or other data collecting systems.	-	After entered data is verified.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10306	Source Documents - Scanning and / or Microfilm The process of scanning or microfilming paper source records requires an approved (signed by the LAPR) Request for Imaging / Microfilming Source Records form anytime a public body is taking a paper record and converting that record to another format by either scanning it or microfilming it. These are records that are being scanned and / or microfilmed and the entire record is being captured in another format.	-	After film or image is verified. For scanning source records inspecting at least 20% of all records is required to ensure that all information on the scanned version is legible. For microfilming source records if the source records have a Permanent retention period and if the source documents are to be destroyed 100% of the records will be verified to ensure that all the information on the microfilmed versions is legible. For microfilming source records if the source records do not have a Permanent retention period inspecting at least 20% of all records is required to ensure that all information on the scanned version is legible.	
10307	Strategic Plans and Goal Records Including 5-year, 10-year, and other long- range planning records.	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	ARS §39-101, §41-151, §13-2407.

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10308	Surveillance Recordings Including, but not limited to, Closed Circuit TV (CCTV) recordings of building exteriors / lobbies / other areas open to the general public. These records do not include Law Enforcement Recordings (CCTV of nonpublic areas, aerial vehicle / equipment, Body Cam, Body Microphone, Dash Camera, or similar technology). Please see Law Enforcement Records General Retention Schedule for Law Enforcement Recordings.	14 Days	After created but may be retained until after administrative or reference value has been served whichever is later. Tape may be recorded over.	
10309	Survey Question Records These records are an examination of opinions, behavior, etc. made by asking people questions. These do not include property or land surveys.	-	After administrative or reference value has been served.	
10310	Trademark Copyright and Patent Records	Permanent	Retain per Arizona Standards for Retain per Arizona Standards for Permanent Records or Transfer to Arizona State Archives when administrative value has been served.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10311	Training Records These records are created when a training class is provided by a Public Body. Including, but not limited to, attendance lists, evaluations, room reservations, and training announcements. These records do not include records of individual employees' attendance at training classes or their training history. Individual employee training records those records are found on the Human Resources / Personnel General Retention Schedule.	5 Years	After calendar year training is given.	
10312	Training Records - Training Content Records These records are created when a training class is given by a Public Body. Includes handouts, manual, syllabi, and other training presentation materials.	4 Years	After superseded or obsolete.	
10313	Transitory Records Includes records of limited reference value, letters of transmittal, and informational bulletins.	-	After administrative or reference value has been served.	

**General Records Retention Schedule Issued to:
All State and Local Agencies
Administrative and Management Records
GS 1018 (revised)**

8/26/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
10413	Working Records Including, but not limited to, drafts, feeder reports, and notes used in the development of final or summary records.	-	After final record created, or after reference value has been served if final record is abandoned or on hold. Some working records are retained even after final report is created, but are usually specified in the records series descriptions on approved retention schedules.	



**ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS**
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to:
All State and Local Agencies
Audit Records**

**Schedule Number:
GS 1046**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **This schedule supersedes Audit Records, Schedule #000-12-64, signed July 3, 2012.**

Records Analyst, Secretary of State: Timothy Provenzano	State Records Management Officer, Arizona State Archives & Records Management Center: Dr. Ted Hale
<i>Records Series Electronically Approved in RSM Database</i>	<i>Records Series Electronically Approved in RSM Database</i>
Assistant Director of Archives: Dennis Preisler, Ph.D.	
<i>Records Series Electronically Approved in RSM Database</i>	

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Revised: December 14, 2015

General Records Retention Schedule Issued to:
All State and Local Agencies
Audit Records
GS 1046

04/05/2017

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20087	Financial Audit Records, All other records Including public body's copy of reports and audit work papers.	7 Years	After fiscal year report completed.	
20086	Financial Audit Records, Departmental Audits Including public body's copy of reports and audit work papers.	7 Years	After fiscal year report completed.	
20085	Financial Audit Records, Organization-Wide Audit Final Report Including public body's copy of reports and audit work papers.	7 Years	After fiscal year report completed. Send 2 copies to ASLAPR, Law and Research Library, State Documents. If electronic, send electronic copy to reports@azlibrary.gov and paper copy to ASLAPR, Law and Research Library, State Documents.	
20088	Internal Audit Records Including departmental audits and audits of programs. Also includes audit work papers.	5 Years	After fiscal year report completed.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Audit Records
GS 1046

04/05/2017

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20091	Performance Audit Reports, All Other Records Including agency copy of reports, audit work papers and Sunset Review records.	7 Years	After fiscal year report completed.	
20090	Performance Audit Reports, Departmental Audits Including agency copy of reports, audit work papers and Sunset Review records.	7 Years	After fiscal year report completed.	
20089	Performance Audit Reports, Organization-wide Audit Final Report Including agency copy of reports, audit work papers and Sunset Review records.	7 Years	After fiscal year report completed. Send 2 copies to ASLAPR, Law and Research Library, State Documents. If electronic, send electronic copy to reports@azlibrary.gov and paper copy to ASLAPR, Law and Research Library, State Documents.	
20092	Sales Tax and Franchise Audit Records Including Multi- Jurisdictional Audit Records.	10 Years	After fiscal year report completed.	

General Records Retention Schedule Issued to:

All State and Local Agencies

Audit Records

GS 1046

04/05/2017

This schedule is used in conjunction with the [*Certificate of Records Destruction*](#). All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.

Revises Audit Records Schedule GS 000-12-64 dated 7/3/2012. Revisions Include:

RS #20085 - Cross walked from Audit Records Schedule #000-12-64, signed 7/3/2012.
(Record Series #1a. Financial Audit Records: Organization-wide audit final report)

RS #20086 - Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #1b. Financial Audit Records: Departmental audits)

RS #20087 - Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #1c. Financial Audit Records: All other records)

RS #20088 – Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #3. Internal Audit Records)

RS #20089- Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #4a. Performance Audit Reports: Organization-wide audit final report)

RS #20090- Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #4b. Performance Audit Reports: Departmental audits)

RS #20091- Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #4c. Performance Audit Reports: All other records)

RS #20092- Cross walked from Audit Records Schedule, #000-12-64, signed 7/3/2012.
(Record Series #5: Sales Tax and Franchise Audit Records)



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued To:
All State And Local Agencies
Clerks Records

Schedule Number:
GS 1016

(Applies to the Clerk of any Agency, Board, Bureau, Commission, Committee, Council, District, Office or Other Political Subdivision.)

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes *Board of Supervisors, Clerk of*, signed November 05, 2001; *Clerk Municipal*, signed October 10, 2001.

Approval Authorized by:  Ted Hale, State Records Management Officer, Secretary of State		Date: 12/29/15	
Retention review and approval by:  Jerry Lucante-Kirkpatrick, State Records Manager, Secretary of State		Date: 12/24/15	
Archival review and approval by:  Melanie Sturgeon, State Archivist, Secretary of State		Date: 12/24/2015	

RECORDS MANAGEMENT CENTER

1919 West Jefferson Street • Phoenix, Arizona 85009 • <http://www.azlibrary.gov/records> • Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: rmd@azlibrary.gov

Revised: December 14, 2015

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10237.	Abandonments, Easements and Right of Way (ROW) Records	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10238.	Affidavits of Service of Process Records These records may be part of a Notice of Claim brought against a public body, and filed with the authorized agent for that public body. These records may later become part of the Notice of Claim records.	1	After calendar year received. ARS § 11-622, §§ 12-821, 821.01.
10239.	Annexation / DeAnnexation Records - Petitions and property valuation records Whenever land / property is transferred from one public body to another, any records related to that land / property should be transferred, as well. Please remember to complete and file a Transfer of Records Between Public Bodies form with the LAPR.	3	After annexed.
10240.	Annexation / DeAnnexation Records – Recorded maps and other historically significant records Whenever land / property is transferred from one public body to another, any records related to that land / property should be transferred, as well. Please remember to complete and	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	file a Transfer of Records Between Public Bodies form with the LAPR.		
10241.	Annexation / DeAnnexation Records – Refused	3	After refused.
10242.	Annual Report Records These records are created by Special Districts, and a copy supplied to the <u>County Board of Supervisors</u> , in compliance with ARS § 48-251.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served. ARS § 48-251.
10243.	Annual Report Records – Received and Reported These Reports are received by the <u>County Board of Supervisors</u> , and then a subsequent Compliance Report is submitted to the State.	5	After calendar year received and report submitted. ARS § 48-251.
	Annual Reports Public body wide reports. <i>See Administrative and Management Records General Retention Schedule.</i>	-	<i>See Administrative and Management Records General Retention Schedule.</i>
	Bequest Records If gift qualifies as a capital asset, see <i>capital asset</i> records series. If gift does not qualify as capital asset, see <i>financial management</i> records series.	-	<i>See Financial Records General Retention Schedule.</i>
10244.	Board of Equalization Records – Tax Roll Correction Order Records	1	After board process ends.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10245.	Board of Equalization Records – Administrative Appeals Package Records	2	After calendar year created.
	Bond Records <i>See Bond Records General Retention Schedule.</i>	-	<i>See Bond Records General Retention Schedule.</i>
10246.	Business Licenses Trial Balance Records Monthly listing of occupational (business) license accounts for which the license has not been paid.	5	After fiscal year created.
10247.	Certificates of Sale / Notices of Trustee Sale Records	3	After recorded.
10248.	Charter, Amendment and Incorporation Records	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
	Conflict of Interest / Ethics Disclosure / Personal Interest Records <i>See Human Resources / Personnel Records General Retention Schedule.</i>	-	<i>See Human Resources / Personnel Records General Retention Schedule.</i>
10249.	Constable Log Records This is the copy filed monthly with the <u>Clerk of the Board of Supervisors.</u>	2	After calendar year received. ARS § 11-445.
	Contracts, Agreements, Leases and Related Records <i>See Administrative and Management Records General Retention Schedule.</i>	-	<i>See Administrative and Management Records General Retention Schedule.</i>

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10250.	Deeds / Titles to Buildings and Property To buildings and property owned by the public body.	3	After building / property sold, transferred disposed of, or abandoned, or after building demolished.
10251.	Disciplinary Notices This written order specifically states the reasons for the officer or employee dismissal, suspension or reduction in rank. The order shall be filed with the <u>Clerk of the Board of Supervisors</u> .	3	After calendar year received. ARS § 11-356.
	Election Records See <i>Election Records</i> General Retention Schedule.	-	See <i>Election Records</i> General Retention Schedule.
	Financial Disclosure Statement Records See <i>Election Records</i> General Retention Schedule.	-	See <i>Election Records</i> General Retention Schedule.
10252.	Franchise Records Including, but not limited to, utilities and cable television.	6	After calendar year contract fulfilled, cancelled or revoked
	Indigent Burial Records See <i>Cemetery Records</i> General Retention Schedule.	-	See <i>Cemetery Records</i> General Retention Schedule. ARS § 11-251.
10253.	License / Permit Records – Applications Not Approved Records	2	After calendar year rejected.
10254.	License / Permit Records – Bingo, Emergency Vehicles, Fireworks, Liquor, and Parade Records	2	After calendar year of recommendation.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10255.	License / Permit Records – Citizen Complaint Records	4	After calendar year resolved.
10256.	License / Permit Records – Continuing Activity Records Including, but not limited to business licenses, regulatory licenses, and business occupational and professional (BOP) records.	3	After calendar year canceled, expired or revoked.
10257.	License / Permit Records – Correspondence with Unlicensed / Not in Business Account Records	2	After calendar year created or received.
10258.	License / Permit Records – Single Event Records Includes license / permit for special events.	3	After calendar year issued.
10259.	List of Inactive Business Account Records	-	After superseded or obsolete.
10260.	Minutes Records These records are created by public bodies that are subject to open meeting law. Records including, but not limited to, regular sessions, study and work study sessions. Includes agendas and back-up / supporting documentation for approved items from meeting packets of governing boards, commissions, committees and councils; other decision-making boards, commissions, committees, and councils; advisory boards, commissions, committees,	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served. ARS § 38-431, 432.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10261.	<p>councils, task forces, and ad hoc committees.</p> <p>Minutes Records - Executive Session Records These records are created by public bodies that are subject to open meeting law.</p> <p>Includes written notice of executive session regarding discussion or consideration of employment matters to affected officers, appointees or employees;</p> <p>Also includes agendas and back-up / supporting documentation for approved items from meeting packets of governing boards, commissions, committees and councils; other decision-making boards, commissions, committees, and councils; advisory boards, commissions, committees, councils, task forces, and ad hoc committees.</p>	7	<p>After calendar year created or received.</p> <p>ARS § 38-431.03(A)(1).</p>
10262.	<p>Minutes Records - Audio or Video Recordings of Meetings These records are created by public bodies that are subject to open meeting law.</p> <p>The purpose of these recordings is to assist in the transcription / creation of the Minutes. Includes Governing boards, commissions, committees and councils; other decision-making boards, commissions, committees, and councils; advisory boards, commissions, committees,</p>	3 months	<p>After date of meeting and after minutes transcribed or summarized and approved.</p>

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	councils, task forces, and ad hoc committees. Audio or video recordings for other purposes fall under the records series, "Audio / Video Records – Non Historical" on the <i>Public Information and Marketing Records</i> General Retention Schedule.		
10263.	Minutes Records - Staff Meetings These records are created by public bodies that are subject to open meeting law. These are records created during routine staff meetings where policy is not set.	-	After administrative or reference value has been served.
	Official Oaths See <i>Human Resources / Personnel Records</i> General Retention Schedule.	-	See <i>Human Resources / Personnel Records</i> General Retention Schedule.
10264.	Ordinances Includes County / Municipal Codes	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10430.	Proclamations	4	After calendar year issued. If Proclamations are historical, please refer to <i>Officials Records</i> General Retention Schedule.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10431.	Public Meeting Notice Records Includes affidavits of publication, certificate of posting for public meetings.	2	After calendar year of meeting. ARS §38-431.02.
10432.	Public Notice Records - Notice of Public Posting Location(s) Includes disclosure notices and statement of notice.	-	After superseded or obsolete. ARS §38-431.02.
10433.	Request to Speak Records These are completed by the public if they would like to speak at a public meeting.	-	After minutes are transcribed and / or summarized and approved.
10434.	Resolutions	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
	Sales Tax Records <i>See Sales Tax and Licensing Records General Retention Schedule.</i>	-	<i>See Sales Tax and Licensing Records General Retention Schedule.</i>
10435.	School Facilities Board (SFB) Records – Reports and Surveys School districts and charter schools only.	5	After calendar year created or sent to SFB.
	Special District Records These records will not fit into just one record series, but are distributed across many records series. You will need to locate the specific records series for the records in question and follow the corresponding retention period.	-	Retain for the same period of time as required for each records type being retained.

**General Records Retention Schedule for
All State And Local Agencies
Clerks Records
GS 1016**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10436.	Includes district creation records, boundary changes, and budget records. Subdivision Plat Records	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10437.	Task Force Report / Study Records	5	After submitted.
10438.	Tax Deed Land Sale Records	3	After property sold.
	Treasurer Reports / Reports to the Treasurer See <i>Financial Records</i> General Retention Schedule.	-	See <i>Financial Records</i> General Retention Schedule.
10439.	Uniform Code Records Includes Uniform building codes, fire codes, plumbing codes, etc.	5	After codes revised, or after reference value has been served, whichever is longer.

Supersedes schedules for *Board of Supervisors, Clerk of*, signed November 05, 2001; *Clerk Municipal*, signed October 10, 2001.

If any of the Permanent records (records series that have a Permanent retention period) on this General Retention Schedule are recorded by the County Recorder, then the official Permanent record may be considered the recorded record at the County Recorder's office.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to:
All State And Local Agencies
Clery and Code of Conduct Records**

**Schedule Number:
GS 1043**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **New Schedule**

Records Analyst, Secretary of State: Ruben Vargas

**State Records Management Officer, Arizona State Archives,
Records, and Arizona Capitol Museum:** Dr. Ted Hale

State Archivist, Secretary of State: Dr. Melanie Sturgeon

Record Series Electronically Approved in RSM Database

RECORDS MANAGEMENT CENTER

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**General Records Retention Schedule Issued to:
All State and Local Agencies
Clery and Code of Conduct Records
GS 1043**

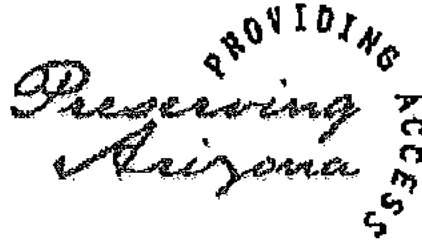
6/28/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30306	Clery Records Warning Notices, Daily Crime Logs, and Annual Campus Security Report Required for Clery Act Compliance.	7 Years	After calendar year of incident.	U.S.C. 1092(f) (Federal Register 59060)
30310	Clery Records / Aggravated Assault	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30313	Clery Records / Arson	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30311	Clery Records / Burglary	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30307	Clery Records / Criminal Homicide Including murder and non-negligent manslaughter records, and negligent manslaughter records.	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30315	Clery Records / Drug Law Violations	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30316	Clery Records / Illegal Weapons Possession	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30317	Clery Records / Incident Reports	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30314	Clery Records / Liquor Law Violations	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)

**General Records Retention Schedule Issued to:
All State and Local Agencies
Clery and Code of Conduct Records
GS 1043**

6/28/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30325	Clery Records / Motor Vehicle Theft	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30318	Clery Records / Review Decisions	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30319	Clery Records / Review Meeting Notices	7 Years	After date of review meeting.	U.S.C. 1092(f) (Federal Register 59060)
30309	Clery Records / Robbery	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30308	Clery Records / Sex Offenses Includes forcible sex offenses and non-forcible sex offenses.	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30320	Clery Records / Witness Statements	7 Years	After calendar year incident reported.	U.S.C. 1092(f) (Federal Register 59060)
30305	Code of Conduct Records Should include any Incident Records and Parent / Student Notifications.	7 Years	After calendar year of incident.	U.S.C. 1092(f) (Federal Register 59060)



Arizona State Library, Archives and Public Records


General Records Retention Schedule for All Public Bodies Copy Center and Mail Room Records

Schedule Number:

000-12-40

Authorization and Approval

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**



Lisa Maxwell, Director
Records Management Division
Arizona State Library, Archives and Public Records

Date Approved: *May 1, 2012*

**Records Retention Schedule for
All Public Bodies
Copy Center and Mail Room Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Copy Center Photocopier Usage Records (including monthly reports of photocopier usage by organization unit)	1	After created or received
2.	Work Orders (requests from organizational units for duplication services at the Copy Center)	1	After request received
3.	Mail Room Mail Pickup and Delivery Records (including mail logs, copies of certified or registered mail receipt forms, signed pickup and delivery receipts from Federal Express, United Parcel Services (UPS), and other related records)	1	After created or received
4.	Postage Meter Records (including number and classification of items mailed by agency and office, daily record of meter readings, applications for postage meter license and other related records)	1	After created or received
5.	Postal Charge Records (general accounting records for postal activities including report of monthly chargeout totals (by organizational unit), voucher for refund of postage fees, and receipts for postage meter readings)	1	After created or received
6.	Statements of Bulk Rate Mailings (certification to the United States Postal Service (USPS) that mail is properly prepared and presorted, qualifying for bulk rate mailing, including bulk mail account log and USPS Bulk Mail Statement)	1	After created or received



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to All Public Bodies
All Public Institutions of Higher Learning
Curriculum Records**

**Schedule Number:
GS 1009**

- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes **All Arizona Community Colleges, Curriculum Office, signed November 15, 2002.**

Approval Authorized by: <i>Joan Clark</i>		Date: <i>3/25/15</i>	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by: <i>Jerry Lucante-Kirkpatrick</i>		Date: <i>3/14/15</i>	
Jerry Lucante-Kirkpatrick, Records Analyst, Archives and Records Management		Archival review and approval by: <i>Melanie Sturgeon</i>	
		Date: <i>3/23/2015</i>	
		Melanie Sturgeon, State Archivist & Director, Archives & Records Management	

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All Public Bodies
All Public Institutions of Higher Learning
Curriculum Records
GS 1009**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Curriculum History File Records	Permanent	Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued to:
All State And Local Agencies
Disability Services / Accessibility Records

Schedule Number:
GS 1042

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **New Schedule**

Records Analyst, Secretary of State: Ruben Vargas

**State Records Management Officer, Arizona State Archives,
Records, and Arizona Capitol Museum:** Dr. Ted Hale

State Archivist, Secretary of State: Dr. Melanie Sturgeon

Record Series Electronically Approved in RSM Database

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Revised: December 14, 2015

General Records Retention Schedule Issued to:
All State and Local Agencies
Disability Services / Accessibility Records
GS 1042

6/28/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30275	<p>Disability Resources Student Records</p> <p>May include, but not limited to, records from medical providers, psychologists, counselors, agencies, or other professionals regarding the individual's physical and / or mental health, Individualized Education Program (IEP) Testing form(s), psychological report(s), medical report(s), visual evaluation(s), communications with or about the student, Student Academic Accommodation Request (SAAR) forms, consent forms, other records related to providing reasonable accommodations.</p>	7 Years	<p>After graduation or date of last attendance.</p> <p>Confidential destruction is required.</p>	20 U.S.C. 1232g (FERPA)
30276	<p>Hearing Clinic Patient Records</p> <p>May include, but not limited to, billing records (general and Medicare), client clinic charts (adult, pediatric, Medicare), Arizona Department of Economic Security (AZDES), and Internship Agreements.</p>	7 Years	<p>After last contact with patient and patient is of majority of age.</p> <p>Confidential destruction is required.</p>	§29 CFR 1910.1020(h)(1)

General Records Retention Schedule Issued to:
All State and Local Agencies
Disability Services / Accessibility Records
GS 1042

6/28/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30277	Speech Clinic Patient Records May include, but not limited to, billing records (general and Medicare), client clinic charts (adult, pediatric, Medicare), Arizona Department of Economic Security (AZDES), and Internship Agreements.	7 Years	After last contact with patient and patient is of majority of age. Confidential destruction is required.	§29 CFR 1910.1020(h)(1)
30274	Student Counseling Records Student Consultations, Crisis Services, Group Counseling, Individual Counseling, Outreach.	7 Years	After graduation or last date of attendance.	



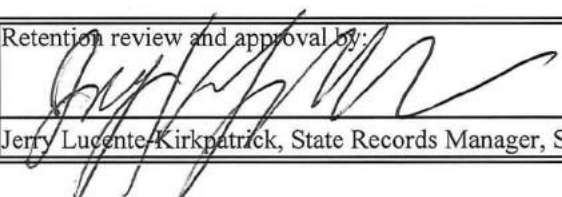
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General Records Retention Schedule Issued to:
All State And Local Agencies
Electronic Communications, Social Media and Website Records

Schedule Number:
GS 1026

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
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- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes #000-12-22, signed March 08, 2012.

Approval Authorized by:	Date:
	12/24/15
Ted Hale, State Records Management Officer, Secretary of State	
Retention review and approval by:	Date:
	12/24/15
Jerry Lucante-Kirkpatrick, State Records Manager, Secretary of State	Archival review and approval by:
	Date:
	
	12/24/2015
	Melanie Sturgeon, State Archivist, Secretary of State

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Revised: December 14, 2015

**General Retention Schedule for
All State And Local Agencies
Electronic Communications, Social Media and Website Records
GS 1026**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	<p>Electronic Communication Records Including, but not limited to, electronic mail messages (E-mail), instant messages (IM), text messages, mobile to mobile (M2M) messages, voicemail messages, and any electronic communications over Internet Protocol (VoIP).</p> <p>After the Arizona Supreme Court rulings in <i>Lake v. City of Phoenix</i>, metadata is a record, and needs to be preserved and retained as an essential component of any electronic record.</p> <p>In order to meet the requirements of the definition of a "record" per ARS § 41-151.18, electronic communications must capture and retain, for the entire retention period of the record, the following minimum metadata requirements:</p> <ul style="list-style-type: none"> • Sender and receiver identification (must be explicit enough to identify the individual senders / recipients); • If the message only indicates initials or other abbreviated identifiers (e.g., distribution lists, grouped addresses, etc.) as senders and / or recipients, then the custodian must document who were the actual senders and / or recipients of the message; • Date and time sent / received; • This metadata must be accessible with the official record. 		

**General Retention Schedule for
All State And Local Agencies
Electronic Communications, Social Media and Website Records
GS 1026**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	<p>The actual retention period for an Electronic Communications Record depends upon the <u>content and intent</u> of that communication.</p> <p>Many different topics (content) can be discussed in an Electronic Communication. The Sender / Receiver needs to determine the content of that Electronic Communication, and then retain the Communication for the period of time required for that particular topic (content).</p> <p>The following records series are just several examples of the many different topics (content) that can be discussed in Electronic Communications, and the required retention period for that particular Communication.</p>		
10406.	<p>Electronic Communications – Contracts, Agreements and Lease-Related Records</p> <p>Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>These records do not include construction contracts.</p> <p>Includes intergovernmental agreements (IGA), mutual / automatic aid agreements, cooperative agreements and memorandums of understanding</p>	6	<p>After contract fulfilled, cancelled or revoked</p> <p>For additional information on Contracts, Agreements and Lease Records, please see <i>Administrative and Management Records</i> General Retention Schedule.</p>

**General Retention Schedule for
All State And Local Agencies
Electronic Communications, Social Media and Website Records
GS 1026**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10407.	<p>(MOU).</p> <p>Electronic Communications – General Correspondence-Related Records Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>These records do NOT include Executive Correspondence.</p> <p>These are records that are not related to a specific project or case.</p> <p>Including, but not limited to, forms, letters, and memos.</p>	-	<p>After administrative or reference value has been served.</p> <p>For additional information on General Correspondence Records, please see <i>Administrative and Management Records</i> General Retention Schedule.</p>
10408.	<p>Electronic Communications – Time and Leave-Related Records, School Districts and Charter Schools Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>Including, but not limited to, compassionate leave, donated leave, and military leave.</p>	4	<p>After fiscal year created or received.</p> <p>For additional information on Time and Leave Records, please see <i>Human Resources / Personnel Records</i> General Retention Schedule.</p>

**General Retention Schedule for
All State And Local Agencies
Electronic Communications, Social Media and Website Records
GS 1026**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10409.	<p>Electronic Communications – Time and Leave-Related Records, All Other Public Bodies Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>Including, but not limited to, compassionate leave, donated leave, and military leave.</p>	3	<p>After fiscal year created or received.</p> <p>For additional information on Time and Leave Records, please see <i>Human Resources / Personnel Records</i> General Retention Schedule.</p>
10410.	<p>Electronic Communications – Office Internal Administration-Related Records Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>Including, but not limited to, duty rosters, non-policy work procedures / manuals, office assignments, and work schedules.</p>	1	<p>After superseded or obsolete.</p> <p>For additional information on Office Internal Administrative Records, please see <i>Administrative and Management Records</i> General Retention Schedule.</p>
10411.	<p>Electronic Communications - Working Records-Related Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>Including, but not limited to, drafts, feeder reports, and notes used in the development of final or</p>	-	<p>After final records created.</p> <p>For additional information on Working (Draft) Records, please see <i>Administrative and Management Records</i> General Retention Schedule.</p>

**General Retention Schedule for
All State And Local Agencies
Electronic Communications, Social Media and Website Records
GS 1026**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10412.	<p>summary records.</p> <p>Electronic Communications – All Other Content (Topics) Including any content in the actual message, any attachments or links and is not a duplicate record, transitory or retained elsewhere, and the appropriate, minimum required metadata.</p> <p>Social Media Records Including, but not limited to, blogs, comments / wall posts to social media site, Facebook, LinkedIn, twitter, and wikis.</p> <p>Please see <i>Public Information and Marketing Records</i> General Retention Schedule.</p> <p>Website Records Includes any content on a public body's website that meets the ARS §41-151.18 definition of a "record" and is not a duplicate record, transitory or retained elsewhere; format and control records, and web application / application change records.</p> <p>Please see <i>Information Technology Records</i> General Retention Schedule.</p>	<p>-</p> <p>-</p>	<p>Determine which type of record series these communications would best fit under, refer to the corresponding retention period for that records series, and retain according to that retention period.</p> <p>Please see <i>Public Information and Marketing Records</i> General Retention Schedule.</p> <p>Please see <i>Information Technology Records</i> General Retention Schedule.</p>

Supersedes schedule #000-12-22, signed March 08, 2012.



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**General Records Retention Schedule Issued to:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records**

**Schedule Number:
GS 1028**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
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- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **Revision to Env. Quality, Health, Mgmt & Sustainability Records Schedule, GS 1028, dated 07/01/2016**

Records Analyst, Secretary of State: Ruben Vargas

**State Records Management Officer, Arizona State Archives,
and Records Management Branch:** Dr. Ted Hale

State Archivist, Secretary of State: Dr. Dennis Preisler

Record Series Electronically Approved in RSM Database

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General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028

April 5, 2017

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20407	Asbestos Inspection and Abatement Records Including, but not limited to, records on remodeling and demolition of buildings where asbestos is located, sampling forms and sampling lab results; asbestos inspection surveys; asbestos training certifications for contractors and consultants. May include waste shipment records.	50 Years	After calendar year building sold, transferred or demolished, or after lease expired, cancelled or revoked. Records of employee exposure or potential exposure or potential exposure to asbestos should be sent to Human Resources for retention with Employee Medical and Exposure Records.	29 CFR 926.1101
20408	Community Environmental Awareness Education and Outreach Campaign Program Records Including, but not limited to, contest and exhibit records, promotional materials, presentations, issue papers, press releases, challenges, and rebate programs.	-	After administrative value has been served.	
20409	Energy Consumption and Savings Records Including, but not limited to, monthly energy, gas, and water consumption as indicated on utility bills.	-	After administrative value has been served.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20412	Environmental Code Enforcement - Adopt A Street Program Records, Liability waivers for volunteers Records on groups and individuals who adopt City-maintained roads, providing litter pick-up and removal as volunteers.	6 Years	After created or received.	
20411	Environmental Code Enforcement - Adopt A Street Program Records, Volunteer forms and master database of current volunteers Records on groups and individuals who adopt City-maintained roads, providing litter pick-up and removal as volunteers.	-	After administrative value has been served.	
20413	Environmental Code Enforcement Case Records, Notices of Violation and Related Records For noncompliance with City codes regarding litter, junked or abandoned vehicles on public property, and Safe Sidewalk Ordinance. Includes photographs, notices, and correspondence with City Attorney's Office regarding noncompliance.	6 Years	After created or received.	
20414	Environmental Code Enforcement Case Records, Tracking database Tracks noncompliance cases by address and date.	-	After administrative value has been served.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20415	Environmental Code Enforcement - Vehicle Removal Records Records relating to towing of junked or abandoned vehicles off private property. Including, but not limited to, reference copies of invoices, copies of vehicle titles, tow requests (used when no vehicle title is available) and tow forms.	6 Years	After created or received.	
20410	Environmental Complaint Records 	3 Years	After resolved.	
20416	Environmental Site Assessment and Remediation Records Includes Request for Proposal (RFP), Request for Quote (RFQ), task orders, correspondence, Phase I, Phase II, and Phase III records.	50 Years	After building or property sold, transferred or demolished; or after final decision not to acquire made; or after lease expired, cancelled or revoked.	
20425	Hazardous Products Center (HPC) Drop 'N Swap Records Waiver and indemnification documentation for customers who obtain materials from the free re-use area.	6 Years	After created or received.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20418	Hazardous Products Center (HPC) Facility Operations Records Billing Records Quarterly billing of customers for a portion of disposal, operations, and administrative costs based on daily statistics records.	3 Years	After fiscal year created or received	
20419	Hazardous Products Center (HPC) Facility Operations Records Daily Statistics Information on the number of customers compiled for quarterly billing purposes.	3 Years	After fiscal year created or received	
20420	Hazardous Products Center (HPC) Facility Operations Records Hazardous waste manifests Indicates pickup of waste by contractor and delivery to designated destination. Includes inventory, weight information, and container types.	30 Years	After created or received	
20421	Hazardous Products Center (HPC) Facility Operations Records Operating records Includes description and quantity of each hazardous waste received; method(s) and date(s) of treatment, storage or disposal; location of each hazardous waste within the facility, and the quantity at each location.	-	After HPC sold, transferred or demolished; or when lease expired, cancelled or revoked.	40 CFR 264.73

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20422	Hazardous Products Center (HPC) Facility Operations Records Scales calibration Calibration conducted by a contractor. This information is used for billing purposes.	-	After equipment sold, transferred or no longer in use.	
20423	Hazardous Products Center (HPC) Facility Operations Records Waste Determination Records Includes lists of wastes, process descriptions, waste profile sheets, sampling plans, analytical results, and quality control documentation.	-	After HPC sold, transferred or demolished; or when lease expired, cancelled or revoked.	
20424	Hazardous Products Center (HPC) Facility Operations Records Weight Records Information on outgoing shipments of hazardous waste. Information is used by driver to maintain shipment within legal weight limits for vehicle.	-	After administrative value has been served.	
20417	Hazardous Products Center (HPC) Records - Arizona Department of Environmental Quality (ADEQ) Hazardous Waste Inspections	-	After HPC sold, transferred or demolished; or after lease expired, cancelled or revoked.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20426	Hazardous Products Center (HPC) Refrigerant Reclamation Records Records on refrigerant reclaimed from units received by the HPC.	3 Years	After created.	40 CFR 82.166(m)
20430	Hazardous Products Center (HPC) Small Business Waste Program (SBWP) Records Including customer information and listing of type and quantity of hazardous waste brought to HPC by customer.	3 Years	After created or received.	40 CFR 262.40
20431	Hazardous Waste Manifest Records For waste generated by public body.	30 Years	After created or received.	
20432	Household Hazardous Waste (HHW) Event Records Billing records Records on events which were sponsored by the public body to collect hazardous waste.	3 Years	After fiscal year created or received.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20433	Household Hazardous Waste (HHW) Event Records Hazardous Waste Manifests Records on events which were sponsored by the public body to collect hazardous waste.	30 Years	After created or received.	
10217	Inspection and Permitting Records - Citizen Complaint Records Other than for permitted establishments that do not turn into legal action.	3 Years	After resolved.	
10218	Inspection and Permitting Records - Food Handler Training Records	3 Years	After training received.	
10219	Inspection and Permitting Records - Legal Action Records Including, but not limited to, cease and desist orders, complaints and stipulation orders.	10 Years	After resolved.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

10220	Inspection and Permitting Records - Permitted Establishment Records Inspection Records Including, but not limited to, citizen complaints, correspondence, embargo and destruction reports, food borne illness reports, incident reports and inspection reports.	5 Years	After calendar year created or received.	
10221	Inspection and Permitting Records - Permitted Establishment Records Operational Permit Records Including, but not limited to, construction records, permit applications, plans and plan reviews.	5 Years	After establishment closed.	
10222	Inspection and Permitting Records - Public and Semi-Public Swimming Pool Records Inspection Records Including, but not limited to, citizen complaints, correspondence, incident reports and opening and annual inspection reports.	5 Years	After calendar year created or received.	
10223	Inspection and Permitting Records - Public and Semi-Public Swimming Pool Records Operational Permit Records Including, but not limited to, construction records, permit applications, plans and plan reviews.	5 Years	After pool closed.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

20439	<p>Leaking Underground Storage Tank (LUST) Records</p> <p>Includes correspondence, inspection reports, routing / action forms, spill reporting forms, photographs and correspondence with Arizona Department of Environmental Quality (ADEQ) regarding closure of underground storage tanks (LUST's).</p>	Permanent	<p>Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.</p> <p>Records of employee exposure or potential exposure to hazardous material should be sent to Human Resources for retention with Employee Medical and Exposure Records.</p>	40 CFR 280.74
20434	<p>Property Maintenance Ordinance Records</p> <p>Records relating to the development of a comprehensive ordinance which integrates all environmental code enforcement programs, and signage codes.</p>	-	After administrative value has been served.	
20435	<p>Residential Energy Efficiency Program Records</p> <p>Including applications which are accepted and related records such as Applicant's Authorization Understanding and Agreement; Application and Application Checklist; home assessment tool; Landlord Authorization Form and Work Installation Checklist; and Government Benefit Form.</p>	6 Years	After work completed.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

53059	Select Agents and Toxins Records	3 Years	After fiscal year produced.	7 CFR 331.17(c); 9 CFR 121.17(c); 42 CFR 73.14(c)
20437	Sustainability Plans Records with enduring informational or historical value Planning records for the following program areas: recycling and hazardous products center, resource conservation, climate protection (e.g. renewable energy and alternative fuels), community challenges (e.g. affordable housing and economic development), and city operations.	Permanent	Transfer to State Archives after administrative value has been served.	
20436	Sustainability Plans Routine administration and operations Planning records for the following program areas: recycling and hazardous products center, resource conservation, climate protection (e.g. renewable energy and alternative fuels), community challenges (e.g. affordable housing and economic development), and city operations.	-	After administrative value has been served.	
20438	Trip / Travel / Waste Reduction Records Including, but not limited to, plans, high-pollution advisory program applications, survey information, and correspondence.	2 Years	After created or received.	

**General Records Retention Schedule for:
All State and Local Agencies
Environmental Quality, Health, Management and Sustainability Records
GS 1028**

April 5, 2017

30271	Underground Storage Tank (UST) Records Includes correspondence, inspection reports, routing / action forms, spill reporting forms, photographs and correspondence with Arizona Department of Environmental Quality (ADEQ) regarding closure of underground storage tanks (UST's).	25 Years	After UST closed. Records of employee exposure or potential exposure to hazardous material should be sent to Human Resources for retention with Employee Medical and Exposure Records.	40 CFR 280.74
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This schedule is used in conjunction with the [Certificate of Records Destruction](#). All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.

Supersedes: Environmental Quality, Health, Management and Sustainability Records Schedule, GS 1028(revised) 07/01/2016

Changes to schedule GS 1028, April 5, 2017 include:

Created new record series number: #53059	Record Series Title: Select Agents and Toxins Records	Retention Remark: After fiscal year produced. Legal Citations: 7 CFR 331.17(c); 9 CFR 121.17(c); 42 CFR 73.14(c)
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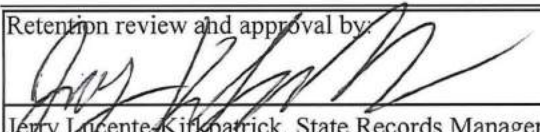
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General Records Retention Schedule Issued to:
All State and Local Agencies
Equipment and Vehicle Services

Schedule Number:
GS 1034

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes #000-12-24, signed March 15, 2012.

Approval Authorized by:  Ted Hale, State Records Management Officer, Secretary of State		Date: 12/29/15	
Retention review and approval by:  Jerry Lucante-Kirkpatrick, State Records Manager, Secretary of State		Date: 12/24/15	
Archival review and approval by:  Melanie Sturgeon, State Archivist, Secretary of State		Date: 12/24/2015	

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All State And Local Agencies
Equipment / Vehicle Services Records
GS 1034**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
	Accident Reports Involving public body employee and publicly owned vehicles / equipment. Please see the <i>Risk Management Records</i> General Retention Schedule #GS 1038		
10479.	Alternate Fuel Usage Reports Including, but not limited to, ethanol, LPG, and natural gas.	3	After created or received.
10480.	Equipment / Vehicle Assignment Records Includes records documenting assignment of equipment / vehicles to specific employees.	3	After superseded or obsolete.
10481.	Equipment / Vehicle Inventory Reports Includes parts inventories.	3	After created.
10482.	Equipment / Vehicle Operation and Maintenance Manuals	-	After disposal of equipment / vehicle.
10483.	Equipment / Vehicle Inspection / Test Records and History Records Includes equipment specification records for specific equipment / vehicle (including fire hoses and school buses), maintenance logs and other maintenance records, and recall records (including notices and other related records received from manufacturer regarding defects and their correction).	3	After disposal of equipment / vehicle.

**General Records Retention Schedule for
All State And Local Agencies
Equipment / Vehicle Services Records
GS 1034**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10484.	Equipment / Vehicle Request Records Includes requests to use fleet vehicles.	3	After created or received.
10485.	Extended Dispatch Tickets Includes records where service sent to disabled vehicle.	3	After created or received.
10486.	Firearm Records Includes Federal Firearm License.	10	After disposal of equipment.
10487.	Fuel Operations Records Including, but not limited to, Arizona Department of Environmental Quality (ADEQ), Environmental Protection Agency (EPA) and / or county permits and reports, and fuel system inspection records.	10	After expired.
10488.	Fuel Storage Tank Records - Records Indicating Location, Dimension, Volume and Output of Tanks	5	After created.
10489.	Fuel Storage Tank Records - Records Documenting Volatile Organic Liquid (VOL) Records Includes liquid stored, period of storage and the maximum true vapor pressure of tank.	2	After created.
10490.	Fuel Storage Tank Records - Inspection Records Includes documentation of daily tank inspections.	5	After created.
10491.	Fuel Storage Tank Records - Gap Measurement Records	2	After created.
10492.	Fuel Tax Reports	5	After created or received.

**General Records Retention Schedule for
All State And Local Agencies
Equipment / Vehicle Services Records
GS 1034**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10493.	Maintenance / Repair Work Order Records Includes tracking records for maintenance requested / performed, not records on specific vehicles / equipment.	3	After work order closed.
10494.	Plate / Registration Records - Undercover Plates Includes requests and renewals.	1	After expired or revoked.
10495	Plate / Registration Records - All Other Plates Includes requests and renewals, and government standard plates.	1	After disposal of vehicle.
10496.	Taxi Trip Tickets	3	After created or received.
10497.	Title Records Includes vehicles.	-	After disposal of vehicle / equipment.
10498.	Use Fuel Reports and Fuel Pump Receipts / Transaction Records	3	After created or received.
10499.	Vehicle Charge-Back, Mileage and Expense Records Including, but not limited to, changes to requests, fuel receipts, mileage logs, and rental invoices.	3	After created or received.
10500.	Vehicle Emission Test Results	3	After test conducted.
10501.	Walk-around Inspection Records Checklists performed by drivers before driving publicly owned vehicle.	3 months	After created or received.

**General Records Retention Schedule for
All State And Local Agencies
Equipment / Vehicle Services Records
GS 1034**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10502.	Warranty Records	-	After expired, or after disposal of equipment / vehicle, whichever is longer.

Supersedes schedule #000-12-24, signed March 15, 2012.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued To:
All State And Local Agencies
Facilities and Grounds Management Records

Schedule Number:
GS 1023

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes #000-11-08, signed March 03, 2011.

Approval Authorized by:  Ted Hale, State Records Management Officer, Secretary of State		Date: 12/29/15
Retention review and approval by:  Jerry Lucante-Kirkpatrick, State Records Manager, Secretary of State	Date: 12/24/15	Archival review and approval by:  Melanie Sturgeon, State Archivist, Secretary of State
		Date: 12/24/2015

RECORDS MANAGEMENT CENTER

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10314.	Accident and Fire Prevention Program Plan Records Includes lists of first aid trained personnel.	1	After superseded or obsolete.
10315.	Alarm Code and Key Control Records Records tracking employee access to buildings.	1	After superseded or obsolete.
10316.	Architect / Consultant Records - Not Used	3	After created or received.
10317.	As-built Plans, Drawings, Blueprints, Floor Plans, Layouts, Specifications and Americans with Disabilities Act (ADA) Compliance Records – Historical Historical records have enduring and significant value to the public body, and meet the requirements found in the <i>Guidance on Permanent and Historical Records</i> , at the following link: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10318.	As-built Plans, Drawings, Blueprints, Floor Plans, Layouts, Specifications and Americans with Disabilities Act (ADA) Compliance Records – Non Historical	1	After building abandoned, demolished, sold, or transferred.
10319.	Building Inventory Records	3	After superseded or obsolete.
10320.	Certificates of Inspection Records Includes Fire Marshal inspections.	1	After expired or after next cyclical inspection is conducted, whichever is later.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10321.	Construction Records - Completed These are records documenting the construction and major renovation of buildings for public bodies. Including, but not limited to, inspection reports, progress reports, meeting minutes, construction contracts, construction bonds, and site.	9	After construction completed.
10322.	Construction Records - Proposed but not completed These are records documenting the construction and major renovation of buildings for public bodies. Including, but not limited to, inspection reports, progress reports, meeting minutes, construction contracts, construction bonds, and site.	7	After project abandoned.
10323.	Construction Records – Guarantees / Warranties	-	After expired, or after reference value has been served.
10324.	Custodial / Landscape Services Records - Contracted Including, but not limited to, service schedules.	6	After contract expired, cancelled or revoked.
10325.	Custodial / Landscape Services Records – Not Contracted Including, but not limited to, service schedules. Deeds / Titles to Buildings and Property Please see <i>Clerks Records</i> General Retention Schedule.	2 -	After work completed. Please see <i>Clerks Records</i> General Retention Schedule.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	Easements Please see <i>Clerks Records</i> General Retention Schedule.	-	Please see <i>Clerks Records</i> General Retention Schedule.
10326.	Environmental Records - Asbestos Inspection and Abatement Records and Management Plans Includes Hazard Emergency Response Act (AHERA) records. Records documenting employee exposure or potential exposure to hazardous substances should be transferred to Human Resources for retention with Employee Medical and Exposure Records.	50	After building abandoned, demolished, sold, or transferred.
10327.	Environmental Records - Underground Storage Tank Records, Leaking	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10328.	Environmental Records - Underground Storage Tank Records, Not Leaking	25	After building abandoned, demolished, sold, or transferred.
10329.	Environmental Records - Hazardous Materials Disposal Records	3	After disposal of material.
10330.	Environmental Records - Hazardous Materials Incident Report Records	5	After created or received.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10331.	Environmental Records - Lead-Based Paint Records Includes correspondence, inspection and remediation reports, Requests for Proposal (RFP's), Request for Quotes (RFQ's), sample lab reports, certification of liability insurance, and waste acceptance reports.	50	After building abandoned, demolished, sold, or transferred, or after lease expired, cancelled or revoked.
10332.	Environmental Records - Internal Facility Environmental Monitoring Records Investigations regarding potential environmental issues in Public body-owned facilities / buildings and other buildings where Public employees work. Environmental issues may include air quality complaints for mold and / or volatile organic compounds (VOC's); roof leaks, and pest infestations. This primarily includes annual facility inspections, spill prevention control and countermeasure (SPCC) plan and implementation, hazardous waste contingency plan and emergency response plan (HWCERP) and implementation, annual reporting requirements, asbestos operations and maintenance (O&M) plan inspection, and indoor air quality sampling and visual inspection for mold growth and persistent moisture.	3	After building abandoned, demolished, sold, or transferred, or after lease expired, cancelled or revoked.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10333.	Facility Assessment Records	-	After building abandoned, demolished, sold, or transferred.
10334.	Facility Usage Records Includes applications and proof of insurance.	6	After calendar year facility used or access denied.
10335.	False Alarm Records	3	After created or received.
10336.	Fire Safety System Records – Planned / Preventative Maintenance Records Includes inspection, testing and repair records for alarms, break glass station alarms, fire extinguishers, smoke detectors, and sprinkler systems.	5	After work performed.
10337.	Fire Safety System Records – All Other Records Including, but not limited to, equipment, installation, plans, renovations, specifications and other related records for alarms, fire extinguishers, smoke detectors, and sprinkler systems.	-	After equipment removed or replaced or after building abandoned, demolished, sold, or transferred, whichever comes first.
10338.	Maintenance / Repair Work Orders – Major Work	-	After building abandoned, demolished, sold, or transferred.
10339.	Maintenance / Repair Work Orders - Routine Work	3	After work order closed.
10340.	Master Plans – Historical Includes department, agency, regional or state-wide. Historical records have enduring and significant value to the public body, and meet the requirements	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	<i>Records, at the following link: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</i>		
10341.	Master Plans – Non Historical Includes department, agency, regional or state-wide.	5	After superseded or obsolete.
10342.	Pest Control Records - Termites Includes herbicide and pesticide spray records. Records documenting employee exposure or potential exposure to hazardous substances should be transferred to Human Resources for retention with <i>Employee Medical and Exposure Records</i> .	5	After work completed. A.A.C. R4-29-307.
10343.	Pest Control Records - All other pests Includes herbicide and pesticide spray records. Records documenting employee exposure or potential exposure to hazardous substances should be transferred to Human Resources for retention with <i>Employee Medical and Exposure Records</i> .	3	After work completed. A.A.C. R4-29-307.
10344.	Planned / Preventative Maintenance Records Includes schedules and documentation of work performed.	-	After equipment removed or replaced, or after building abandoned, demolished, sold, or transferred, whichever comes first.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10345.	<p>Property Acquisition Records – Historical Includes acquisition agreements, correspondence, offer packages, appraisal reports, condemnation actions, escrow / closing documents, deeds, title insurance and title records.</p> <p>Historical records have enduring and significant value to the public body, and meet the requirements found in the <i>Guidance on Permanent and Historical Records</i>, at the following link: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10346.	<p>Property Acquisition Records - Capital Improvement Project Related Includes acquisition agreements, correspondence, offer packages, appraisal reports, condemnation actions, escrow/closing documents, deeds, title insurance and title records.</p>	3	After acquisition has been abandoned, or after property has been abandoned or transferred, but not less than 25 years after Capital Improvement Project is completed and closed and the warranty period has expired.
10347.	<p>Property Acquisition Records - Private Development Related Includes acquisition agreements, correspondence, offer packages, appraisal reports, condemnation actions, escrow/closing documents, deeds, title insurance and title records.</p>	3	After building abandoned, demolished, sold, or transferred.
10348.	<p>Security Records Includes records that document security plans for facilities.</p>	3	After superseded or obsolete.

**General Retention Schedule for
All State and Local Agencies
Facilities and Grounds Management Records
GS 1023**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10349.	Soils Investigation Records Includes test reports.	-	After superseded or obsolete or after building / property is abandoned, demolished, sold, or transferred, whichever is earlier.
10350.	Space Management Records Includes records with layout of offices, etc. used to manage office space efficiently.	3	After superseded or obsolete.
10351.	Utility Records – Regulatory Fee Records	3	After calendar year fee incurred.
10430.	Utility Records - Repair and Maintenance Records	5	After calendar year created or received.
10431.	Vandalism Records	2	After calendar year created or received.

Supersedes schedule #000-11-08, signed March 03, 2011.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to All Public Bodies
All Public Institutions of Higher Learning
Financial Aid Records**

**Schedule Number:
GS 1012**

- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes #000-12-11, signed February 13, 2012.

Approval Authorized by: <i>Joan Clark</i>		Date: <i>3-25-15</i>	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by: <i>[Signature]</i>		Date: <i>3/14/15</i>	
Jerry Lucente-Kirkpatrick, Records Analyst, Archives and Records Management		Archival review and approval by: <i>Melanie Sturgeon</i>	
		Date: <i>3/23/2015</i>	
		Melanie Sturgeon, State Archivist & Director, Archives & Records Management	

RECORDS MANAGEMENT CENTER

**Records Retention Schedule for
All Public Institutions of Higher Learning
Financial Aid Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Annual Fiscal Operations Reports	3	After fiscal year created or received.
2.	Financial Aid Records - Perkins Original Promissory Notes Including, but not limited to, all student files under the Financial Aid program for Family Federal Education Loan (FFEL) and Direct Loan (DL), ACG/SMART, TEACH grants Campus-Based programs including verifications, appeals, financial needs analysis, income reassessments, dependency overrides, Federal Education R Privacy Act (FERPA) release forms, loan request forms, records, housing plans, exit counseling forms, asset verification forms, promissory notes, proof of active duty forms, amended tax returns, Bachelor's degree verifications, birth certificates, citizenship proof, Center for Training and Development (CTD) enrollment agreements, Financial Aid Federal Student Application (FAFSA) signature pages, budget evaluation requests, selective service records, parent authorization forms, year to date (YTD) subs, third party documentation, Veterans status proof, TRIBE, W-2 forms, and 1040 (A, EZ, Normal).	3	After loan assigned to ED, cancelled or repaid.
3.	Financial Aid Records - Perkins Repayment Records Including, but not limited to, all student files under the Financial Aid program for Family Federal Education Loan (FFEL) and Direct Loan (DL), ACG/SMART, TEACH grants Campus-Based	3	After loan satisfied or records needed to enforce the obligation, whichever is later.

**Records Retention Schedule for
All Public Institutions of Higher Learning
Financial Aid Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	programs including verifications, appeals, financial needs analysis, income reassessments, dependency overrides, Federal Education R Privacy Act (FERPA) release forms, loan request forms, records, housing plans, exit counseling forms, asset verification forms, promissory notes, proof of active duty forms, amended tax returns, Bachelor's degree verifications, birth certificates, citizenship proof, Center for Training and Development (CTD) enrollment agreements, Financial Aid Federal Student Application (FAFSA) signature pages, budget evaluation requests, selective service records, parent authorization forms, year to date (YTD) subs, third party documentation, Veterans status proof, TRIBE, W-2 forms, and 1040 (A, EZ, Normal).		
4.	Financial Aid Records - All Other Records Including, but not limited to, all student files under the Financial Aid program for Family Federal Education Loan (FFEL) and Direct Loan (DL), ACG/SMART, TEACH grants Campus-Based programs including verifications, appeals, financial needs analysis, income reassessments, dependency overrides, Federal Education R Privacy Act (FERPA) release forms, loan request forms, records, housing plans, exit counseling forms, asset verification forms, promissory notes, proof of active duty forms, amended tax returns, Bachelor's degree verifications,	3	After award year for which aid was awarded.

**Records Retention Schedule for
All Public Institutions of Higher Learning
Financial Aid Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	birth certificates, citizenship proof, Center for Training and Development (CTD) enrollment agreements, Financial Aid Federal Student Application (FAFSA) signature pages, budget evaluation requests, selective service records, parent authorization forms, year to date (YTD) subs, third party documentation, Veterans status proof, TRIBE, W-2 forms, and 1040 (A, EZ, Normal).		
5.	Fiscal Operations Reports and Applications to Participate (FISAP) and Financial Aid Detail Reports	3	After the award year in which the related FISAP submitted.
6.	Scholarship Listings	3	After fiscal year created or received.
7.	Summary of Outstanding Loan Records - Monthly	-	After reference value has been served.
8.	Summary of Outstanding Loan Records - Annual	3	After fiscal year created or received.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued to:
All State And Local Agencies
Human Resources / Personnel Records

Schedule Number:
GS 1006 (revised)

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **Revision to Human Resources /Personnel Records, Schedule GS 1006, dated 07/18/2016.**

Records Analyst, Secretary of State: Ruben Vargas

**State Records Management Officer, Arizona State Archives,
Records Management, and Arizona Capitol Museum:** Dr. Ted Hale

State Archivist, Secretary of State: Dr. Melanie Sturgeon

RECORDS MANAGEMENT CENTER

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Revised: December 14, 2015

General Records Retention Schedule Issued to:
All State and Local Agencies
Human Resources / Personnel Records
GS 1006 (revised)

7/18/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20686	Affirmative Action / Equal Employment Opportunity Records Including reports and supporting documentation, but does not include specific charges, responses and case files (see Grievance and Complaint records (item #20719)).	3 Years	After created or received.	
20687	Alcohol / Drug Testing Program Records - Cancelled or Negative Results Including Commercial Drivers' License (CDL) Random Drug Records.	1 Year	After created or received.	
20690	Alcohol / Drug Testing Program Records - Forms from Previous Employers Including Commercial Drivers' License (CDL) Random Drug Records.	3 Years	After received.	
20688	Alcohol / Drug Testing Program Records - Positive Results Including Commercial Drivers' License (CDL) Random Drug Records.	5 Years	After action taken in response to results is resolved.	
20689	Alcohol / Drug Testing Program Records - Records Related to Collection Including Commercial Drivers' License (CDL) Random Drug Records.	2 Years	After test given.	
20691	Americans with Disabilities Act (ADA) Records Including requests for accommodation.	3 Years	After completion of accommodation or case settled.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Human Resources / Personnel Records
GS 1006 (revised)

7/18/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20692	Benefit Enrollment Records Including employee enrollment in medical, dental, life insurance, prepaid legal, beneficiary designation and other benefit options.	5 Years	After employee terminated.	
20693	Civil Service / Merit Board / Personnel Board Records - Appeal Records Including appeal / hearing case records, exhibits, transcripts and other related records and excluding minutes.	2 Years	After resolved.	
20694	Civil Service / Merit Board / Personnel Board Records - Litigation Records Including appeal / hearing case records, exhibits, transcripts and other related records and excluding minutes.	2 Years	After case closed.	
20695	Civil Service / Merit Board / Personnel Board Records - Merit System Rules Files Including appeal / hearing case records, exhibits, transcripts and other related records and excluding minutes.	Permanent	Preserve pursuant to ARS §39-101. Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.	ARS §39-101

General Records Retention Schedule Issued to:
All State and Local Agencies
Human Resources / Personnel Records
GS 1006 (revised)

7/18/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20696	Classification / Market Study Records Including studies and reports.	1 Year	After superseded or obsolete.	
20698	Declaration of Gifts Records - All others	5 Years	After filed.	
20697	Declaration of Gifts Records - Elected and Appointed Officials	3 Years	After term of office ended.	
20699	Department of Economic Security (DES) New Hire Reports	1 Year	After submitted.	ARS §23-722.01
20700	Disability Records Including short-term and long-term disability.	6 Years	After claim closed.	
20702	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records - All others	3 Years	After either benefits terminated or coverage rejected.	
20701	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records - Decline Notice Records Including returned undeliverable notices.	2 Years	After employee terminated.	

General Records Retention Schedule Issued to:
All State and Local Agencies
Human Resources / Personnel Records
GS 1006 (revised)

7/18/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30680	<p>Employee Exposure Records</p> <p>Employee exposure record means a record containing any of the following kinds of information: (i) Environmental (workplace) monitoring or measuring of a toxic substance or harmful physical agent, including personal, area, grab, wipe, or other form of sampling, as well as related collection and analytical methodologies, calculations, and other background data relevant to interpretation of the results obtained; (ii) Biological monitoring results which directly assess the absorption of a toxic substance or harmful physical agent by body systems (e.g., the level of a chemical in the blood, urine, breath, hair, fingernails, etc.) but not including results which assess the biological effect of a substance or agent or which assess an employee's use of alcohol or drugs; (iii) Material safety data sheets indicating that the material may pose a hazard to human health; or (iv) In the absence of the above, a chemical inventory or any other record which reveals where and when used and the identity (e.g., chemical, common, or trade name) of a toxic substance or harmful physical agent.</p> <p><i>Employee Exposure Records may not be filed in the Employee Personnel File.</i></p>	30 Years	After calendar year of event.	<p>29 CFR 1910.1020 (5)(i)(ii)(iii)(iv)</p> <p>Nothing in this section is intended to mandate the form, manner, or process by which an employer preserves a record as long as the information contained in the record is preserved and retrievable, except chest X-ray films shall be preserved in their original state.</p>

General Records Retention Schedule Issued to:
All State and Local Agencies
Human Resources / Personnel Records
GS 1006 (revised)

7/18/2016

Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
30679	<p>Employee Medical Records</p> <p>Employee medical record means a record concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel or technician.</p> <p>For employees who have worked less than one year, see record series for Employee Medical Records Employed Less Than One Year.</p> <p><i>Employee Medical Records may not be filed in the Employee Personnel File.</i></p>	30 Years	After termination of employment.	29 CFR 1910.1020 (6)(i)
30681	<p>Employee Medical Records - Employed Less Than One (1) Year</p> <p>Employee medical record means a record concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel or technician.</p> <p><i>Employee Medical Records may not be filed in the Employee Personnel File.</i></p>	-	Employer does not need to retain medical records if they are provided to the employee upon termination of employment.	29 CFR 1910.1020 (6)(i)

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20706	<p>Employee Personnel Records - Contract Employees</p> <p>For contract positions, including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, conflict of interest and personal interest disclosure records, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records, but not including criminal history information records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical Records may not be filed in the Employee Personnel File.</i></p>	6 Years	After contract expired, cancelled, or revoked.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20704	<p>Employee Personnel Records - Official Copy</p> <p>For full-time, part-time, seasonal, interns, volunteer, appointed, or elected positions. Including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, conflict of interest and personal interest disclosure records, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical Records may not be filed in the Employee Personnel File.</i></p>	5 Years	After employee terminated, or term of office ended.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20705	<p>Employee Personnel Records - Supervisors' and Other Non-Official Copies</p> <p>For full-time, part-time, seasonal, interns, volunteer, appointed, or elected positions. Including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, conflict of interest and personal interest disclosure records, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical Records may not be filed in the Employee Personnel File.</i></p>	6 Months	After employee terminated or transferred.	
20707	Employee Recognition Records	-	After administrative value has been served.	
20708	<p>Employee Suggestion Program Records</p> <p>Including award program records.</p>	-	After administrative value has been served.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20709	Employee Summary Records Listing of current and former employees including name, dates of employment and job titles used to answer job reference questions.	15 Years	After employee terminated.	
20710	Employee Survey / Questionnaire Records Including attitude surveys, selective certification surveys, salary surveys and other surveys not filed with specific program records.	-	After administrative value has been served.	
20711	Employee Tuition Refund Program Records <i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i>	3 Years	After fiscal year refund issued.	
20713	Examination Records - Answer Sheets <i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i>	1 Year	After test administered.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20712	<p>Examination Records - Booklets (Master Booklet Including Development Documentation) and Oral Board Questions</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p>	2 Years	After superseded or obsolete.	
20715	<p>Examination Records - Oral Board Questions</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p>	2 Years	After created or received.	
20714	<p>Examination Records - Testing Administration Records</p> <p>Including lists of individuals scheduled for exam.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p>	1 Year	After scheduled test date.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20717	Family Medical Leave Act (FMLA) Records - All other Records Including employee leave request forms, supporting documentation and other non-medical related records. <i>Employee certification and health records must be retained separately from the Employee Personnel File. File with the Employee Exposure Records #30680.</i>	3 Years	After created, received, or leave expired, whichever is later.	
20716	Family Medical Leave Act (FMLA) Records - Certification of Health-Care Provider Forms Including employee leave request forms, supporting documentation and other non-medical related records. <i>Employee certification and health records must be retained separately from the Employee Personnel File. File with the Employee Exposure Records #30680.</i>	6 Months	After employee terminated.	
20718	Flexible Spending Account Records	7 Years	After created or received.	
20719	Grievance and Complaint Records Including Affirmative Action/ Equal Employment Opportunity (EEO) complaint and response records, Arizona Civil Rights Division (ACRD) charge and response records, employee relations issues and performance issues.	3 Years	After resolved.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20720	Group Insurance Records Including office copy explaining benefits and costs to employee based on contract with insurance carrier.	1 Year	After superseded or obsolete.	
20722	Hiring / Selection Records, All others Including job announcements, applications, selection, test scores, interview records, pre-employment background check records, affirmative action questionnaires and other related records for individuals not hired.	2 Years 6 Months	After position filled or abandoned.	
20721	Hiring / Selection Records, Peace Officers (as defined by ARS §1-215) Including job announcements, applications, selection, test scores, interview records, pre-employment background check records, affirmative action questionnaires and other related records for individuals not hired.	3 Years	After position filled or abandoned.	ARS §1-215
20730	I-9 Forms May also include Social Security Verification (SSA) records for individual employees.	1 Year	After employee terminated, but not less than 3 years after date of hire.	
20724	Individual Employee Training Records - All Others Including certificates of attendance and other related records.	3 Years	After training received.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20723	Individual Employee Training Records - Law Enforcement Officers Including certificates of attendance and other related records.	5 Years	After employee terminated.	
20725	Insurance Policies (Contract with Insurance Company)	6 Years	After expired, canceled, or revoked.	
20729	Investigation Records (From DMV) - Routine Department of Motor Vehicles (DMV) Reports, Serious Infractions <i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i>	-	Transfer to personnel record.	
20728	Investigation Records (From DMV) - Routine Department of Motor Vehicles (DMV) Reports, No Major Infractions <i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i>	4 Years	After received or superseded, whichever is first.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20726	<p>Investigations of Personnel Matters - Sustained</p> <p>Including internal investigation records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p>	5 Years	After employee terminated, or investigation resolved, or closed, whichever comes later.	
20727	<p>Investigations of Personnel Matters - Unsustained</p> <p>Including internal investigation records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p>	5 Years	After investigation resolved or closed.	
20731	<p>Job Announcements</p> <p>(If filed separately from hiring / selection records).</p>	2 Years 6 Months	After position filled or abandoned.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20732	Leave Records Including compassionate leave, donated leave, military leave and other related records. <i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i>	3 Years	After fiscal year created or received.	
20733	Life Insurance Paid Claims	7 Years	After fiscal year claim paid.	
20734	Merit Based Pay Funding Records	2 Years	After created or received.	
20735	Multi-Lingual Testing Records	2 Years	After test administered.	
20738	Out-of-Class Assignment Reports	3 Years	After created or received.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20739	Pay Plan / Salary Schedule / Annual Salary Schedules Records	Permanent	Preserve pursuant to ARS §39-101. Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.	ARS §39-101
20740	Polygraph Records of Law Enforcement or Probation Officers - <i>Records Created or Received before July 29, 2010</i> Including data and reports, but not including pre-employment polygraphs in which applicant was not hired or data and reports of active investigation or appeals per ARS §38-1101(N).	5 Years	After either employee terminated.	ARS §38-1101(N)
20741	Polygraph Records of Law Enforcement or Probation Officers - <i>Records Created or Received on or After July 29, 2010</i> Including data and reports, but not including pre-employment polygraphs in which applicant was not hired or data and reports of active investigation or appeals per ARS §38-1101(N).	3 Years	After date appointed or hired, and no more than 3 years and 90 days after date appointed or hired.	ARS §38-1101(N)

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20742	Position Descriptions Records describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire (PDQs).	3 Years	After either superseded or position abolished, whichever comes first.	
20743	Reduction in Force (RIF) Records Including computation documentation and recap summaries.	5 Years	After RIF completed or abandoned.	
20744	Requests for Classification of New Positions or Reclassification of Existing Positions Including salary advancement records.	1 Year	After request acted upon.	
20745	Requests for Verification of Employment	-	After administrative value has been served.	
20746	Retirement Benefits Records (including self-insured public bodies) - Any State-Wide Retirement Fund including Arizona State Retirement System (ASRS) and Public Safety Retirement System (PSRS) Records (Including temporary hours' reports) Including self-insured public bodies.	5 Years	After created or received.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20747	Retirement Benefits Records (including self-insured public bodies) - Self-Funded Retirement Records Including self-funded Retirement Records.	10 Years	After death of beneficiary.	
20748	Retirement Systems Actuarial and Annual Reports	1 Year	After published.	
20749	Social Security Verification Records Lists of social security numbers which have been verified with the Social Security Administration (SSA) with match or mismatch responses from SSA. Does not include individual responses. All mismatch responses require written documentation from office addressed to the employee.	1 Year	After verification completed.	
20750	Special Work Assignment Records	2 Years	After approved or denied.	
20751	Statistical Listings of Employees	-	After superseded or obsolete.	
20752	Test Security Affidavits (School Districts and Charter Schools only)	6 Years	After test administered.	
20753	Unemployment Claims and Appeals Records	2 Years	After action taken.	
20758	Union / Collective Bargaining Records - All other Records Excludes minutes.	1 Year	After created or received.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20754	Union / Collective Bargaining Records – Arbitration / Grievance Case Records	8 Years	After case resolved.	
20755	Union / Collective Bargaining Records - Collective Bargaining Agreements	Permanent	Preserve pursuant to ARS §39-101. Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.	ARS §39-101
20757	Union / Collective Bargaining Records - Election Records	6 Years	After election held.	
20756	Union / Collective Bargaining Records - Negotiation Records Including workbooks and signed articles but excluding minutes.	8 Years	After created or received.	
20759	Unsolicited Applications	-	After administrative value has been served.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20761	<p>Wellness Fair Records - All other Records</p> <p>Records concerning events hosted by the Public Body for their employees including correspondence, sign-in sheets, receipts of incentives and/ or logs and other related records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	6 Years	After event held.	
20760	<p>Wellness Fair Records - Health Related Records for Employees</p> <p>Records concerning events hosted by the Public Body for their employees including correspondence, sign-in sheets, receipts of incentives and/ or logs and other related records.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	30 Years	After employee terminated.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20763	<p>Workers' Compensation Records - Billing Records</p> <p>Includes State Compensation Fund.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	5 Years	After created or received.	
20762	<p>Workers' Compensation Records - State Agency, Board and Commission Records</p> <p>Agency copy, official copy at Department of Administration (ADOA).</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	3 Years	After employee terminated.	

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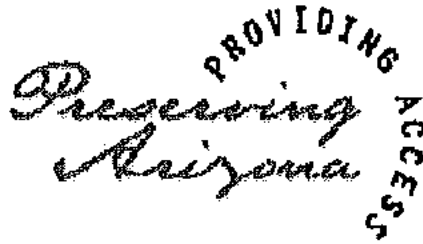
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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20766	<p>Workers' Compensation Records - Case Records</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	75 Years	After case closed.	
20764	<p>Workers' Compensation Records - Denied Claims</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	3 Years	After denied.	

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Record Series Number	Record Series Title	Retention Period	Retention Remark	Legal Citation
20765	<p>Workers' Compensation Records - Reports of Industrial Injury</p> <p>Includes employer and supervisors' reports.</p> <p><i>If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #20704, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above.</i></p> <p><i>Employee Medical and Exposure Records may not be filed in the Personnel File.</i></p>	5 Years	After created or received.	



Arizona State Library, Archives and Public Records

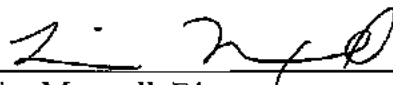
General Records Retention Schedule for All Public Bodies Information Technology (IT) Records

Schedule Number:

000-12-41

Authorization and Approval

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.



Lisa Maxwell, Director
Records Management Division
Arizona State Library, Archives and Public Records

Date Approved: May 1, 2012

**General Records Retention Schedule for
All Public Bodies
Information Technology (IT) Records**

Item #	Records Series	Retention (Yrs.)	Start of Retention
1.	Application Records (including Development Records; Problem Records (problem definition, testing, user approval final resolution and other related records); Program Records (including specific descriptions or individual programs, program steps and modifications); Server Records (including Advantage, Budget System, PeopleSoft, and other related records); Systems Records (including overall description, diagrams, program inter-relationships); User Manuals (including procedures manuals and handbooks))	3	After system terminated or 3 years after superseded or obsolete, whichever is first
2.	Backup Tape Library Records (including records about backup tapes but not the actual backup tapes)	1	After superseded or obsolete
3.	Computer System Maintenance Records (records which document the maintenance of computer systems and components including computer equipment inventories, hardware performance reports, component maintenance, system backup reports, and backup tape inventories)		
	a. Records related to system/ component repair or service	-	After system removed
	b. Records related to backups or inventories	-	After superseded or obsolete
4.	Conversion, Integration, and Migration Plan Records	3	After successful conversion completed
5.	Data Model, Use Cases and Process Model Records	3	After superseded or obsolete

**General Records Retention Schedule for
All Public Bodies
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
6.	Department Service Request Records (including plans, requests, performance reports, usage, bills, payments, installation, change, removal and servicing of equipment, Help Desk records and Work Orders)	3	After completed, cancelled or abandoned
7.	Distribution Lists (if not needed to document recipients of emails sent by Public Body)	1	After superseded or obsolete
8.	Enterprise Architecture Records (including system set-up and how hardware is linked)	5	After created or superseded, whichever comes first
9.	Geographic Information Systems (GIS) Records		
	a. Data Layer Records		
	i. Official copy (This series represents any content in a department's GIS database that meets the statutory definition of a record and is not a duplicate, transitory or retained elsewhere)	-	Retain for the same period as required for other forms of the same record series
	ii. Unaltered data layers (unaltered or minimally altered data layers received from other agencies and commercial sources are reference records)	3	After received or when informational value has been served, whichever is later
	iii. All other copies (This series represents any content in a department's GIS database that is strictly a duplicate or transitory in nature with a records copy of the information existing elsewhere)	-	After reference value has been served
	b. Format and Control Records (including record layouts, file structures, code books, configuration and setup files, installation and implementation procedures or instruction and any other documentation that define or describe the data or the application)	3	After superseded or obsolete

**General Records Retention Schedule for
All Public Bodies
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	c. Significantly Altered Data Layers (data layers received from other agencies and commercial sources which are significantly altered are considered a record)	-	Retain for the same period as required for other forms of the same records series
10.	Information Technology (IT) Configuration Management Records (including hardware configuration records)	1	After disposal of system
11.	IT Capital Investment Records (including IT asset records and inventory records of IT equipment)	3	After superseded or obsolete
12.	IT Operations / Productions Records (including operating manuals, program run books, setup/error/halt procedures, operating schedules, program run and batch control logs, error message reports, operations schedule records, and terminal activity reports)		
	a. Transitory (short-term value) records	2	After created or received
	b. All other records	2	After production operations ceased or superseded, whichever comes first
13.	Logs (including technology and usage monitoring records, intrusion detection, assessments, email monitoring, internet monitoring, security, application or database transactions, usage, tracking, audit)	-	After administrative value has been served

**General Records Retention Schedule for
All Public Bodies
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
14.	Master File Content Records a. Official records (These records are components of databases, database management systems, electronic document management systems (EDMS), etc and represents any content within that meets the statutory definition of a record and is not a duplicate record, transitory or retained elsewhere) b. Reference records (non-record copy - This series represents any content in a department's Master File (database, database management system, electronic document management system (EDMS), etc) that is strictly a duplicate or transitory in nature, with a record copy of the information existing elsewhere] c. Format and Control Records (configuration and setup files, installation and implementation procedures or instructions)	- - 3	Retain for the same period as required for other forms of the same records series as found on other approved retention schedules. Records must be deleted at the end of the approved retention period (ARS §41-151.12) After reference value has been served After superseded or obsolete
15.	Problem Records for Software Infrastructure	3	After problem resolved
16.	Security Records a. Records related to maintaining the security of systems and data b. Audit trail reports and records c. Computer security incident handling, reporting and follow-up records d. Password/Security Authorization Records e. Legal and Regulatory Compliance Records f. Breach Notification Records	1 5 3 2 5 -	After system superseded or obsolete After created or reported After all follow-up actions completed After created or superseded, whichever is later After created or received See Management Records General Retention Schedule for All Public Bodies

**General Records Retention Schedule for
All Public Bodies
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
17.	Test and Certification Records (including files, scripts, or instructions)	5	After created or superseded, whichever comes first

Supersedes schedule dated July 25, 2011



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to All Public Bodies
All Public Institutions of Higher Learning
Institutional Research Records**

**Schedule Number:
GS 1010**

- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes **All Arizona Community Colleges, Institutional Research**, signed November 15, 2002.

Approval Authorized by: <i>Joan Clark</i>		Date: <i>3-25-15</i>	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by: <i>[Signature]</i>		Date: <i>3/14/15</i>	
Jerry Lucente-Kirkpatrick, Records Analyst, Archives and Records Management		Archival review and approval by: <i>Melanie Sturgeon</i>	
		Date: <i>3/23/2015</i>	
		Melanie Sturgeon, State Archivist & Director, Archives & Records Management	

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All Public Bodies
All Public Institutions of Higher Learning
Institutional Research Records
GS 1010**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Cyclical Internal Reports – Final Reports	Permanent	Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.
2.	Cyclical Internal Reports – Supporting Documentation	6	After calendar year created or received.
3.	Cyclical Reports – Issued by Other Organizations	2	After calendar year received.
4.	Reports to State or Federal Government, or North Central Accreditation Association – Final Report	Permanent	Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.
5.	Reports to State or Federal Government, or North Central Accreditation Association – Supporting Documentation	6	After calendar year created.
6.	Reports to State or Federal Government, or North Central Accreditation Association – Federal Graduate Report Supporting Documentation	10	After calendar year created.
7.	Reports to Other External Organizations	3	After calendar year created.
8.	Special Internal Reports (Ad Hoc) – Final Report	Permanent	Retain per Arizona Standards for Permanent Records or transfer to State Archives when administrative value has been served.

**General Records Retention Schedule for
All Public Bodies
All Public Institutions of Higher Learning
Institutional Research Records
GS 1010**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
9.	Special Internal Reports (Ad Hoc) – Supporting Documentation	6	After calendar year created or received.




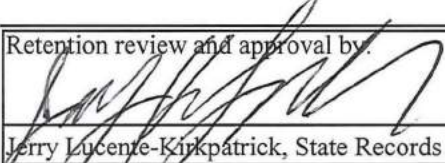
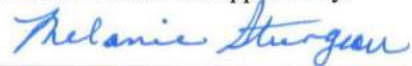
ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued to:
All State And Local Agencies
Library Records

Schedule Number:
GS 1035

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes #000-12-17, signed March 08, 2012.

Approval Authorized by:  Ted Hale, State Records Management Officer, Secretary of State		Date: 12/24/15	
Retention review and approval by:  Jerry Lucante-Kirkpatrick, State Records Manager, Secretary of State		Date: 12/24/15	
Archival review and approval by:  Melanie Sturgeon, State Archivist, Secretary of State		Date: 12/24/2015	

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All State And Local Agencies
Library Records
GS 1035**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10503.	Book Discussion Group Records Includes records of books checked out for book discussion groups.	1	After created or received.
10504.	Bookmobile Program Records Program documentation for the Preschoolers acquiring Literacy Skills (PALS) and County bookmobiles. Includes waiting lists of sites requesting service and sites currently receiving service, information brochures and schedules.	-	After administrative value has been served.
10505.	Borrowers / Cardholders / Visitor Registration Records Includes records for users of public access computers.	-	After expired, updated or obsolete.
10506.	Catalog of Collection Holdings Includes shelf lists.	-	After item referred to is removed from the collection.
10507.	Circulation Records - Borrower-Specific Confidential pursuant to ARS §41-151.22.	-	After administrative value has been served. ARS § 41-151.22.
10508.	Circulation Records - Book Title and / or Author-Specific	-	After administrative value has been served.
10509.	Community Service Records	1	After application received.
10510.	Donation / Gift Records - Added to Collection Including one-time and on-going.	-	After administrative value has been served.

**General Records Retention Schedule for
All State And Local Agencies
Library Records
GS 1035**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10511.	Donation / Gift Records - Not Added to Collection Including one-time and on-going.	-	After administrative value has been served.
10512.	Equipment Reservation / Sign-up Records	-	After administrative value has been served.
10513.	E-Rate Records Includes technology plans.	6	After fulfilled, cancelled or revoked. 47 CFR 54.516.
10514.	Incident / Accident Records Please see <i>Administrative and Management Records</i> General Retention Schedule.	-	Please see <i>Administrative and Management Records</i> General Retention Schedule.
10515.	Intra / Inter-Library Loan Records - Photocopies of Periodicals When borrowing in a manner that retains the numbers of copies of periodicals being borrowed.	3	After calendar year created. In compliance with Commission on New Technology Uses (CONTU) guidelines / copyright laws.
10516.	Intra / Inter-Library Loan Records - All Other Records	-	After administrative value has been served.
10517.	Jail Library – Patron Request Records Requests to borrow materials or for the library to purchase materials not currently owned.	-	After administrative value has been served.
10518.	Library Display / Exhibit Records - Calendar of Exhibits Displays of art or authors. Including, but not limited to, forms, inventory lists, and waivers.	10	After created.

**General Records Retention Schedule for
All State And Local Agencies
Library Records
GS 1035**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10519.	Library Display / Exhibit Records - All Other Records Displays of art or authors. Including, but not limited to, forms, inventory lists, and waivers.	3	After exhibit removed
10520.	Library History Collection Records Records regarding library buildings. Includes photographs of events and newsletters.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10521.	Special Services Machine Exchange Records Forms used to exchange machines from the Arizona Talking Book Library. Includes user name, address and phone number. Machines are owned by the Arizona Talking Book Library.	1	After equipment returned.
10522.	Statistical Records Does not include the Annual Report.	-	After cumulative update completed.
10523.	Summer Reading Program Records Records of summer reading program. Including, but not limited to, any fees charged, information on incentive prizes, lists of presenters, registration materials, and samples of handouts.	-	After administrative value has been served.

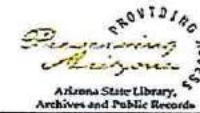
**General Records Retention Schedule for
All State And Local Agencies
Library Records
GS 1035**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10524.	Working Records for Online Catalog Includes item records downloaded from vendor or bibliographic utility databases for which local cataloging has not yet been completed.	-	After superseded or obsolete.

Supersedes schedule #000-12-17, signed March 08, 2012.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule issued to All Public Bodies
Officials Records

Schedule Number:
GS 1021

- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the required amount of time records must be kept. Records must be promptly and orderly disposed of at the end of their retention period. Keeping records for a time period other than their approved retention period is illegal. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency.
- Only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes GS 1008, signed December 05, 2014.

Approval Authorized by:		Date:	
Joan Clark		7-23-15	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by:		Date:	
Jerry Lucante-Kirkpatrick		7/13/15	
Jerry Lucante-Kirkpatrick, Records Analyst, Archives and Records Management		Archival review and approval by:	
		Date:	
		7/15/2015	
		Melanie Sturgeon, State Archivist & Records Officer, Archives & Records Management	

RECORDS MANAGEMENT CENTER

1919 West Jefferson Street • Phoenix, Arizona 85009 • <http://www.azlibrary.gov/records> • Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: records@azlibrary.gov

DEFINITIONS:

1. **"Officials"** means any person elected or appointed to hold any elective or appointive office of any public body (includes only the top three tiers of the overall public body-level Organization Chart) and any chief administrative officer, head, director, superintendent or chairman of any public body. (ARS §39-121.01) University and Community College Presidents are included under this definition.
2. **"Public body"** means this state, any county, city, town, school district, political subdivision or tax-supported district in this state, any branch, department, board, bureau, commission, council or committee of the foregoing, and any public organization or agency, supported in whole or in part by monies from this state or any political subdivision of this state, or expending monies provided by this state or any political subdivision of this state. (ARS §39-121.01)
3. **"Records"** are defined in ARS §41-151.18, and are made or received in any format, "physical form or characteristic" (paper, electronic, microform, photographs, videos, email, website, social media, tweets, etc.) and include both in-house and out-sourced records creation and storage.
4. **Records created by Officials and Public Bodies**, in the course of their official business and public duties, belong to the public (the state). They are not the sole and private property of the individual(s) creating, receiving or disseminating the records. (ARS §41-151.15)
5. **Because records belong to the public (the State)**, records created or received by Officials and Public Bodies in the course of their official business and public duties cannot be removed during their tenure or when they leave office and / or given away to private organizations, historical societies, libraries, and so on. When the Officials and Public Bodies no longer wish to retain their permanent records, especially historical records, these records should be transferred to the State Archives, which is the Depository of official archives. (ARS §41-151.09)
6. **Permanent and Historical Records**
Permanent records are records that have enduring, historical or research value that are retained permanently in an office or in the Arizona State Archives after a period of active use. Records are considered permanent if they have enduring administrative, fiscal or legal value to government or if they possess significant secondary research value beyond those for which they were created. Permanent Records are also known as Historically Significant, Historical or Archival Records.

Please see our Guidance on Permanent and Historical Records, located at the following link:
<http://www.azlibrary.gov/arm/guidelines-standards-and-statutes>

Whenever and wherever the Arizona State Library, Archives and Public Records (LASPR) refer to **Permanent Records**, the following are explicitly included:

- 1) Permanent Records are any records in which the retention period is listed as **"Permanent"** on an approved Retention Schedule (General or Custom), or deemed historical records. Any and all Permanent Records shall be strictly processed, retained, maintained and preserved per the

Arizona *Standards for Permanent Records*, located at the following link:
[http://www.azlibrary.gov/sites/azlibrary.gov/files/arm-standard-for-permanent-records april 23 2013 signed.pdf](http://www.azlibrary.gov/sites/azlibrary.gov/files/arm-standard-for-permanent-records%20april%2023%202013%20signed.pdf).

- 2) Any public body, or their vendor, that processes, retains, maintains and preserves their own Permanent Records, must strictly follow the Arizona *Standards for Permanent Records*. **There are no exceptions.**
- 3) Sometimes a record series may not have a permanent retention period, but some records within that series may become permanent records when they are impacted by local or national events or issues. These records become historical when they:
 - Document a controversial issue
 - Document a program, project, event or issue that results in a significant change affecting the local community, city, county or state
 - Document a program, project, event or issue that involves prominent people, places or events
 - Document a program, project, event or issue that resulted in media attention locally, statewide or nationally
- 4) If records, at the time of their destruction, are deemed to be non-historical, based upon the appropriate considerations, records series / retention period, then there will not be an issue if such records might be deemed historical at some point in time after they have been destroyed.

Examples of historical records may include, but are not limited to, the following:

- 1) Evolving core values, duties or missions of a state or local agency. Examples include changes within the Child Protective Services Division evolving into a new agency, or the Medical Marijuana program beginning and impacting local law enforcement and regulatory agencies.
- 2) Current or recent issues and events. Any of these may become controversial topics and/or topics of interest. You will recognize many of these issues, especially if you suddenly get a large number of letters, calls or e-mails expressing a concern in opposition or support of an issue. Some examples include Government Employee Retirement Plans and Stadium issues, but may also include some of the following subjects:
 - Abortion
 - Alternative fuels
 - Environmental issues
 - Fiscal concerns
 - Forests, wildfires and forest management
 - Freeways or highway
 - Gambling and casinos
 - Gay rights
 - Gun control
 - Illegal immigration
 - Important landmarks
 - Land and development issues
 - Legalization of drugs
 - Protests
 - Terrorism or terrorists
 - Water issues
 - Welfare issues (for or against)

**General Records Retention Schedule for
All Public Bodies
Officials Records**

10147.	<p>Accomplishments, Awards, Opinions, Orders, Priority Statements, and Proclamations Records – Historical Some of these records can be found on official websites or social media sites.</p> <p>Historical Records meet the definition / description of the “<i>Permanent and Historical Records</i>” statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10148.	<p>Accomplishments, Awards, Opinions, Orders, Priority Statements, and Proclamations Records – Non Historical Some of these records can be found on official websites or social media sites.</p>	4	After calendar year created.
10149.	<p>Activity / Progress / Statistical Reports and Performance Measurement Records These are reports submitted to Officials by Departments / Divisions they oversee within the public body. These records include weekly or monthly reports, status reports, metrics, benchmarks and other oversight and compliance records but don’t include official annual report.</p>	3	After calendar year created or received.
10150.	<p>Appointment Calendar / Schedule Records - Historical Records documenting the scheduling of meetings and public events that involve the Official.</p> <p>Historical Records meet the definition / description of the “<i>Permanent and Historical Records</i>” statement listed under the Definitions section of this</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

Joan Clark, Director 
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10151.	<p>Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p> <p>Appointment Calendar / Schedule Records – Non Historical Records documenting the scheduling of meetings and public events that involve the Official.</p>	-	<p>After term in office / appointment / position ends.</p> <p>This applies only to full-time Officials. All others, please use the following Schedules: GS 1018, Administrative and Management Records, Records Series #10269; or GS 1003, Public Information and Marketing Records, Records Series #10022.</p>
10152.	<p>Biographic Statement Records Some of these records can be found on websites or social media sites.</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10153.	<p>Constituent Correspondence Records – Historical Includes correspondence between any member of the public, organization or business, and an Official, including, but not limited to, citizen comments and complaints. Historical records meet the definition / description of the “<i>Permanent and Historical Records</i>” statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records:</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

Ted Hale, State Records Management Officer *T. H.*
Arizona State Library, Archives, and Public Records

GS 1021
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**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
	Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes		
10154.	Constituent Correspondence Records – Non Historical Includes correspondence between any member of the public, organization or business, and an Official, including, but not limited to, citizen comments and complaints.	2	After calendar year created or received.
10155.	Events Records – Historical Records that document the planning for an event, the event itself, and any records related to or in response to the event, and includes presentation materials and handouts, registration and attendance lists, reports, and schedules of speakers and activities. Historical Records meet the definition / description of the “ <i>Permanent and Historical Records</i> ” statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10156.	Events Records – Non Historical Records that document the planning for an event, the event itself, and any records related to or in response to the event, and includes presentation materials and handouts, registration and attendance lists, reports, and schedules of speakers and activities.	2	After calendar year created or received.

**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10157.	Executive Correspondence Records Correspondence to or from an Official that sets or discusses policies.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10158.	Inauguration Records Records that document the planning for an inauguration, the inauguration itself, and any records related to the inauguration, including video. These Inauguration Records apply only to inaugurations that occur outside of a regularly scheduled Board, Council or Committee meeting.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10159.	Lobbying Records These are records that are created or received by the Official, including accounting of hours.	5	After calendar year created or received.
10160.	Press Release Records – Historical News releases and "News room" records that document significant events involving an Official, and may include news and communications to the public. Historical Records meet the definition / description of the " <i>Permanent and Historical Records</i> " statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10161.	Press Release Records – Non Historical News releases and "News room" records that document significant events involving an Official, and may include news and communications to the public.	2	After calendar year created or received.
10162.	Publications Publications produced by Official or their Office including, but not limited to, audits, brochures, budgets, capital improvement plans, comprehensive plans, newsletters, pamphlets, transportation studies and other published reports.	1	<p>After superseded or obsolete.</p> <p>If you are an Official of a State Agency, please: Send two (2) paper copies to the following address: Library, Archives and Public Records, State Library of Arizona, State Docs 1700 W Washington Ste #300 Phoenix, AZ 85007.</p> <p>and</p> <p>Send electronic copy to research@azlibrary.gov.</p> <p>If you are an Official of a Local Agency, please Send one (1) hardcopy to the following address: Arizona State Archives, Attn: Arizona Collection 1901 W. Madison St. Phoenix, AZ 85009.</p> <p>ARS §41-151.08.</p>

**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10163.	<p>Speeches / Major Statement Records – Historical Speeches, addresses and other comments of historical value that document significant events of the Official and / or public body during ceremonies, interviews and other public meetings.</p> <p>Records meet the definition / description of the “<i>Permanent and Historical Records</i>” statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10164.	<p>Speeches / Major Statement Records – Non Historical Speeches, addresses and other comments that document events of the Official and / or public body during ceremonies, interviews and other public meetings.</p>	2	After calendar year created or received.
10165.	<p>Transition Records – Historical These records document the transition from the incumbent official to the official-elect. These are records created by the incumbent official, and provided to the official-elect and their administration.</p> <p>Records may include reports, recommendations, working group records, budget records, press releases and other briefing materials. Also includes any continuing projects or issue-related records begun by the incumbent and inherited by the official-elect, which were completed or finalized by the incumbent administration.</p> <p>Records meet the definition / description</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.

**General Records Retention Schedule for
All Public Bodies
Officials Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10166.	<p>of the "<i>Permanent and Historical Records</i>" statement listed under the Definitions section of this Schedule, in accordance with LAPR Guidance on Permanent and Historical Records: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p> <p>Transition Records – Non Historical These records document the transition from the incumbent official to the official-elect. These are records created by the incumbent official, and provided to the official-elect and their administration. Records may include reports, recommendations, working group records, budget records, press releases and other briefing materials. Also includes any continuing projects or issue-related records begun by the incumbent and inherited by the official-elect, which were completed or finalized by the incumbent administration.</p>	1	After calendar year official-elect takes office.

Supersedes schedule GS 1008, signed December 05, 2014.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



**General Records Retention Schedule Issued to:
All Public Bodies
Purchasing and Procurement Records**

**Schedule Number:
GS 1032**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered by State and Local Agencies when there is a compelling need to retain records for a longer period of time than the approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** **This schedule supersedes Purchasing/Procurement Records Schedule 000-11-54, signed August 30, 2011.**

Records Analyst, Secretary of State: Timothy Provenzano	State Records Management Officer, Arizona State Archives & Records Management Center: Dr. Ted Hale
<i>Records Series Electronically Approved in RSM Database</i>	<i>Records Series Electronically Approved in RSM Database</i>
Assistant Director of Archives: Dennis Preisler, Ph.D.	
<i>Records Series Electronically Approved in RSM Database</i>	

RECORDS MANAGEMENT CENTER

1919 West Jefferson Street • Phoenix, Arizona 85009 • <http://www.azlibrary.gov/records> • Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: records@azlibrary.gov

Revised: December 14, 2015

INTRODUCTION

A record series is a group of related records filed and/or used together as a unit and therefore evaluated as a unit for retention and disposition purposes. A records retention schedule is a comprehensive list of record series, indicating for each the length of time the series is to be maintained and its disposition.

The *State of Arizona's General Records Retention Schedule (GS)* accounts for the management and disposition of state agency and all public bodies' record series that are common to all across the state. In addition, there are units on campus that have record series that are unique to their operations and therefore have a *Custom Records Retention Schedule (CS)* in addition to the *General Schedule*. All schedules, general or custom, are developed by the Arizona State Archives and Records Management Branch in consultation with state agencies and public body representatives.

All appointed Records Officers (ROs) and employees who create and manage records must familiarize themselves with the *General Schedule*, and have an understanding of what records – (*paper-based and electronic*) - they create and/or receive and are required to manage.

If an agency or public body identifies record types that do not map to the *General Schedule*, the organization should contact the Arizona Records Management Records Analysts to discuss the possibility of adding item to a schedule.

DISPOSITION

This schedule is used in conjunction with the [Certificate of Records Destruction](#). All records disposed under this schedule must be reported on the [Certificate of Records Destruction](#), unless [transferred to the Arizona State Archives](#).

As authorized under [ARS §41-151.19](#), ...A report of records destruction that includes a list of all records disposed of shall be filed at least annually with the state library on a form prescribed by the state library. Failure to comply with these procedures is a violation of [ARS §41-151.19](#)

RETENTION TERMINOLOGY

Record retention periods can either be a set period of time or it can be an event-driven period. Below is an explanation of retention period terminology:

Active: This retention period indicates that the final disposition clock does not start until the active period is over.

Example: Strategic Plans must be retained Active + 1 year; after a new strategic plan is adopted the final 1 year of retention begins.

- **Life of Building:** This retention period is similar to "Active+" but pertains specifically to buildings. The final retention period begins when a building is destroyed or sold.
- **Until Superseded:** This retention period pertains to documents that are routinely updated and therefore superseded by the current version.
- **Permanent:** This retention period pertains to records that are required to be maintained permanently. Arizona defines permanent as having retention of 500 years.
- **Transient:** Documents including telephone messages, some emails, drafts and other documents, which serve to convey information of a temporary value, have a very short lived administrative, legal and/or fiscal value and should be disposed in an appropriate manner once that administrative, legal or fiscal use has expired. Typically the retention is not a fixed period of time and is event driven; it maybe as short as a few hours and could be as long as several days or weeks.

IS EMAIL A RECORD? WELL THAT DEPENDS...

...what we have to understand is that email is not a record type or series, but is a means of conveying information similar to the Unites States Postal Service. As such, its retention is based upon the content of the email message, not the fact that it is an email message.

WHAT IS EMAIL?

An email (electronic mail) message is comprised of the following components:

- textual message
- metadata (To, From, Subject, Time, Date, System, etc.)
- attachments

As such, each component is part of the record or non-record, as the case may be. In many instances, email has taken over the role of "general correspondence" and memorandums, as well as the telephone message. If an email message meets the criteria of a record, it must be managed as such, with as much effort, and vigilance as one would a "traditional" record, *however, keep in mind there are only a small percentage that we have to manage for any significant period of time.*

EMAIL MANAGEMENT

The key to effectively managing email is to get rid of the non-records and any transient/transitory records that have outlived their administrative/legal/fiscal value as quick as possible so that one is left with a small percentage, of what they have sent and/or received, that truly needs to be managed on an on-going basis. One should approach the management of email in a manner similar to how they handle processing their "snail mail" at work and home:

- Open the email and review the document's content; this may mean thoroughly reading the document, but more often than not, one is able to judge just by a cursory look at the document, the subject line, and/or the sender:
- ***If it is a non-record***, one should delete the message outright, just as one would dump the "snail mail" non-record into the trash can or recycle bin;
- ***If it is a transient/transitory record***, then place it in a folder or sub-folder (analog or digital) that is designated for periodic review and dispose of as soon as allowable. One might create a "Transient/Transitory" folder or create sub-folders of record type/series or projects for the transient/transitory messages.
- ***If it is a record***, place it in an appropriate folder by record type/series, project, retention time, or other filing schema that works for one's office/organization and allows that unit to effectively manage the life cycle of the record.

Categorizing and managing email is much more straightforward when we utilize intelligent and information rich "Subject Lines". Additionally, some simplistic subject lines like, "Hi!" are treated as SPAM or a potential virus containing email. Below are several examples of bad subject lines, along with good alternative subject lines that are more meaningful:

Bad: Minutes

Good: Minutes Executive Committee 20070630 OR Minutes Executive Committee June 30, 2007

Bad: Available?

Good: SIS Project Meeting Tuesday (7/4) @ 2PM - Are you available?

Bad: Meeting

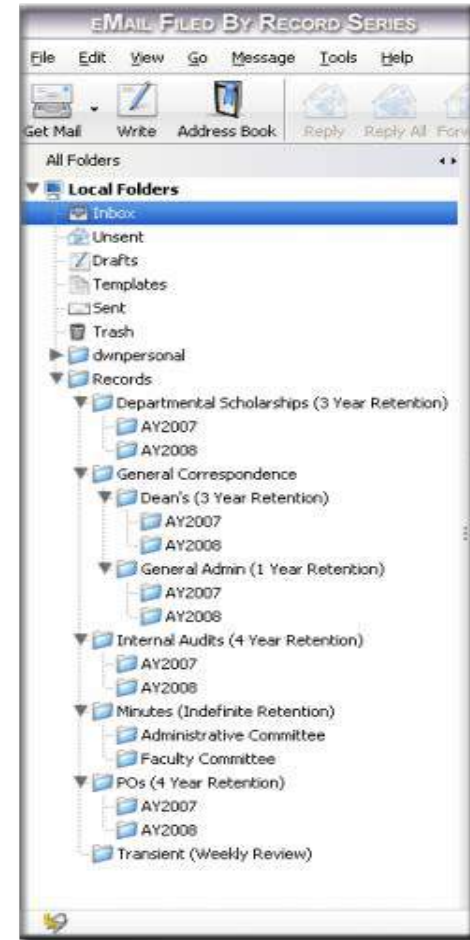
Good: Seismic Project Meeting Tuesday (7/4) @ 2PM - Agenda Attached

Bad: Email Question

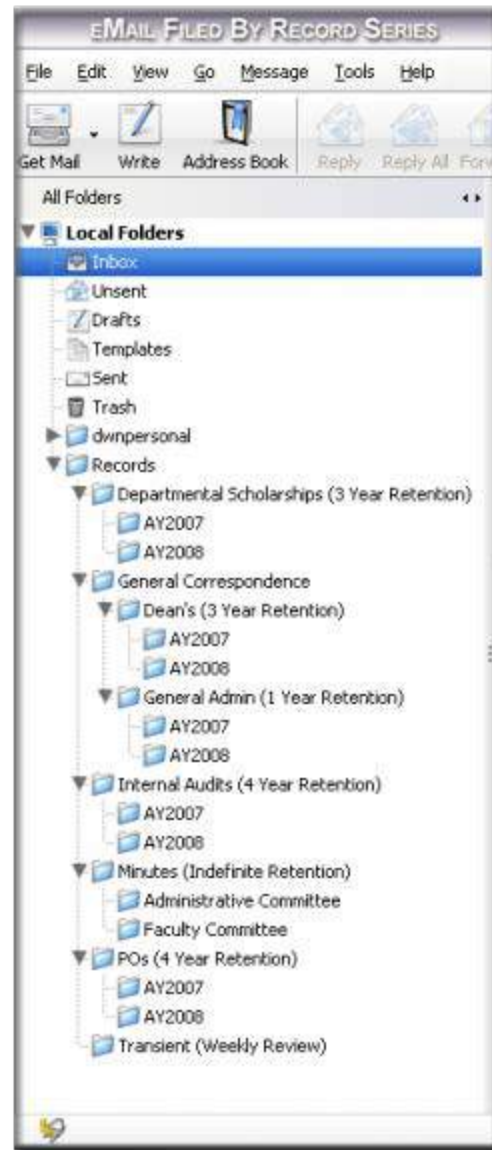
Good: Need advice regarding email management.

Below are three images that conceptually demonstrate examples of email filing schema:

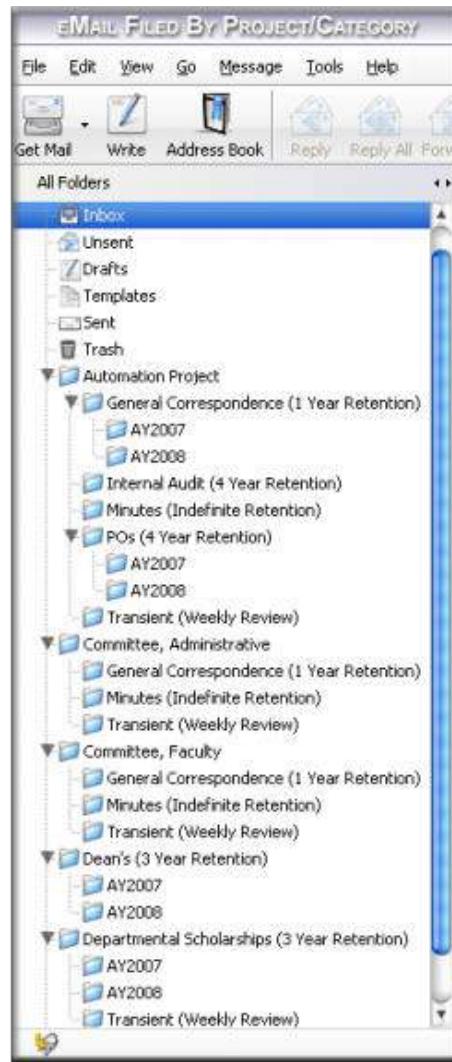
Example 1: the email is stored in folders labeled with retention time (as per Arizona's General Schedules) as the highest level in the hierarchy;



Example 2: the email is stored in folders labeled with record series (as per Arizona's General Schedules) as the highest level in the hierarchy;



Example 3: the email is stored in folders labeled with project names and/or categories as the highest level in the hierarchy.



**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

07/24/2017

Record Series Number	Record Series Title	Description	Retention (Years)	Retention Remarks	Legal Citation(s)
21075	Cancelled Formal Solicitation Records		1 Year	After cancelled.	ARS § 41- 2539; ARS § 41-2550
21072	Contract and Agreement Records - Capital/Fixed Assets, Construction, Lease Purchase of Equipment, and Real Estate	<p>This record series includes the current contract, amendments, and any subsequent determinations or notices and the awarded vendor solicitation records, including notices of publication.</p> <p>Contracts may contain any of the elements listed in 48 CFR 4.803 – “Contents of contract files.”</p> <p>Including, but not limited to, agreements, contracts, intergovernmental agreements (IGA), leases, memorandum of agreement (MOA), memorandum of understanding (MOU), and mutual/automatic aid/cooperative purchasing supporting documentation.</p> <p>If an item within the contract file is listed elsewhere on an approved retention schedule with a longer retention period, retain the item according to the longer period.</p> <p>For Purchase Orders, please refer to Financial Records Retention Schedule GS 1017.</p>	3 Years	After disposal of asset but not less than 6 years after asset acquired.	ARS § 12-548, ARS § 41-2550, 48 CFR 4.803

**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

07/24/2017

Record Series Number	Record Series Title	Description	Retention (Years)	Retention Remarks	Legal Citation(s)
52997	Contract and Agreement Records - Equipment Lease (No Purchase), Goods, Individual Employment and Services	<p>This record series includes the current contract, amendments, and any subsequent determinations or notices and the awarded vendor solicitation records, including notices of publication.</p> <p>Contracts may contain any of the elements listed in 48 CFR 4.803- "Contents of contract files."</p> <p>Including, but not limited to, agreements, contracts, intergovernmental agreements (IGA), leases, memorandum of agreement (MOA), memorandum of understanding (MOU), and mutual cooperative purchasing supporting documentation.</p> <p>If an item within the contract file is listed elsewhere on an approved retention schedule with a longer retention period, retain the item according to the longer period.</p> <p>For Purchase Orders, please refer to Financial Records Retention Schedule GS 1017.</p>	6 Years	After cancelled , fulfilled, or revoked.	ARS § 12-548, ARS §41-2550, 48 CFR 4.803

**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

07/24/2017

Record Series Number	Record Series Title	Description	Retention (Years)	Retention Remarks	Legal Citation(s)
21074	Late Received Responses to Formal Solicitation Records		-	Responses received late may be returned to vendor unopened. If not returned, retain until administrative value is served.	ARS § 41-2550
53070	Oral and Written Quotations: All Other Public Bodies	For purchases for which a contract is not required.	3 Years	After fiscal year created or received.	
53069	Oral and Written Quotations: State Agencies	For purchases for which a contract is not required.	5 Years	After fiscal year created or received.	
21078	Protest Records	If filed separately from contract or solicitation records.	3 Years	After fiscal year resolved.	

**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

07/24/2017

Record Series Number	Record Series Title	Description	Retention (Years)	Retention Remarks	Legal Citation(s)
21076	Registered Vendor List Records	<p>Vendors are persons or companies offering something for sale.</p> <p>This record is a current listing of vendors offering to provide goods and services to the state or local agency.</p> <p>Including, but not limited to, name and address of vendor and description of goods and services offered.</p>	-	After superseded or obsolete.	ARS § 41-2535 , ARS § 41-2550
52999	Unsuccessful Solicitation Records	Includes the entire record of the Solicitation. Including, but not limited to: certificates of insurance, notice of publication, protests, recap sheets, responses to solicitation terms, renewals and scores.	3 Years	After award.	ARS §§ 41-2501-2706, ARS § 12-548, ARS § 41-2550

**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

07/24/2017

Supersedes Purchasing/Procurement Records Schedule GS 000-11-54 dated 8/30/2011. Revisions include:

RS#1 is the original record series# from schedule 000-11-54.	#21072 is the database record series number	Status: RS #1 & #21072 Updated <i>Comment: RS title and description updated for GS 1032.</i>
RS#2 is the original record series# from schedule 000-11-54.	#21073 is the database record series number	Status: RS #2 & #21073 Retired <i>Comment: See Record Series #52999 on GS 1032.</i>
RS#3 is the original record series# from schedule 000-11-54.	#21074 is the database record series number	Status: RS #3 & #21074 Updated <i>Comment: RS title and retention updated for GS 1032.</i>
RS#4 is the original record series# from schedule 000-11-54.	#21075 is the database record series number	Status: RS #4 & #21075 Updated <i>Comment: RS title and retention updated for GS 1032.</i>
RS#5 is the original record series# from schedule 000-11-54.	#21076 is the database record series number	Status: RS #5 & #21076 Updated <i>Comment: RS title and description updated for GS 1032.</i>
RS#6 is the original record series# from schedule 000-11-54.	#21077 is the database record series number	Status: RS #6 & #21077 Retired <i>Comment: General Schedule Applies: GS 1017 Item #s 10055, 10056, 100057.</i>
RS#7 is the original record series# from schedule 000-11-54.	#21078 is the database record series number	Status: RS #7 & #21078 Updated <i>Comment: Item is now #21078 on GS 1032. Retention changed from 5 years after fiscal year resolved to 3 years after fiscal year resolved.</i>

**General Retention Schedule for:
All Public Bodies
Purchasing and Procurement Records
GS 1032**

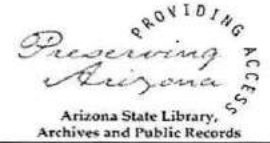
07/24/2017

Supersedes Purchasing/Procurement Records Schedule GS 000-11-54 dated 8/30/2011. Revisions include:

RS#8 is the original record series# from schedule 000-11-54.	#21079 is the database record series number	Status: RS #8 & #21079 Retired <i>Comment: General Schedule Applies: GS 1017 Item #s 10055, 10056, 100057.</i>
RS#9 is the original record series# from schedule 000-11-54.	#21080 is the database record series number	Status: RS #9 & #21080 Retired <i>Comment: This record series has been replaced by items # 53070 and 53069 for GS 1032.</i>
RS#10 is the original record series# from schedule 000-11-54.	#21081 is the database record series number	Status: RS #10 & #21081 Retired <i>Comment: No longer needed per committee discussion.</i>
-	# 52997 is the database record series number.	Status: RS #52997 New <i>Comment: New Record Series created for GS 1032.</i>
-	# 53070 is the database record series number.	Status: RS #53070 New <i>Comment: New Record Series created for GS 1032.</i>
-	# 53069 is the database record series number.	Status: RS #53069 New <i>Comment: New Record Series created for GS 1032.</i>
-	# 52999 is the database record series number.	Status: RS #52999 New <i>Comment: New Record Series created for GS 1032.</i>



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued to All Public Bodies Public Information and Marketing

Schedule Number:
GS 1003

- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes, all or in part, series from the following schedules: *Electronic Communications, Social Networking and Website Records*, 000-12-22, approved 03/08/2012; *Public Information /Marketing Records, Community College*, approved 11/15/2002; *Civic, Convention, and Cultural Facilities and Visitors' Bureau Records*, 000-12-44, approved 6/11/2012.

Approval Authorized by:  Joan Clark, State Librarian and Director, Library, Archives & Public Records		Date: 9-11-2014	
Retention review and approval by:  Carey Clifton-Myers, Records Specialist, Archives and Records Management	Date: 9/11/2014	Archival review and approval by:  Melanie Sturgeon, State Archivist & Director, History, Archives & Records Management	Date: 9/11/2014

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All Public Bodies
Public Information and Marketing Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10018.	Advertising and Outreach Records Records that document the promotional efforts of the public body and its services; may include books, budgets, and reports providing demographic information on visitors; and consumer and marketing leads.	2	After created or received.
10019.	Audio/Video Records – Historical Records of historical value that document significant activities and productions of the public body for publicity and educational purposes; may include final television and radio programs, scripts, edited and unedited tapes, raw footage and other related records.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10020.	Audio/Video Records – Non Historical Records of non-historical value that document routine events or activities of the public body and productions for publicity and educational purposes; may include edited and unedited tapes, raw footage and other related records.	-	After reference value has been served.
10021.	Broadcast Logs Records that document the daily broadcast activities of the public body radio station or television channel; may include log sheets, program delays, daily announcers, technical difficulties, and other digital broadcast records.	2	After calendar year created.

**General Records Retention Schedule for
All Public Bodies
Public Information and Marketing Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10022.	Calendar of Public Events Records that document the scheduling of public meetings and events of the public body; may include meeting planners and tour and travel guides and planners.	2	After calendar year created.
10023.	Distribution Lists Contact lists; may include Friends and Fans lists, listservs, email contacts, and mailing lists.	-	After superseded or obsolete.
10024.	Public Events Records-Historical Records of historical value that document a significant event; includes presentation materials and handouts, registration and attendance lists, reports, and schedules of speakers and activities.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10025.	Public Events Records-Non Historical Records of non-historical value that document an event, or the planning thereof, and any records related to or in response to the event; may include applications, certificate/proof of insurance, materials on planning and arrangements, participant evaluations, permits, presentation materials and handouts, registration and attendance lists, reports, and schedules of speakers and activities.	2	After calendar year created or received.

Joan Clark, Director 
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for
All Public Bodies
Public Information and Marketing Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10026.	Graphic Art Records that document the major representation of the public body and its services; includes final versions of logos, trademarks, branding, seals and posters. Final artwork for temporary programs or minor projects is not required.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10027.	Photographs – Historical Records of historical value that document significant activities, events, and staff of the public body; may include negatives, clips, scrapbook material, and logs records.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10028.	Photographs – Non Historical Records of non-historical value that document activities, events, and staff of the public body; may include negatives, clips, scrapbook material, and logs records.	2	After calendar year created or received.
10029.	Press Releases – Historical News releases and “News room” records of historical value that document significant events of the public body; may include news and communications to the public.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10030.	Press Releases – Non Historical News releases and “News room” records of non-historical value; may include news and communications to the public.	2	After calendar year created or received.

Joan Clark, Director 
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for
All Public Bodies
Public Information and Marketing Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10031.	Public Service Announcements Records that document communications required for the safety and wellbeing of the public; may include commercials, consumer protection alerts, emergency communications, news recordings, public notices, public safety announcements and radio broadcasts.	2	After calendar year created or received.
10032.	Rights and Reproduction Records Records that document the use of photographs, video, and music; may include access conditions, copyright logs, notice of intention to obtain compulsory license and compulsory license, model and photo release forms, ownership records, and permissions.	-	<p>After rights material has ended.</p> <p>For student records maintain until superseded or 4 years after fiscal year of last attendance.</p> <p>Confidentiality: Additional measures may be required for photo releases of school children younger than 18 years of age. Resources to consider include: address confidentiality programs, Child Protective Services requirements; Family Educational Rights and Privacy Act (FERPA), Individuals with Disabilities Education Act (IDEA), licensed childcare providers (i.e. DES, Health Services) requirements, school or school district policies, and witness protection programs.</p>

**General Records Retention Schedule for
All Public Bodies
Public Information and Marketing Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10033.	Social Networking Administrative & Technical Records Format and control records; may include, CEO/CIO approval records, marketing plan, registration records, and social networking matrix.	1	After superseded or obsolete.
10034.	Speeches – Historical Speeches, addresses and other comments of historical value that document significant events of the public body during ceremonies, interviews and other public meetings.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served. See also: <i>Officials Records Schedule</i> (GS 1001) for elected or appointed officials or any chief administrative officer, head, director, superintendent, or chairman of any public body. ARS §39-121.01.
10035.	Speeches – Non Historical Speeches, addresses and other comments of non-historical value that represent the public body during ceremonies, interviews and other public meetings.	2	After calendar year created or received.



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



General Records Retention Schedule Issued to All Public Bodies
All Public Institutions of Higher Learning
Undergraduate Admissions Records

Schedule Number:
GS 1011

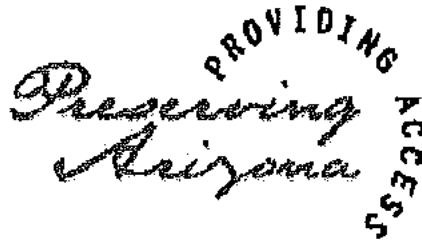
- Authority:** Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule, contact the Records Management Center to request a change to the retention period.
- Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes #000-12-29, signed February 13, 2012.

Approval Authorized by: <i>Joan Clark</i>		Date: <i>3-25-15</i>	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by: <i>[Signature]</i>	Date: <i>3/14/15</i>	Archival review and approval by: <i>Melanie Sturgeon</i>	Date: <i>3/23/2015</i>
Jerry Lucante-Kirkpatrick, Records Analyst, Archives and Records Management		Melanie Sturgeon, State Archivist & Director, Archives & Records Management	

RECORDS MANAGEMENT CENTER

**General Records Retention Schedule for
All Public Bodies
All Public Institutions of Higher Learning
Undergraduate Admissions Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Correspondence Other than applications and application supporting documents.	2	After beginning of semester applied for.
2.	Routine Admissions Office Records Including, but not limited to, non-matriculated students' admissions records, credit / non-credit approvals, and athletic eligibility records.	-	After administrative value has been served or after allowed by federal regulation, whichever is later.
3.	Undergraduate Admission Appeal Records Including appeal letters and supporting documentation.	2	After beginning of semester applied for.
4.	Undergraduate Application Records – Admitted / Enrolled Students Including applications, transcripts and test scores.	-	Transfer to Registrar's Office upon enrollment.
5.	Undergraduate Application Records – Admitted / Not Enrolled Students Including applications, transcripts and test scores.	1	After beginning of semester applied for.
6.	Undergraduate Application Records – Students Not Admitted Including applications, transcripts and test scores.	1	After beginning of semester applied for.




Arizona State Library, Archives and Public Records

General Records Retention Schedule for All Public Bodies Warehouse/Supply Records

Schedule Number:
000-12-35

Authorization and Approval

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.



Lisa Maxwell, Director
Records Management Division
Arizona State Library, Archives and Public Records

Date Approved: April 29, 2012

**Records Retention Schedule for
All Public Bodies
Warehouse/Supply Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Physical Inventory Records (for supplies/consumables and all other assets including tag records, count sheets, control records or logs, property listings and other related records)	3	After fiscal year created or received
2.	Supplies/Consumables Acquisition Records (including acquisition lists and reconciliations expenditures to acquisitions)	3	After fiscal year property disposed of
3.	Supplies/Consumables Control Records (including lost/stolen reports; obsolete/damaged items listings; transfer records; disposition records including sales, trade-ins, and catastrophic loss; and other related records)	3	After fiscal year created or received
4.	Supplies/Consumables Disposal Records (including disposal lists, disposal authorization, auction/sale records and other related records)	3	After fiscal year property disposed of

Supersedes schedule dated January 31, 2011