

***Division of the Budget (DOB) Operations Manual Item E-015,  
Records Management Procedures, Appendix A:  
Records Series Titles & Retention & Disposition Guidelines***  
Pursuant to New York State Archives

Title	Number	Retention	Final Disposition
<b>A. Agency-Wide</b>			
<b>1. Budget Formulation:</b> Records documenting development of annual Executive Budget, including: Agency Budget Requests; Agency Annual Technology Plans; Budget Messages; Policy and Technical Memoranda relating to Budget development; Article VII and Budget bills (including 30/21-day amendments); legislative negotiation records and cut/add lists; briefing materials; Budget recommendations; Budget hearing records; Executive Budget books; Budgetmaking calendar (BSU maintains final Budgetmaking forms for Director and Governor); formal Budgetmaking correspondence and memos; analysis; final Budgetmaking IBS (including BMS) reports; and miscellaneous Budget Formulation records.	20702	Six years from end of fiscal year covered by Budget.  Retain in Unit two years followed by four years at State Records Center.	Transfer to State Archives.
<b>2. Budget Execution:</b> Records documenting implementation of Budget, including: Certificates of Approval; financial plans; Local Assistance formulas; Local Assistance contracts; installment purchases; real estate leases; vehicle utilization/purchases; credit card usage; client caseload/census/service utilization reports; Public Employee Safety and Health Act (PESHA) problem	20703	Six years from end of fiscal year covered by Budget.  Retain in Unit two years followed by	Destroy.

\*Starred records series added by State Archives

1/08.

Title	Number	Retention	Final Disposition
resolution analysis; formal Budget Execution correspondence and memos; and miscellaneous Budget Execution records.		four years at State Records Center.	
<b>3. Capital Projects/Construction Management:</b> Records documenting DOB's monitoring and oversight of fiscal and budgetary impact of agency capital projects and construction, including: Capital Budget requests and preparation information; Capital Plans; Capital Project approvals; Capital financing/bond documents; debt reports; repayment agreements; Capital Certificates of Approval and Transfer; and miscellaneous Capital records.	20704	Six years from completion of project.  Retain in Unit two years followed by four years at State Records Center.	DOB selects records of historical interest for transfer to State Archives. Destroy rest.
<b>4. Agency Personnel Actions:</b> Records documenting DOB's oversight of agency personnel actions, including: maintenance transactions; Budget Director Approvals (BDAs); DOB exemptions and waivers; online NYSTEP reports; special compensation; staff/client ratios; and miscellaneous agency personnel action records.	20705	Two years from end of fiscal year.  Retain in Unit two years.	Destroy.
<b>5. Correspondence:</b> Incoming and outgoing correspondence, including: correspondence referred from Governor's Office; correspondence referred from Budget Director; correspondence referred from DOB's FOIL Office; work-related articles, speeches and presentations; and miscellaneous correspondence not appropriate for filing in other Unit files.	20706	Two years from end of calendar year. Governor's Office is Office of record for Governor's Correspondence. Executive Office is Unit of record for all other correspondence.	Destroy.

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		Retain in Unit two years.	
<b>6. Audit Review and Clearance:</b> Records relating to audits of State agencies, including: State Comptroller's audit reports and responses; New York City Comptroller's audit reports; Single Audits and management letter reports; related records concerning agency audits.	20707	Two years from end of fiscal year.  Retain in Unit two years.	Destroy.
<b>7. Legislation:</b> Records documenting monitoring of proposed legislation relevant to DOB's responsibilities, including: agency legislative proposals/Departmentals (official copy is maintained by Governor's Office); Ten-Day bills, memos and analysis; reports from Legislative Retrieval System (LRS); background records; related correspondence/memos; and miscellaneous legislative records.	20708	Two years from end of legislative session. Governor's Office is Office of record for Departmentals. BSU is Unit of record for all other legislative records.  Retain in Unit two years.	Destroy.
<b>8. General Agency:</b> General files maintained by DOB for records and information on State agency activities, including: monthly, quarterly or yearly agency reports; analysis of agency reports and activities; State Plans prepared by agencies; general agency files; and miscellaneous agency records.	20709	Two years from end of fiscal year.  Retain in Unit two years.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>9. Agency Contract/Consultant Services:</b> Records concerning DOB's monitoring of contracts, consultant services and Memoranda of Understanding (MOUs) entered into by State agencies, including: Request for Proposals (RFPs) and related background documentation; vendor bids and documentation; contracts; contract administration records; consultant reports; and miscellaneous contract/consultant services records.</p>	20710	<p>Six years after completion of consultant service or agreement.</p> <p>Retain in Unit two years followed by four years at State Records Center.</p>	Destroy.
<p><b>10. Litigation:</b> Records documenting monitoring of litigation relevant to agencies or DOB, including: agency and court documents; case summaries; reports; analysis; correspondence/memos regarding class action suits, constitutional challenges, State-aid law suits, land claims and other types of litigation; and miscellaneous litigation records.</p>	20711	<p>Two years after settlement of case. Identify and retain records of continuing value until no longer needed.</p> <p>Retain in Unit two years.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>11. Special Program/Project Issues:</b> Reports, analyses, correspondence, memos, clippings and other records concerning special programs, policies and issues relevant to Unit responsibilities, such as: School Aid formulas; Revenue Sharing/Local Aid; Welfare Reform; Cash Management; Property Tax studies; Local Financing; Mandate Relief; Special Appropriations; Medicaid Rate Methodology and Appeals; Facility Reimbursement Rates; Special Unit Studies; and miscellaneous Special Issues.	20712	Six years from end of calendar year or completion of project.  Retain in Unit two years followed by four years at State Records Center.	Destroy.
<b>12. Federal Relations:</b> Records concerning Federal government activities relevant to Unit responsibilities, including: Federal reports; Federal correspondence; forms and records concerning Federal budgets; forms and records concerning Federal funding; litigation; and miscellaneous Federal records.	20713	Two years from end of fiscal year.  Retain in Unit two years.	Destroy.
<b>13. Personal Work:</b> Files maintained for convenience of individual employee (as contrasted with files retained as evidence of official policies, actions, decisions or transactions), including: duplicate copies of reports; analysis; memos/notes; drafts; and miscellaneous work not appropriate for maintenance in DOB's corporate or official files.	20714	After end of calendar year or when no longer needed.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>14. Unit Personnel Administration:</b> Unit copies of records concerning Unit staff, including: applications/resumes; appointment approvals; annual work plans; job descriptions; tuition reimbursement records; probationary reports; travel and reimbursement records; time and attendance records; disciplinary records; commendations; promotion approvals; orientation files; position reclassification actions; seminar/conference records; and miscellaneous Unit personnel records.	90001	One year after completion or resolution of personnel action. ATU is Unit of record.  Retain in Unit one year.	Destroy.
<b>15. Unit General Administration:</b> Records maintained by Units for office administration, including: copies of fiscal records; purchase orders; mailing lists; assignment rosters; and miscellaneous administrative records.	90127	Until obsolete or no longer needed for administrative purposes. ATU is Unit of record for DOB fiscal records.  Retain in Unit.	Destroy.
<b>16. * Minutes, Agendas, Meeting Files and Recordings of Governing Bodies and Advisory Committees:</b> Records of those governing and advisory bodies of State agencies that are subject to Open Meetings Law (Public Officers Law, 100-111), including: meeting minutes, agendas, meeting or background files developed for use at or in conjunction with meetings; and audio, video, webcast or electronic recordings.	90372	Five years after meeting for paper or e-documents; four months after meeting for electronic recordings.  Retain in Unit.	Transfer paper or e-documents to State Archives. Destroy electronic recordings.
<b>B. Budget Services Unit</b>			

Title	Number	Retention	Final Disposition
<p><b>1. Executive Budget Legislation:</b> Draft and final versions of: appropriation bills; Article VII bills; emergency bills; Departmental Proposals/memoranda; 30/21-day bills/amendments; and related correspondence, memoranda and analytical records.</p>	20715	<p>Ten years from end of fiscal year. BSU is Unit of record.</p> <p>Retain in Unit four years followed by six years at State Records Center.</p>	Destroy.
<p><b>2. Constitutional Issues Reference:</b> Reference copies of records concerning constitutional issues affecting State's Budget process, including: court records; court decisions; and miscellaneous court action records.</p>	20716	<p>Cumulative documents should be kept on site indefinitely to insure access for frequent historical reference and needs.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>3. General State Charges:</b> Records concerning General State Charges for Budgetmaking, Budget negotiations and program issues, including: correspondence; Budget projections and related records concerning such areas as Social Security and health insurance; and miscellaneous General State Charges records.</p>	20720	<p>Six years from end of fiscal year. Identify and retain records of continuing value until no longer needed.</p> <p>Retain in Unit two years followed by four years at State Records Center.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>4. State Financial Plan:</b> Records documenting development of State's annual Financial Plan and quarterly updates and Annual Information Statements (AIS).	20740	Ten years after end of fiscal year.  Retain in Unit ten years.	Transfer to State Archives.
<b>C. Transportation, Economic Development, Environment and Energy</b>			
<b>1. State-Related Public Authority Bond Programs:</b> Documents relating to State programs financed by bonds issued by a public authority, including: management of Industrial Development Bond Cap; reports; correspondence; analysis; and related records.	20722	Six years from end of fiscal year.  Retain in Unit three years followed by three years at State Records Center.	Destroy.
<b>2. Tax Equity and Fiscal Responsibility Act (TEFRA) Certificates:</b> Files documenting Division review of proposed TEFRA certificates verifying that authorities have complied with Federal Internal Revenue Service (IRS) guidelines concerning issuance of tax-exempt bonds.	20723	Six years from end of bond issuance.  Retain in Unit three years followed by three years at State Records Center.	Destroy.
<b>3. Cost-Recovery Charges:</b> Records documenting calculation of cost-recovery charges for general State government services (pursuant to Section 2975 of Public Authorities Law [PAL]); notifications to Department of Taxation and Finance authorizing	20724	Three years after authority payments.  Retain in Unit three years.	Destroy.



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State Treasurer to bill authorities for indicated amounts; waivers granted to individual authorities; and reports to Legislature.			
<b>4. Long Island Power Authority (LIPA) Audit Selection:</b> Records documenting DOB's role in selecting an outside auditor for LIPA (pursuant to Section 1020-W of PAL), including: bid documents; Requests for Proposals (RFPs); scoring documents; and related records concerning auditor selection.	20725	Six years after end of selected firm's term as auditor.  Retain in Unit six years.	Destroy.
<b>5. Public Authority Control Board (PACB) Secretariat:</b> Records documenting DOB's role as secretariat for PACB, including: approval applications for construction projects, land acquisition and bonding projects; Board resolutions approving or disapproving proposed projects; Board minutes; and voter designation letters.	20726	Two years after end of calendar year.  Retain in Unit two years.	Send to State Archives.
<b>6. Public Authorities Board Briefing:</b> Records documenting staff review of action items to be voted on by various public authority boards, including analyses and reports prepared for use by Budget Director and other Division staff.	20727	Five years after end of calendar year.  Retain in Unit two years followed by three years at State Records Center.	Destroy.

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<p><b>7. Industrial Access Program:</b> Records regarding Industrial Access Program, in which the State participates in various capital projects in cooperation with local governments and private entities to improve facilities such as railroad spurs and access roads.</p>	20728	<p>Six years after repayment of State funds used to support improved industrial access.</p> <p>Retain in Unit two years followed by four years at State Records Center.</p>	Destroy.
<p><b>8. Thruway Authority Bond Programs:</b> Records documenting DOB's review and approval of Department of Transportation (DOT) reimbursements for capital expenditure projects from Thruway Authority bond proceeds, including: DOB requests to DOT for eligible projects lists; requests to Thruway for bond funds; disbursements; and related bond records.</p>	20729	<p>Six years after completion of Division review and subsequent disbursement of funds by Thruway Authority.</p> <p>Retain in Unit two years followed by four years at State Records Center.</p>	Destroy.

\*Starred records series added by State Archives 1/08

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<b>9. Last Resort Housing Analysis:</b> Records documenting process through which DOT obtains DOB approval for settlement payments for real estate taken as part of State highway improvement projects, including: DOT justifications for proposed settlements; and DOB review/approval of justifications.	20730	Six years after completion of land acquisition settlement.  Retain in Unit two years followed by four years at State Records Center.	Destroy.
<b>10. Port Authority of NY and NJ:</b> Records documenting DOB's review of minutes of Port Authority Board and subsequent recommendations to Governor.	20731	Ten years after end of calendar year.  Retain in Unit five years followed by five years at State Records Center.	Destroy.
<b>D. Economics and Revenue Unit</b>			
<b>1. Econometric Data Analysis and Models:</b> Records documenting preparation of fiscal projections used in developing annual Executive Budget, including: agency reports; projection data/data files; spreadsheets; data analyses; tax and revenue projection models; and miscellaneous records.	20721	End of fiscal year or when no longer needed, whichever is longer.	Destroy.
<b>E. Expenditure/Debt Unit</b>			
<b>1. State Financial Plan:</b> Records documenting development of State's annual Financial Plan and quarterly updates, including: fiscal analysis; projections; reports; correspondence and memos; Annual Information Statements (AIS); forecasts of receipts/disbursements; and cash flow development and monitoring.	20740	Ten years after end of fiscal year.  Retain in Unit ten years.	Transfer to State Archives.

Title	Number	Retention	Final Disposition
<b>2. Financial Markets Updates:</b> Daily updates providing information on current financial markets.	20741	One year after receipt.  Retain in Unit one year.	Destroy.
<b>3. Capital Program/Debt Management/Bonding:</b> Capital program and Financial Plan records, including: debt reduction; Local Government Assistance Corporation (LGAC); debt service; bond information; Capital projects tables, spreadsheets, graphs and printouts; and miscellaneous Capital/debt records.	20742	Six years after completion of transaction, capital project or bond deal. Identify and retain records of continuing value until no longer needed.  Retain in Unit two years followed by four years at State Records Center.	Destroy.
<b>4. State Comptroller's (OSC) Reports:</b> Various fiscal reports prepared by OSC concerning status of State finances.	20743	Five years after end of fiscal year. Identify and retain records of continuing value until no longer needed.  Retain in Unit five years.	Destroy.

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<b>5. Sweeps and Transfer Legislation and History:</b> Records relating to litigation initiated by Bankers Association concerning State's appropriation legislation of 1993, including: legislation; reports; correspondence; and miscellaneous related Article VII legislation/subsequent litigation.	20744	Fifteen years after conclusion of litigation.  Retain in Unit ten years followed by five years at State Records Center.	Destroy.
<b>F. Mental Hygiene Unit</b>			
<b>1. State/Non-Profit Reimbursement Rate Records:</b> Records documenting formulation and approval of reimbursement rates and methodologies, including: reimbursement rates appeals records; individual State and non-profit facilities transactions documentation; and analysis/backup of State reimbursement methodology.	20747	Twenty years after completion of action to approve or disapprove reimbursement rate or related action.  Retain in Unit 20 years.	Destroy.
<b>2. Collective Bargaining:</b> Records concerning DOB's role in collective bargaining issues and negotiations that impact State Budget, including: union demands; State positions; negotiating notes; Memoranda of Understanding (MOU's); legislation implementing contracts; costing charts; enacted union contracts; and miscellaneous collective bargaining records.	20717	Ten years from beginning of a new contract.  Retain in Unit ten years.	Transfer to State Archives.
<b>3. Fringe Benefits and Indirect Costs:</b> Records concerning indirect cost rates, including: Statewide Cost Allocation Plan (SCAP) development; fringe benefit and indirect cost billing rates; records concerning Federal approval of SCAP; and miscellaneous fringe benefits/indirect cost records.	20718	Ten years from approval of cost rates. Identify and retain records of	Destroy

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		continuing value until no longer needed.  Retain in Unit five years followed by five years at State Records Center.	
<b>4. Statewide Personnel and Labor Relations:</b> Records concerning Statewide personnel and labor relations issues, including: reclassifications; reallocations; hiring rates; overtime waivers; parking issues; seasonal position issues; retirement incentive plans; salary plans; pensions; and miscellaneous personnel and labor relations issues.	20719	Six years from end of fiscal year. Identify and retain records of continuing value until no longer needed.  Retain in Unit two years followed by four years at State Records Center.	Destroy.
<b>G. Executive Office/Communications Office</b>			
<b>1. Director's Subject and Correspondence:</b> Correspondence, memos, reports, analyses and related records concerning issues and topics relevant to DOB's responsibilities, such as: local government; revenue; AIDS; Medicaid; interactions with the Governor's Office and Legislature; DOB operations/policies; and other issues. Also includes copies of Director's incoming/outgoing correspondence with the Governor, legislative officials, local governments.	20733	Five years after end of calendar year.  Retain in Unit two years followed by three years at State Records Center.	Transfer to State Archives.
<b>2. Director's Unit Files:</b> Copies of correspondence, including Director's and Governor's Correspondence, received by Director	20734	Five years after end of calendar year.	Transfer to State Archives.

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and forwarded to units for preparation of a response; copies of responses and any additional records relevant to correspondence.		Retain in Unit two years /three years at State Records Center.	
<b>3. Director's Agency Files:</b> Documentation of Director's interactions with State agencies, including State colleges and universities, such as: correspondence/memoranda; news releases; reports; and miscellaneous records.	20735	Five years after end of calendar year.  Retain in Unit two years followed by three years at State Records Center.	Transfer to State Archives.
<b>4. Director's Federal Files:</b> General information and communications, reports and related records concerning Federal activities of potential impact to New York State.	20736	Five years after end of calendar year.  Retain in Unit two years followed by three years at State Records Center.	Transfer to State Archives.
<b>5. Director's Budget Process Files:</b> Director's records relating to development of annual State Budget, including: analyses and	20737	Five years after end of calendar year.	Transfer to State Archives.

Title	Number	Retention	Final Disposition
projections; Budgetmaking forms; internal communications/reports; negotiation process; and miscellaneous related Budget Process records.		Retain in Unit two years followed by three years at State Records Center.	
<b>6. Director's Approvals (BDAs):</b> Copies of Director's approvals/disapprovals of agency exempt employee hiring requests.	20738	One year from approval/disapproval. Line Unit is Unit of record.  Retain in Unit one year.	Destroy.
<b>7. State Agency Proposed Rule Review:</b> Records concerning DOB review of proposed agency rules, as required by Executive Order Number 20 of 1995.	20739	One year after completion of Division review.  Retain in Unit one year.	Destroy.
<b>8. Freedom of Information Law (FOIL) Subject Matter and Employee Lists:</b> Pursuant to FOIL (Section 87, Public Officers Law), DOB copy of subject matter lists, lists of record systems or file categories. Lists of name, public office address, title and salary of every officer or employee of an agency are generated as needed from DOB's electronic database.	90330	Six months after being superseded by updated lists.  Retain in Unit six months.	Destroy.
<b>9. Freedom of Information Requests and Appeals:</b> Formal requests for access to agency records under FOIL filed by the	90331	Two years after access is provided;	Destroy.



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public, press or agencies; DOB responses to requests; and appeals in situations where access to records is denied. Also includes training materials and related records.		retain appeals until no longer needed for administrative reference.  Retain in Unit two years.	
<b>10. DOB Press Releases:</b> Copies of press releases developed and issued by Press Office on various topics related to DOB and its responsibilities.	90336	Two years after end of calendar year.  Retain in Unit two years.	Transfer to State Archives.
<b>11. Press Office Subject:</b> Alphabetical files concerning various DOB-related topics on which Press Office maintains information to assist with public relations and press functions, such as: press clippings; correspondence; and reports.	90339 (Public Information Subject Files)	Three years after end of calendar year. Identify and retain records of continuing value until no longer needed.  Retain in Unit three years.	Destroy.
<b>12. Press Office VIP:</b> Copies of press releases issued by major State government officials, including: Governor, Lt. Governor, legislative leadership, State Comptroller, Attorney General or agency heads.	90339 (Public Information Subject Files)	Two years after end of calendar year.  Retain in Unit two years.	Destroy.

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<b>13. Press Office Executive Budget Information:</b> Records and information related to development of annual Executive Budget, including: press releases; fact books; and miscellaneous records.	90339 (Public Information Subject Files)	Five years after enactment of budget.  Retain in Unit five years.	Destroy.
<b>14. Press Office Day Books:</b> Copies of outgoing correspondence sent by Press Office.	90339 (Public Information Subject Files)	Two years after end of calendar year.  Retain in Unit two years.	Destroy.
<b>15. Press Office Speech:</b> Copies of speeches presented by Director of Budget at various public functions and related material, including: speeches/talking points; charts/presentation material; background information; press clippings concerning speech/event; and miscellaneous related materials.	20732	Until end of Director's term.  Retain in Unit for Director's term.	Transfer to State Archives.
<b>H. Affirmative Action and Reasonable Accommodation</b>			
<b>1. Affirmative Action and Reasonable Accommodation Plans and Procedures:</b> Plans, policies and procedures developed by DOB to establish and support affirmative action, reasonable accommodation and related human rights goals in compliance with State and Federal requirements.	90211	Three years after superseded.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>2. Recruitment Plans and Reports:</b> Records documenting procedures, search committees, job advertising, recruitment and outreach plans, screening criteria, statistics on applicants, and related records created to document compliance with DOB affirmative action policies and plans.	90212	Four years after each search is completed.  Retain in Unit.	Destroy.
<b>3. Affirmative Action Program Report:</b> Copies of reports prepared by DOB affirmative action and related human rights programs for oversight agencies (e.g., Department of Civil Service, U. S. Office of Civil Rights) regarding DOB policies, programs and activities.	90213	Three years after filing.  Retain in Unit.	Destroy.
<b>4. Affirmative Action and Reasonable Accommodation Subject Files:</b> Records including: correspondence; memoranda; copies of reports, articles, policies and procedures; summary records regarding requests for reasonable accommodations; copies of regulations; and related materials arranged by subject and used to administer DOB's affirmative action, reasonable accommodation and related human rights programs regarding recruitment; career planning; community relations; discrimination; sexual harassment; cultural diversity; and related topics.	90214	Three years after creation or when superseded, whichever is later.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>5. Affirmative Action and Reasonable Accommodation Case Files:</b> Copies of affirmative action, sexual harassment and or human rights grievances made by employees; requests for reasonable accommodations; and records of resolution of grievances and requests. Case files may also include: correspondence; exhibits; tape recordings; depositions; notes; transcripts; agency decisions; appeals to the Division of Human Rights; appeals to Department of Civil Service's Compliance Review Board; arbitration decisions; and State and other Federal court litigation records.</p>	90215	<p>Three years after resolution.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>6. Outreach Program Records:</b> Records of affirmative action programs directed toward providing a greater degree of participation of protected class individuals in workforce, including: applications; decisions and awards; program descriptions; publications; participant duty descriptions; and related correspondence and reports.</p>	90216	<p>Three years after action on application or discontinuance of program.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>7. Minority and Women-Owned Business Development Annual Agency Goal Plans:</b> DOB copies of yearly plans filed with DOB of Minority and Women's Business Development (MWBD) indicating goals to promote business opportunities for minority and women-owned businesses.</p>	90325	<p>One year after submission of plan or when superseded, whichever is later.</p> <p>Retain in Unit.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>8. Minority and Women-Owned Business Development</b> <b>Subject Files:</b> Records used to support administration of DOB's MWBD Program, arranged by subject, including: correspondence; memoranda; internal policies and procedures; contractor complaints and resolutions; statistical reports; vendor materials; bidder information; and articles and related records on business development, entrepreneurship, technical assistance and related topics.	90328	Three years after creation or when superseded, whichever is later.  Retain in Unit.	Destroy.
<b>I. Administrative and Information Technology Services Unit</b>			
<b>1. Administration</b>			
<b>a. Contract Administration</b>			
<b>1. Purchase/Accounts Payable Records Related to Agency-Let Contracts:</b> Request for Proposal (RFP) process records; Comptroller's contract approvals; contracts; correspondence; and related records.	90126	Six years after contract expires.  Retain in Unit two years followed by four years at State Records Center.	Destroy.
<b>2. Contract Compliance Monitoring:</b> Reports submitted by contractors used to monitor contractor implementation of affirmative action and equal employment opportunity programs.	90327	Six years after contract expires.  Retain in Unit six years.	Destroy.

Title	Number	Retention	Final Disposition
<b>3. Cancelled Bids Records:</b> Records pertaining to bids for goods or services which were cancelled without an award being made, including: purchase requisitions and justifications; vendor solicitations; RFP's; price quotations; and related records.	90367	One year after award of contract or decision not to purchase.  Retain in Unit one year.	Destroy.
<b>b. Financial Administration</b>			
<b>1. Paycheck Log Records:</b> Employee's name, line number, and indication that employee received a paycheck.	90027	Six months following last entry date.  Retain in Unit six months.	Destroy.
<b>2. Employee Travel Payment Records:</b> Employee requests for reimbursement or payment of expenses for State-related travel, including: encumbrance records; requests for travel advance; travel vouchers; justifications; and various supporting records.	90119	Three years after payment or overpayment is returned, whichever is later.  Retain in Unit.	Destroy.
<b>3. Daily Journal Reports:</b> Eight journal reports generated from NYS Central Accounting System, including: Revenue; Appropriation; Segregation; Refund of Appropriation Expenditure; Encumbrance; Expenditure; Expenditure Adjustment; and Disbursement.	90123	Six months from receipt of report.  Retain in Unit six months.	Destroy.

\*Starred records series added by State Archives 1/08

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<p><b>4. Payment Bank Account:</b> Records of bank transactions for payments, including: bank statements; listings of deposits; cancelled checks; cancellations of payment; bank reconciliations; check stubs; bad check advices; schedules of outstanding checks; and other statements, documents and records reflecting status of accounts relating to status of petty cash, travel expenses and escrow payments.</p>	90125	<p>Three years after payment.</p> <p>Retain in Unit three years.</p>	Destroy.
<p><b>5. Minority and Women-Owned Business Contractor Quarterly Compliance and Utilization Reports:</b> Copies of quarterly reports filed with Division of Minority and Women's Business Development (MWBD) regarding utilization of minority and women's businesses in procurement and work force information as provided in reports submitted to DOB by contractors.</p>	90326	<p>One year after submission of report.</p> <p>Retain in Unit one year.</p>	Destroy.
<p><b>6. *Vendor and State Contracts Vendor Reference:</b> Information on supplies, equipment, computer hardware and software, and other products and their vendors, including: price lists; vendor evaluations; and related records.</p>	90376	<p>Three years from contract award.</p> <p>Retain in Unit three years.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>c. Fiscal Administration/Budget Execution</b>			
<b>1. Fiscal Administration General Subject and Correspondence:</b> Records used to support general agency fiscal management, including: correspondence; memoranda; reports pertaining to Budget preparation, purchasing and general fiscal matters; and internal fiscal policies and procedures.	90100	Three years after creation.  Retain in Unit three years.	Destroy.
<b>2. State Fiscal Policies and Procedures:</b> Memoranda, rules, orders, procedural instructions, regulations, bulletins, notices and any other instructions issued by OSC, DOB, OGS or other control agencies which are directive in nature or explain policies or procedures relating to fiscal and administrative responsibilities of DOB's fiscal office.	90101	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>3. Budget Certificates of Approval:</b> Certificates issued by DOB authorizing expenditure of allocated funds.	90102	Two years after lapse of funds.  Retain in Unit two years.	Destroy.
<b>4. Routine Internal Status and Activity Reports:</b> Internal statistical and narrative reports on routine operations and functions of DOB's fiscal office, including weekly, monthly and quarterly reports used for operations, management analysis and planning.	90103	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>5. Non-routine Financial Reports and Studies:</b> Reports and studies created for fiscal, accounting and administrative review or analysis by DOB, another State agency, a Federal agency or an external party, including: equity and escrow reports; fringe benefit studies; facility usage reports; cost comparison studies; sales reports; investment practice studies; and other special reports or studies.	90104	Three years after creation.  Retain in Unit three years.	Destroy.



Title	Number	Retention	Final Disposition
<b>6. Accounting/Fiscal Status Reports:</b> Accounting and fiscal reports generated from OSC's NYS Central Accounting System reflecting status of appropriations/segregations, expenditures, disbursements and receipts.	90121	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>7. End of Fiscal Year Status Reports:</b> Includes five end-of-year status reports generated from OSC's NYS Central Accounting System as follows: BUD 049 Appropriation/Segregation Accounts including Lapse; BUD 060 Cost Center Status by Segregation; CTL 470 Expenditure Analysis; LED 010 Appropriation/Segregation Ledger Abstract; and LED 040 Fund/Subfund Ledger.	90122	Three fiscal years after fiscal year covered by report.  Retain in Unit.	Destroy.
<b>d. Staffing</b>			
<b>1. Personnel Subject and Correspondence:</b> Records used to support general personnel administration, including: reports, memoranda and correspondence pertaining to employee benefits; health insurance; retirement; Personnel Council; Civil Service administration; and personnel policies and procedures.	90005	Until obsolete or superseded.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>2. Classification:</b> Records of position classifications and allocations for all Civil Service classified titles, including: requests to Department of Civil Service (CS) for new positions; changes to existing positions and reallocations; duty statements; title and salary plans; correspondence; and background material regarding classification of Civil Service and appointed positions.</p>	90007	<p>Ten years after position is reclassified, reallocated or eliminated, whichever comes first.</p> <p>Retain in Unit ten years.</p>	Destroy.
<p><b>3. Civil Service Centralized Eligible List Certification:</b> Records for job titles common to more than one agency and for which CS has administered examination process and maintains full eligible list, including: copies of CS-certified eligible lists; canvass letters; responses to canvass; and other records related to canvasses for appointment from lists.</p>	90008	<p>Four years after personnel action.</p> <p>Retain in Unit four years.</p>	Destroy.
<p><b>4. Decentralized Eligible List Certification:</b> Records for DOB-specific job titles which are filled by DOB-administered promotional or open competitive examinations under CS's decentralized examination program, including: DOB-certified eligible lists; canvass letters; responses to canvass letters; geographic preference information; and other records pertaining to canvasses for appointment from lists.</p>	90009	<p>Four years after expiration of list.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>5. Examination Development:</b> All records relating to development and preparation of a CS examination, including: proposed training and evaluation rating schedules; examination scope records; proposed examination questions; and justification documentation for examination.</p>	90010	<p>One year after subsequent exam is developed.</p> <p>Retain in Unit.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>6. Examination Administration:</b> All records relating to administration of DOB's decentralized examinations, including: examination announcements; correspondence with candidates; examination applications; copies of examinations; lists of candidates; examination rating sheets; examiners' comments; records documenting rating criteria; examination results; and related documentation.	90011	Four years after expiration of list.  Retain in Unit.	Destroy.
<b>7. Employment Eligibility Verification Forms:</b> Immigration and Naturalization Service Form I-9 completed by DOB for every employee hired after November 6, 1986, verifying that employee is a U.S. citizen or is otherwise legally authorized to work in the United States, including paper, electronic, digital or microfilm version or copy of form and related records.	90031	Three years after termination.  Retain in Unit.	Destroy.
<b>8. Personal Privacy Records Access Requests and Appeals:</b> Requests filed under provisions of Personal Privacy Protection Law for access to records pertaining to them, agency responses to requests and appeals in situations where access is denied.	90333	One calendar year after created.  Retain in Unit.	Destroy.
<b>9. Requests for Records Amendments or Corrections and Appeals:</b> Requests filed under provisions of Personal Privacy Protection Law to amend or correct personal information contained in agency records, agency responses to those requests and appeals in situations where request is denied.	90334	One calendar year after created.  Retain in Unit.	Destroy.
<b>10. *Recruitment, Hiring, Interview and Selection:</b> (including Employment Inquiry, 90006): DOB records related to hiring, promotion, demotion, transfer, layoff and termination of employees, including: job announcements; correspondence; reports; selection criteria; interview notes; rating and ranking forms; evaluations; and/or records.	90381	Four years after completion of personnel action.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>11. *Employee Assistance Program:</b> Records of programs to assist employees with personal problems or concerns through information, assessments, referrals and or services, including: case files of services provided to employees; reports and statistical compilations; and related records.</p>	90382	<p>Three years after completion of service for case files; three years after end of calendar year for other records.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>12. *Employee Ethics:</b> Records documenting employee compliance with State Ethics Code (Section 74, Public Officers Law) and ethics requirements (Sections 73 and 73-a, Public Officers Law), including: memoranda to employees of ethics requirements; employee requests to receive honoraria or travel reimbursement; reports to Commission on Public Integrity regarding employee honoraria received; employee requests to engage in outside activities and requests to exempt employees or positions from financial disclosure requirements; notices of adjudicatory actions; and related correspondence, reports and other records.</p>	90383	<p>Seven years after employee separation.</p> <p>Retain in Unit.</p>	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>e. Personal History Files</b>			
<b>1. Personal History Files:</b> Records related to an individual's employment history with DOB, including: applications; resumes, appointment letters; probation reports; performance evaluations; disciplinary actions; veterans status certifications; employee information forms; memoranda and correspondence related to employee; health insurance enrollment and declination records; retirement system declination forms; survivors benefit information; Family and Medical Leave Act (FMLA) leave requests; requests for military leave; and copies of final employee time card/sheets.	90001	Six years after employee separation. For disciplinary actions, ten years after resolution, or six years after separation.  Retain in Unit two years followed by four years in State Records Center.	Destroy.
<b>2. Personal Privacy Impact Statements:</b> Copies of privacy impact statements and notices filed by DOB with Committee on Open Government in compliance with Personal Privacy Protection Law listing records systems which contain personally identifiable information and indicating their impact on personal privacy.	90332	Six months after superseded.  Retain in Unit.	Destroy.
<b>3. *Personnel Transaction Forms:</b> Forms and related records used to process routine personnel transactions, including: transfers; promotions; salary adjustments; leaves; and similar personnel actions.	90380	Three years after completion of transaction.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>4. *Personal Information Disclosure:</b> Lists documenting disclosure of records containing personal information, including: date, nature and purpose of each disclosure and name and address of person or governmental unit to whom each disclosure is made.</p>	90387	<p>Five years after disclosure of information or after life of record is disclosed, whichever is longer.</p> <p>Retain in Unit.</p>	Destroy.
<b>f. Benefits and Health Insurance Administration</b>			
<p><b>1. Health Insurance:</b> Records of employees' health insurance transactions, including: forms and related records concerning enrollment; deferred health coverage; statements of disability; and related matters.</p>	90012	<p>Six years after separation.</p> <p>Retain in Unit two years followed by four years in State Records Center. Separate and retain any records related to any legal actions pending before the end of the 6 year period.</p>	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>2. Workers' Compensation:</b> Records concerning workplace injuries and illnesses and subsequent Workers' Compensation claims filed by employees, including: a record of all injuries or occupational illnesses prepared pursuant to Section 110 of Workers' Compensation Law; copies of documents filed with or received from Workers' Compensation Board or State Insurance Fund concerning injury/illness and any subsequent compensation claim; and related correspondence and other records.	90015	Eighteen years after injury/illness or eight years after final payment.  Retain in Unit.	Destroy.
<b>g. Payroll Administration</b>			
<b>1. Employee Attendance and Leave:</b> Time and attendance cards/sheets; overtime certification sheets; vacation exchange; and or records used to account for time, attendance; and time accruals information.	90003	Three fiscal years after document is submitted.  Retain in Unit two years followed by one year at State Records Center.	Destroy.
<b>2. Employee's Withholding Allowance Certificates:</b> Federal W-4 and New York State IT-2104 forms completed by DOB employees indicating employee's authorized deductions for Federal and State tax.	90016	Four years after tax due date.  Retain in Unit.	Destroy.
<b>3. Payroll Preprocessing Reports:</b> Reports generated by payroll office to ascertain accuracy of payroll information before payroll is sent to OSC and CS, such as listings of incomplete or inaccurate Payroll and Personnel Transaction Forms (PR75s).	90017	Until payroll is generated.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>4. Biweekly Payroll Processing:</b> Agency copies of Payroll and Personnel Transaction Form (PR75), Payroll Deduction Form and Transmittal Certification Form (PR76), and other records sent to OSC and CS to update biweekly payroll.	90018	Three fiscal years after update.  Retain in Unit.	Destroy.
<b>5. Biweekly Payroll Listings (OSC Salary Registers):</b> OSC salary registers sent to DOB listing biweekly payroll.	90019	One fiscal year after end of payroll period.  Retain in Unit.	Destroy.
<b>6. Payroll Deduction and Direct Deposit:</b> Forms and related records authorizing deductions for: credit unions; savings bonds; union dues; insurance; individual retirement accounts; deferred compensation; parking; charitable contributions and other purposes; and records authorizing direct deposit of paychecks at designated banks or other financial institutions.	90032	Three years after deduction is no longer in effect or last deposit is made.  Retain in Unit.	Destroy.
<b>h. Training</b>			
<b>1. Course Information:</b> Memoranda, flyers, catalogues and other records related to specific training courses, including: course content; program registration; instructor; credits/hours; and roster of agency registrants.	90020	Until obsolete or superseded.  Retain in Unit three years.	Destroy.



Title	Number	Retention	Final Disposition
<b>2. Course Registration Processing:</b> Employees' application and enrollment records for courses, including: employee data forms; course applications; and supervisors' and training officers' authorizations or denials.	90021	Six years after employee separation. Keep employee training sign-in sheets indefinitely for administrative reference.  Retain in Unit six years.	Destroy.
<b>3. Employee Training History:</b> Records of an employee's training courses registered for and completed, and beginning and completion dates.	90022	Six years after employee separation.  Retain in Unit six years.	Destroy.
<b>4. Tuition Reimbursement Program:</b> Tuition reimbursement records, including: application; determination of coursework relatedness; and reimbursement computation forms.	90023	Six years after employee separation.  Retain in Unit two years followed by four years at the State Records Center.	Destroy.
<b>i. Parking/Building Pass</b>			
<b>1. Parking Permit Application:</b> Applications and waiting lists for parking spaces.	90284	Six months after parking space is assigned.  Retain in Unit.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>2. Parking Permit Assignment:</b> Records of parking space assignments, including: name of authorized user; permit number; and location of assigned space.	90285	Six months after permit is cancelled or superseded by a new permit.  Retain in Unit.	Destroy.
<b>3. Building Pass:</b> Records documenting issuance and cancellation of building passes, including: applications for temporary and permanent passes; copies of passes; lists of individuals with valid passes; records of revocations or cancellations; and correspondence and memoranda.	90304	Three years after passes are cancelled or become invalid; cancelled or expired passes are destroyed immediately.  Retain in Unit.	Destroy.
<b>j. Facilities Management</b>			
<b>1. Facility Maintenance Work Order Files and Logs:</b> Records documenting requests for facility and physical plant system (heating, ventilation, air conditioning) maintenance work, and records of work completed.	90277	Three years after completion of work.  Retain in Unit.	Destroy.
<b>2. Tenant Records:</b> Records documenting negotiations for and completion of leases for office space and or facilities, records of subsequent communications with landlords, and other records related to tenancy, including: copies of leases; correspondence; lease approvals from control agencies; copies of fiscal documents; and requests for maintenance or repairs.	90280	Six years after expiration of lease or final payment.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>3. Space Allocation Planning Files:</b> Space allocation plans and related documentation, including: copies of requests; estimates of space; justification of needs; specifications; copies of building diagrams and floor layouts; and supporting documentation sent to OGS.	90282	Until revised.  Retain in Unit.	Destroy.
<b>4. Facility Management Subject Files:</b> Records used to support facility management, arranged by subject, consisting of: correspondence and memoranda; reports; manuals; copies of policies and procedures; and related records.	90287	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>k. Equipment, Supplies and Motor Vehicle Management</b>			
<b>1. Equipment and Furniture Inventories:</b> Running inventories of equipment such as audiovisual equipment, tools and furniture that describe each item of property, indicate its location, and provide cumulative totals of each type of agency-owned or leased equipment and furniture.	90265	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>2. Supplies, Commodities and Parts Inventories:</b> Running inventories used to manage stocks of expendable materials such as: office supplies, commodities and parts describing materials and indicating current stock balances.	90266	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>3. Equipment Control:</b> Records documenting use of equipment such as portable computers and projectors, and charge-out of such equipment to Units or individuals, used to prevent misuse, abuse or theft.	90267	Three years after equipment is returned.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>4. Equipment and Motor Vehicle Maintenance:</b> Records documenting service and repairs to equipment or motor vehicles assigned to or owned by DOB, including: maintenance orders; logs; copies of fiscal documents such as requisitions or purchase orders for parts or services; warranties; and operation and repair manuals and parts lists.	90268	Three years after sale or transfer.  Retain in Unit.	Destroy.
<b>5. Agency Copies of Centralized Motor Vehicle Assignment:</b> Records documenting assignment of motor vehicles by OGS, Division of Statewide Vehicle Management, including: requests for assignment of vehicle; assignments; reports to OGS on vehicle use, gasoline consumption and lubricant consumption; credit card charges; and copies of fiscal documents such as oil or gas purchasing receipts.	90270	Three years after end of vehicle assignment.  Retain in Unit.	Destroy.
<b>6. Agency Copies of Decentralized Motor Vehicle Assignment:</b> Records documenting agency assignments of motor vehicles to employees, including: requests for assignments; assignment and use logs; and reports.	90271	Three years after end of vehicle assignment.  Retain in Unit.	Destroy.
<b>7. Vehicle Incident Records:</b> Reports and supporting materials documenting accidents, thefts or incidents involving State-owned vehicles.	90272	Five years after filing of report.  Retain in Unit.	Destroy.
<b>8. Surplus Property Disposition:</b> Copies of records that identify surplus property, expedite its transfer to OGS, Bureau of Surplus Personal Property Disposition, or other disposition, and track disposition of property, including: requests for disposal of surplus property; receipts; and copies of OGS reporting forms and supporting documentation that describe property being disposed of and provide information on proposed method of disposition.	90273	Three years after property has been disposed of.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>9. Fixed Assets Inventory:</b> Copies of records documenting purchase and ownership of property meeting criteria for fixed (capital) assets, such as: all building renovations costing over \$100,000; equipment costing over \$40,000, including all input forms supplied by agencies to OGS, or, when data is supplied in electronic form, copies of data input documents; and copies of purchase orders, vouchers, surplus property forms or other records related to purchase and disposition of property.	90274	Three fiscal years after disposal of associated property.  Retain in Unit.	Destroy.
<b>10. Agency Copies of Fixed Assets Update Reports:</b> Copies of computer-generated reports sent by OGS documenting changes to assets under Statewide Fixed Assets Accounting System.	90275	Destroy after receipt of updated fixed assets report from OGS.  Retain in Unit.	Destroy.
<b>11. Agency Copies of Fixed Assets Reinventory Reports:</b> Reports issued by OGS detailing all fixed assets currently documented in Statewide Fixed Assets Accounting System.	90276	Three years after superseded by new report.  Retain in Unit.	Destroy.
<b>12. Supplies, Commodities and Parts Disbursement:</b> Records documenting disbursement of office supplies, commodities, parts and or expendable materials.	90361	Three years after disbursement.  Retain in Unit.	Destroy.
<b>13. *Equipment, Supplies, and Motor Vehicle Management Subject Files:</b> Records used to support equipment, supplies, and motor vehicle management programs, arranged by subject, including: correspondence; memoranda; reports; manuals; copies of policies and procedures and related records.	90374	Until obsolete or superseded.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>I. Health, Safety and Security</b>			
<b>1. Employee Hazardous Substance Exposure:</b> Records of exposure or possible exposure to toxic or harmful substances, including: information on substance to which an employee is exposed; employee exposure records; summary and detailed environmental and biological monitoring records; and related records.	90013	30 years after exposure.  Retain in Unit.	Destroy.
<b>2. Space Assignment Files:</b> DOB copies of requests for space from program units; specifications; building diagrams; floor layouts; justifications; records of actual assignment of space to program unit; and master building directories.	90283	Until space assignment is terminated.  Retain in Unit.	Destroy.
<b>3. Annual Environmental Audit Report Records:</b> DOB copies of annual environmental audit reports submitted to Department of Environmental Conservation (DEC) and related records providing an assessment of agency compliance with environmental laws, including: descriptions of environmental problems; records of remedial investigations, plans and actions; estimates of capital, contractual, personnel and or resources needed to remedy violations; projected remedial time schedules; internal assessments of remedial plans; lists of violations and rankings; and related correspondence, memoranda and printed materials used to compile reports.	90291	Three years after report is submitted to DEC.  Retain in Unit.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>4. Toxic Substances in Workplace Notifications and Information Files:</b> Records documenting notification to employees of existence of toxic substances in workplace and potential effects of exposure to these substances, including: correspondence and memoranda; material safety datasheets and related records documenting transmission of information to employee.	90292	Forty years after superseded or obsolete.  Retain in Unit.	Destroy.
<b>5. Lists of Employees Who Handle Toxic Substances:</b> Records of names, addresses, and social security numbers of employees who handle or use substances included in section 1910 of Federal Occupational Safety and Health regulations (29 CFR 1910, subpart z) and which substances were handled or used by which employees.	90293	Forty years after superseded or obsolete.  Retain in Unit.	Destroy.
<b>6. Employee Occupational Injury and Illness Incident Logs, Reports and Summaries:</b> Records documenting recordable occupational injuries and illnesses of agency employees, including: incident logs; incident reports; annual summaries; and related correspondence, memoranda and other records.	90295	Five years after end of calendar year covered by records.  Retain in Unit.	Destroy.
<b>7. Annual Occupational Injury and Illness Surveys:</b> DOB copies of annual occupational injury and illness surveys submitted to NYS Department of Labor (DOL) under 12NYCRR 801.41.	90296	One year after submission to DOL.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>8. Facility Health and Safety Inspection Records:</b> Notices of inspection, inspection reports, descriptions of violations, remedial action plans, correspondence and memoranda documenting agency cooperation with the NYS DOL in facility inspections mandated by 12 NYCRR 802 and agency efforts to comply with DOL findings and determinations.	90298	Three years after inspection or violations are remedied, whichever is longer.  Retain in Unit.	Destroy.
<b>9. Health and Safety Code and Regulations Variance Files:</b> Agency requests for relief from health and safety standards and regulations and records of approved variances, including: petitions; applications for temporary or permanent variances; interim orders; requests for hearings; notices of hearings; transcripts of variance hearings and conferences; depositions; affidavits; variances; amendments issued by the NYS DOL; consistent findings and orders; and decisions and appeals.	90299	Three years after request is denied or variance is no longer in effect.  Retain in Unit.	Destroy.
<b>10. Fire Safety Education and Training Records:</b> Records relating to fire safety education and training programs, including course information records and course registration records for wardens, marshals, searchers and building tenants.	90302	Three years after creation.  Retain in Unit.	Destroy.
<b>11. Incident and Investigation Records:</b> DOB copy of records documenting security related incidents and investigations by staff and external investigators, including: complaints; incident reports; accident reports; reports of stolen property; emergency response-related records; and correspondence and memoranda.	90305	Five years after investigation is closed or dropped; three years after eighteenth birthday (for incidents involving minors).  Retain in Unit.	Destroy.



Title	Number	Retention	Final Disposition
<b>12. Health, Safety and Security Subject Files:</b> Reports, memoranda, correspondence, copies of policies and procedures, background materials, and related records used to support administration of health, safety and security programs, arranged by subject and covering topics such as: health issues; building safety; facility access; and incident reporting exclusive of records subject to specific legal requirements or which are covered by other schedule items.	90306	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>m. Telecommunications</b>			
<b>1. Telephone and Fax Machine Installation and Service Job Files:</b> Copies of requests to service providers for telephone service, installation or repairs, and responses to requests, including: work orders; correspondence; memoranda; work schedules; copies of building diagrams; and duplicate copies of fiscal documents.	90349	Three years after request is filled or repairs are made.  Retain in Unit.	Destroy.
<b>2. Telecommunications Use Logs and Reports:</b> Records listing local and long-distance telephone calls made, and indicating use of carriers, time, length and charge for calls, including: logs; computer listings; internal reports; and copies of OFT telephone billing reports on various media used to monitor and control employee use of telephone and fax services.	90350	Until reviewed and verified.  Retain in Unit for one year.	Destroy.
<b>3. Telecommunications Planning:</b> Correspondence, reports, studies, plans, notes, working diagrams of proposed networks and related records used to plan for and implement telecommunications systems.	90353	Six years for contracted services; one year for other.  Retain in Unit.	Destroy

Title	Number	Retention	Final Disposition
<b>4. Telephone Services Subject Files:</b> Correspondence, memoranda, reports, internal agency policies and procedures, vendor materials, equipment manuals and related records, arranged by subject and used to support administration of telephone and fax services.	90356	Until superseded by updated directory.  Retain in Unit three years.	Destroy.
<b>n. Records Management</b>			
<b>1. Records Inventory:</b> Descriptive inventories of agency records indicating titles, contents, locations, volume, inclusive dates and or attributes of those records.	90344	Until superseded by new or updated inventory.  Retain in Unit three years.	Destroy.
<b>2. Records Disposition Authorization:</b> Approved Records Disposition Authorizations (RDAs), correspondence and memoranda, copies of laws, regulations and related retention requirements used to establish legally approved retention schedules for agency records.	90345	Until cancelled or superseded.  Retain in Unit three years.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>3. Records Storage:</b> Records used to transfer and retrieve records to and from inactive storage, and to maintain control over them while in storage, including: State Records Center or commercial records center transfer lists; internal agency storage requests; records shelf lists; and charge-out slips or logs.	90346	Three years after records have been removed from storage or returned following retrieval.  Retain in Unit.	Destroy.
<b>4. Records Disposal:</b> Records documenting authorized destruction of records or transfer to State Archives for permanent retention, including: destruction request and approval forms; State Archives memoranda of transfer; and related correspondence.	90347	Three years after transfer or destruction.  Retain in Unit.	Destroy.
<b>o. Internal Controls</b>			
<b>1. DOB Oversight of Statewide Internal Controls (IC):</b> Files documenting DOB monitoring and review of State Agency IC programs, including: Requests for Proposals (RFPs); proposals; copies of contracts; correspondence and day files; newsletters; audit reports; surveys; annual conference records; and related work papers. Also includes agency certification of IC programs and annual (July) reports and program activities and progress; and databases used to track names of agency IC officers and status of receipt of certification and reports.	20745	Three years after records become inactive.  Retain in Unit.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>2. Federal Single Audit (Audit Reports, Responses and Work Papers):</b> Agency copies of audit reports created by OSC, agency internal auditors, and other State, Federal or private agencies that monitor, examine and verify accounts and fiscal affairs of an agency; agency responses; and work papers for agency internal audits.	90105	Three years after issuance of report.  Retain in Unit.	Destroy.
<b>3. DOB Agency IC Policies and Directives:</b> Final versions of agency policies and directives governing IC requirements and procedures for agency program units and staff, including: associated memoranda; bulletins; and manuals which explain agency IC policies.	90308	Three years after policy or directive is withdrawn, superseded or revised.  Retain in Unit.	Destroy.
<b>4. DOB Agency IC Vulnerability Assessment Files:</b> Correspondence, memoranda, survey forms, risk assessments and reports created and collected during course of surveys and studies which identify areas of agency operations susceptible to abuse or misuse.	90309	Three years after completion of assessment.  Retain in Unit.	Destroy.
<b>5. DOB Agency IC Audit Work Papers:</b> Plans, analyses, research materials, draft reports, background materials and related records used to plan and prepare IC audit reports.	90310	One year after completion of audit report.  Retain in Unit.	Destroy.
<b>6. DOB Agency IC Audit Reports:</b> Reports documenting findings of IC audits of agency program areas and recommendations for improvements.	90311	Three years after completion of next internal control report for concerned area.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>7. DOB Agency IC Corrective Action Files:</b> Reports, memoranda and or records documenting responses by program units to vulnerability assessment reports and to internal audit reports.	90312	Three years after issue is settled.  Retain in Unit.	Destroy.
<b>8. DOB Agency IC Program Subject Files:</b> Reference files used to support development and administration of agency IC programs, including: reports; plans; articles; policies and procedures; and related material arranged by subject on topics such as risk management, risk assessment, management practices, operational efficiency and audit methods.	90313	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>2. Information Technology</b>			
<b>a. General Administration</b>			
<b>1. Data Processing Unit Subject Files:</b> Correspondence, memoranda, reports, publications and related records used to support administration policy statements and procedure manuals of agency information technology (IT) services.	90218	Until obsolete or superseded.  Retain in Unit.	Destroy.
<b>2. IT &amp; Data Processing Services Plans:</b> Agency annual technology plans submitted to DOB and Office of Chief Information Officer, data processing services plans, strategic plans and related records used to plan for information systems development, technology acquisitions, data processing services provision or related areas.	90219	Three years after plan is completed, superseded or revised.  Retain in Unit.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>b. System and Application Development</b>			
<b>1. Application Development Project:</b> Records created and used in development, redesign or modification of an automated system or application, including: project management records; status reports; draft system or subsystem specifications; draft user requirements and specifications; and memoranda and correspondence.	90225	Three years after completion of project.  Retain in Unit.	Destroy.
<b>2. Information Systems Specifications:</b> Records that document system operations, including: data entry; manipulation; output and retrieval (often called "system documentation records"); user guides; system or subsystem definitions; system flowcharts; program descriptions and documentation (or other metadata); job control or work flow records; and input and output specifications.	90226	Three years after discontinuance of system, but not before system data is destroyed or transferred to a new operating environment.  Retain in Unit.	Destroy.

\*Starred records series added by State Archives 1/08

Title	Number	Retention	Final Disposition
<b>3. Data Documentation (Metadata):</b> Records (sometimes known as metadata) generally created during system or application development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system (including systems where information is text, graphic, or multi-media based), including: data element dictionary; file layout; codebook or table; and other records that explain meaning, purpose, structure, logical relationships and origin of data elements.	90227	Three years after discontinuance of system, but not before system data is destroyed or transferred to a new structure or format.  Retain in Unit.	Destroy.
<b>4. Program Listing/Source Code:</b> Program source code from which machine-language instructions are generated and used to operate an automated information system.	90228	Until code is superseded or replaced.  Retain in Unit.	Destroy.
<b>5. Technical Program Documentation:</b> Program flowcharts, program maintenance log, system change notices and or records that document modifications to computer programs.	90229	One year after replacement or modification, or after related programs cease to be used.  Retain in Unit.	Destroy.
<b>c. Computer Operations/Tech Support</b>			
<b>1. Hardware Documentation:</b> Records documenting use, operation, and maintenance of DOB's computer equipment, including: operating manuals; hardware/operating system requirements; hardware configurations; and equipment control systems.	90233	Until hardware is removed or system discontinued.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<p><b>2. Data Migration and System Upgrade:</b> Records relating to operational aspects of replacement of equipment or upgrading of computer operating systems, as well as migration of data between operating systems, including: schedules and logs; tracking and data migration tests; notes; correspondence; conversion and implementation plans; and records generated by operating system software, application server software; and web server software.</p>	90235	<p>Until hardware or software is removed. Retain schedules and implementation plans until no longer needed for administrative use.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>3. Disaster Preparedness:</b> Records related to protection and reestablishment of data processing services and equipment in case of a disaster, including: disaster recovery manuals; business continuity plans; inventories; procedure plans; and contact lists.</p>	90236	<p>Until superseded.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>4. System Backup:</b> Copies of master files or databases; application software; logs; directories; and other records needed to restore a system in case of a disaster or inadvertent destruction.</p>	90237	<p>After three system backup cycles.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>5. User Authorization:</b> Records created to control individual access to a system, system data, Internet and e-mail system, including: user account records; user acknowledgements of policies; authorization documentation; user change forms; and related records.</p>	90238	<p>Three years after user no longer has access to system.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>6. Computer/Network Usage:</b> Electronic files, automated logs and other records created to monitor and control use of network, e-mail, Internet and or computer resources by agency employees, including: proxy server logs; login files; chargeback files; data entry logs; system usage files; and related records.</p>	90239	<p>Three years or when no longer needed for administrative purposes.</p> <p>Retain in Unit.</p>	Destroy.



Title	Number	Retention	Final Disposition
<b>7. Computer-Run Scheduling:</b> Records used to schedule computer runs, including: daily schedules; run reports; run requests; and other records documenting successful completion of a run.	90241	One year.  Retain in Unit.	Destroy.
<b>8. Work/Intermediate:</b> Records used to facilitate processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including: "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method of displaying these data elements, when all transactions are captured in a master file, central file, transaction file, or database, and the file is not retained to provide an audit trail. Example: source files from OSC that are used to update IBS.	90243	Until transaction is completed.  Retain in Unit.	Destroy.
<b>9. Process Transaction:</b> Records used to update and/or document a transaction in database or master file not retained to document a program unit action, including: transaction files; DBMS log; update files; and similar records.	90244	Two fiscal years.  Retain in Unit.	Destroy.
<b>10. Audit Trail:</b> Data generated during creation of a master file or database and used to validate a master file or database during a processing cycle, such as: date stamp; time stamp; user's ID; and other data fields.	90246	One year after end of fiscal year.  Retain in Unit.	Destroy.
<b>11. Electronic Indexes, Lists, Registers and or Tracking Systems:</b> Electronic indexes, lists, registers and or systems used only to provide access to hardcopy and electronic records in custody of IT unit.	90249	Until related records have been destroyed or reorganized.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>12. Computer Security:</b> Records used to control and monitor security of a system and its data, including: vulnerability scans; intrusion tests; malicious code detection tests; threat and risk assessments; technical security reviews; patch management logs; intrusion detection logs; firewall logs; and related records.	90377	Three years.  Retain in Unit.	Destroy.
<b>13. Computer Security Incident:</b> Records documenting incidents and investigations involving unauthorized attempted entry, probes and/or attacks on agency IT systems and networks.	90378	Three years.  Retain in Unit.	Destroy.
<b>14. Security Breach Notifications:</b> Records created pursuant to Section 208, State Technology Law, which requires State agencies to disclose to NYS residents when their computerized private information was or may have been acquired by a person without valid authorization, including: notifications to affected persons and to designated State agencies; logs of notifications; and related records.	90379	Six years after notification.  Retain in Unit.	Destroy.
<b>d. Data Administration</b>			
<b>1. Data/Database Dictionary:</b> Records used to manage data, including: information on data element definitions; data structures or file layout; code tables; and other data or records that explain meaning, purpose, logical relationships, ownership, use or origin of data.	90253	Until system discontinuance or database modification, but not before application data is destroyed or transferred to a new format.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>e. IT Support</b>			
<p><b>1. Site/Equipment Support:</b> Records documenting support services provided to specific computer equipment or installations, including: site visit reports; program and equipment service reports; service histories; and correspondence and memoranda.</p>	90255	<p>Until hardware or software is removed.</p> <p>Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda three years after creation. Destroy service histories, and other summary records after the related equipment is no longer in use.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>2. Help Desk Telephone Logs and Reports:</b> Records generated from automated help desk ticketing systems used to document requests for technical assistance and responses to these requests, and to collect information on use of computer equipment for program delivery, security or other purposes.</p>	90256	<p>Three years after creation.</p> <p>Retain in Unit.</p>	Destroy.
<p><b>3. Hardware and Software Review:</b> Records regarding review and recommendations for hardware and software for agency use, including: vendor information; manuals; software reviews and related material.</p>	90258	<p>Until hardware or software is no longer in use.</p> <p>Retain in Unit.</p>	Destroy.

Title	Number	Retention	Final Disposition
<b>f. Network/Data Communications Services</b>			
<b>1. Network Site/Equipment Support:</b> Records documenting support services provided to specific sites and computer-to-computer interfaces on a network, including: site visit reports; trouble reports; service histories; and correspondence and memoranda.	90259	Three years after creation (for site visit reports, trouble reports, and routine correspondence); after equipment/site is no longer in use (for service histories and or summary records).  Retain in Unit.	Destroy.
<b>2. Inventories of Network Circuits/Connections:</b> Electronic or paper records containing information on network circuits or connections used by agency, including: circuit number; vendor; cost per month; type of connection; terminal series; software; contact person; and or relevant information about circuit.	90260	Until superseded by new inventory or no longer used, whichever is sooner.  Retain in Unit.	Destroy.
<b>3. Network or Circuit Installation and Service:</b> Copies of requests by agencies to service providers for data communication service, installation, or repair and response to request, including: work orders; correspondence; memoranda; work schedules; copies of building or circuitry diagrams; and non-official copies of fiscal documents.	90261	Three years after request is filled or when network or circuit is superseded or removed, whichever is longer.  Retain in Unit.	Destroy.

Title	Number	Retention	Final Disposition
<b>4. Network Implementation Project:</b> Records used to plan and implement a network, including: reports; justifications; working diagrams of proposed network; and wiring schematics and diagrams.	90264	Until hardware or software is removed.  Retain in Unit.	Destroy.
<b>5. Agency Internet Service Logs:</b> Electronic files, logs or other records created to monitor access and use of agency services provided by Internet, including but not limited to services provided via Files Transfer Protocol (FTP), website or agency Telnet services.	90363	Three years (see Computer Security, 90377).  Retain in Unit.	Destroy.

For more information about the Freedom of Information Law and the public's right to gain access to government records, please visit the Committee on Open Government's website (<http://www.dos.ny.gov/coog/index.html>).