THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12230

New York State Archives
Tel. 518-474-6926

To: Local Government Officials
From: Denis Meadows, Director, Government Records Services
Subject: *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*
Date: April 29, 2022

As part of the 2022 Enacted State Budget, the NY Legislature amended the NYS Open Meetings Law [Public Officers Law §103-a. Videoconferencing by public bodies] to provide when and how public bodies may conduct meetings via videoconference technology. In addition, from April 9, 2022 through June 8, 2022, public bodies may continue to conduct meetings following the remote meeting procedure that was authorized pursuant to Executive Order 202.1 and Chapter 1 of the Laws of 2022 during the pandemic.

The new law is temporary and is set to expire on July 1, 2024.

Applicability

Applies to all public bodies as defined by Public Officers Law §102 which includes state agencies and local governments.

Applies to all meetings subject to the Open Meetings Law (Public Officers Law Article 7) and that are video conferenced.

Recordkeeping requirements

The recent legislation still requires that minutes be prepared of meetings, regardless of whether they are held in-person or video conferenced, and that they be made available to the public within 2 weeks of the meeting (Public Officers Law §106).

A new requirement under the law states that "the public body shall provide that each meeting conducted using videoconferencing shall be recorded and such recordings posted or linked on the public website of the public body within five business days following the meeting, and **shall remain so available for a minimum of five years** thereafter. Such recordings shall be transcribed upon request" [bold added]. Even if minutes or transcripts of the meeting exist and will be retained permanently as prescribed by the State Archives' retention schedules, the video conferenced recordings must be retained at least 5 years.

Impact on local governments' records

The current local government retention and disposition schedule, LGS-1, allows destruction of recordings of meetings subject to the Open Meetings Law 4 months after the meeting:

- LGS-1, item 51a, Recording of voice conversations [of public meeting of governing body or board, committee or commission thereof], allows destruction of recordings "4 months after transcription or minutes are created."

Local governments are advised to retain their video conference recordings of meetings subject to the Open Meetings Law for a minimum of 5 years until Public Officers Law §103-a expires. While this provision of law is in place, it will result in extending existing retention periods for such recordings.

Please contact the State Archives at 518-474-6926 or via e-mail at recmgmt@nysed.gov if you have questions or need additional clarification.

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To: Local Government Officials
From: Denis Meadows, Director, Government Records Services
Subject: *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*

Date: April 15, 2022

Effective August 14, 2020, the U.S. Department of Education (DOE) issued regulations implementing Title IX of the Educational Amendments Act of 1972 (34 CFR Section 106.45(b)(10)), the federal law prohibiting sexual harassment and discrimination. The regulations define "sexual harassment" more narrowly and impose more lengthy recordkeeping requirements.

Applicability

Applies to all public school districts and colleges and universities (basically, any educational institution that receives federal financial assistance).

Title IX is not limited to sexual harassment cases involving students. Any person may be a complainant or respondent, regardless of whether the person is a student, employee, or otherwise affiliated with the institution.

Recordkeeping requirements

Educational institutions must maintain the following records for a minimum of **seven years**:

A. any sexual harassment investigation, including any responsibility determination, and any required recording or transcript, as well as any sanctions imposed on the respondent, and any remedies provided to the complainant;
B. any appeal and its result;
C. any informal resolution and its results; and
D. all materials used to train investigators, adjudicators, and Title IX coordinators with regard to sexual harassment.

DOE provided additional clarification:

- Any record that the institution creates to investigate an allegation, **regardless of later dismissal or other resolution of the allegation**, must be maintained for seven years. Therefore, institutions must preserve all records, even those records from truncated investigations that led to no adjudication because the acts alleged did not constitute sex

discrimination under Title IX and the formal complaint (or allegation therein) was dismissed.

- The **date of the record's creation** begins the seven-year retention period.
- Institutions may choose to keep each record for longer than seven years, for example to ensure that all records that form part of a "file" representing a particular Title IX sexual harassment case are retained for at least seven years from the date of creation of the last record pertaining to that case or for legal obligations.
- The seven-year retention period is based on and consistent with retention requirements in the **Clery Act regulations** (24 CFR 668.24(e)(92)(ii). It should be noted that colleges and universities are subject to the Clery Act; however elementary and secondary schools are not. Regardless, school districts must follow this new seven-year retention period.
- The **regulations apply prospectively only.** The seven-year retention period is applicable only to cases that occur on or after August 14, 2020.

Impact on educational institutions' records

We will look to integrate these new retention requirements into the next edition of the LGS-1. In the meantime, here is our advice to educational institutions:

School districts

Districts are advised to retain LGS-1 (http://www.archives.nysed.gov/records/local-government-record-schedule/lgs-1-title-page) items 573 (human rights individual complaint or problem case file regarding employees), 637 (investigative records and disciplinary proceedings regarding employees), 928 (sexual molestation and sexual harassment records regarding students), and 81 (training course information records) for the duration of existing retention periods or a minimum of seven years after creation, whichever is longer. This may result in extending existing retention periods.

Community Colleges

Community colleges would be subject to the same items listed under "school districts," except item 928. In addition, for records specific to cases involving students, they are covered under LGS-1 item 215 (Student grievance records). These records must be retained for the duration of existing retention periods or a minimum of seven years after creation, whichever is longer. This may result in extending existing retention periods.

Additional resources

https://www.federalregister.gov/documents/2020/05/19/2020-10512/nondiscrimination-on-the-basis-of-sex-in-education-programs-or-activities-receiving-federal

https://system.suny.edu/media/suny/content-assets/documents/sci/tix2020/Recordkeeping.pdf

Please contact the State Archives at 518-474-6926 or via e-mail at recmgmt@nysed.gov if you have questions or need additional clarification.

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To: Local Government Officials
From: Denis Meadows, Director, Government Records Services
Subject: *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*

Date: April 15, 2022

The federal Families First Coronavirus Relief Act (FFCRA) requires that certain employers, including public employers with one or more employees, provide employees with paid sick leave or expanded family and medical leave for specified reasons related to COVID-19. The FFCRA's paid leave provisions apply to **leave taken or requested from April 1, 2020 through December 31, 2020**. Pursuant to 29 C.F.R. 826.140 (Paid Leave Under the FFRCA), employers are required to **retain all documentation for four years, regardless whether leave was granted or denied.**

Retention and Disposition Schedule for New York Local Government Records (LGS-1), issued in 2020 and updated in 2022, includes schedule items which pertain to documentation of sick and family and medical leave:

- item 662b, Employee medical records, in the Personnel/Civil Service section that covers "records and documents relating to medical certifications, re-certifications or medical histories of employees or employees' family members, created for purposes of Family and Medical Leave Act (FMLA)." This item authorizes records destruction after three years.
- items 638 & 528, Employee's time records, in the Personnel/Civil Service and Fiscal sections respectively. These items authorize records destruction after six years.

To avoid premature destruction of paid leave records relating to leave taken or requested, whether granted or denied, from April 1, 2020 through December 31, 2020 as part of the FFCRA, officials should cease destroying paid leave records as authorized by *LGS-1* item 662b (employee medical records) and should instead follow the retention period prescribed by federal regulations – four years. Please note that this memo expands authorization under item 662b to include "records and documents relating to medical certifications, re-certifications or medical histories of employees or employees' family members, created for purposes of FMLA and FFCRA."

To facilitate disposition of FFCRA-related records dating from April 1, 2020 through December 31, 2020, I encourage you to file the records separately from other paid leave records as their retention periods will be different.

Officials should continue to retain employee's time records for six years, even if they relate to the FFCRA.

Officials should continue to retain employee medical records, including paid leave documentation, and employee's time records that date between April 1, 2020 and December 31, 2020 and do **not** relate to FFCRA per the existing retention periods noted in the *LGS-1* items cited above.

Please contact the State Archives at 518-474-6926 or via e-mail at recmgmt@nysed.gov if you have questions or need additional clarification.

Retention and Disposition Schedule for New York Local Government Records (LGS-01)

2020

Revised 2022

New York State Archives

RETENTION AND DISPOSITION SCHEDULE FOR NEW YORK LOCAL GOVERNMENT RECORDS (LGS-1)

Section 185.15, *8NYCRR* (Appendix L)

FOR USE BY

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VILLAGES
FIRE DISTRICTS
COUNTIES
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BOARDS OF COOPERATIVE EDUCATIONAL SERVICES
TEACHER RESOURCE AND COMPUTER TRAINING CENTERS
COUNTY VOCATIONAL EDUCATION AND EXTENSION BOARDS
MISCELLANEOUS LOCAL GOVERNMENTS

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
New York State Archives
2020, revised 2022

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PURPOSE

This *Retention and Disposition Schedule for New York Local Government Records* indicates the minimum length of time that local government officials must retain their records before they may be disposed of legally. It consolidates and revises *Records Retention and Disposition Schedules CO-2*, *MU-1*, *MI-1*, and *ED-1*. It has been prepared and issued by the State Archives, State Education Department, pursuant to Section 57.25 of the Arts and Cultural Affairs Law, and Part 185, Title 8 of the *Official Compilation of Codes, Rules and Regulations of the State of New York.*

The purposes of this Schedule are to:

1) ensure that records are retained as long as needed for administrative, legal and fiscal purposes;
2) ensure that state and federal record retention requirements are met;
3) ensure that records with enduring historical and other research value are identified and retained permanently; and
4) encourage and facilitate the systematic disposal of unneeded records.

ABOUT THIS SCHEDULE

This *Retention and Disposition Schedule for New York Local Government Records* provides a single, consolidated resource for all types of local governments to consult to determine the retention period for records they create. There are no longer separate retention schedules for different types of local governments. By consolidating multiple, disparate retention schedules, this schedule helps to ensure consistent retention and disposition guidance for records that are common to multiple types of local governments. This consolidated Schedule also facilitates modifications to retention periods when there are changes to laws, regulations or other mandates that affect retention.

PREVIOUS SCHEDULES SUPERSEDED

Retention and Disposition Schedule for New York Local Government Records supersedes and replaces *Schedules CO-2*, *MU-1*, *MI-1*, and *ED-1*, previously issued by the State Archives. **The consent of the Commissioner of Education to use these schedules is withdrawn, and they may not be used to dispose of records.** The governing body must utilize this *Retention and Disposition Schedule for New York Local Government Records* in order to dispose of any records.

HOW TO USE RETENTION AND DISPOSITION SCHEDULE FOR NEW YORK LOCAL GOVERNMENT RECORDS

ADOPTION OF THE SCHEDULE AND REQUESTS FOR ADDITIONAL COPIES

Before any records listed on the *Retention and Disposition Schedule for New York Local Government Records* may be disposed of and even if the local government previously adopted *Schedules CO-2, MU-1, MI-1, and ED-1*,the governing body must formally adopt the Schedule by passing a resolution. A model resolution is included at the end of the Introduction to this Schedule. It is not necessary to send a copy of the passed resolution to the State Archives. Upon adoption, this Schedule supersedes *Schedules CO-2, MU-1, MI-1, and ED-1.*

This Schedule may be used by the local government until the governing body rescinds its authorizing resolution, or the Schedule is superseded or replaced by the State Archives.

Additional paper or electronic copies of this Schedule can be obtained by calling the State Archives at (518) 474-6926 or emailing at recmgmt@nysed.gov. The Schedule is also available on the State Archives' website at http://www.archives.nysed.gov.

ARRANGEMENT OF ITEMS ON THE SCHEDULE

In general, items on the *Retention and Disposition Schedule for New York Local Government Records* are arranged as they were in the previous schedules, with a few significant exceptions:

- General Administration section: This new section combines the former General and Miscellaneous sections. In addition, it includes items that were duplicated in other sections including, but not limited to, the County Clerk and School District and BOCES sections.

- Executive section: This new section combines the former Supervisor, Mayor, Manager, and/or Administrator section in the *Schedule MU-1*; County Executive, Manager, and/or Administrator section in the *Schedule CO-2*; and the Executive, Manager, and/or Administrator section in the *Schedule MI-1*. In addition, the school superintendent's office files item, previously found in the *Schedule ED-1's* Administration section was folded into this new Executive section.

- School District and BOCES section: This new section retains the unique subsections of the *Schedule ED-1*, including Administration, Food Management and Child Nutrition, Gifted and Talented Programs, Health, Instruction, Magnet Schools, Nursing Education, School

Safety, Special Education, Student Records, Supplemental Education Services, Teacher Resource and Computer Training Center, Transportation: School Bus Routing and Scheduling, and Transportation: Other School Transportation Records.

NEW OR REVISED ITEMS

Items on this Schedule preceded by a diamond symbol (♦) are either new to the 2020 edition, or have been substantively changed from the previous edition. Those items with two diamond symbols (♦♦) reflect revisions to this edition. They may have longer or shorter retention periods, additional parts, or additional or revised explanatory notes. Please note these changes carefully on your office schedules and/or inventory or records control forms because only the current items as contained in this edition of the *Retention and Disposition Schedule for New York Local Government Records* are legally applicable.

UNIQUE ITEM NUMBERING SYSTEM

Items are assigned a unique identifying number. That number, which appears in bold will not change as items are revised or relocated in new editions of the *Retention and Disposition Schedule for New York Local Government Records*. Former unique numbers from previous schedules (*Records Retention and Disposition Schedules CO-2*, *MU-1*, *MI-1*, and *ED-1*) are noted to the right of the new unique number.

INTERPRETING SCHEDULE ITEMS

Many of the schedule items are broad and describe the purpose or function of records rather than identifying individual documents and forms. Local officials should match the records in their offices with the generalized descriptions on the Schedule to determine appropriate retention periods. Records whose content and function are substantially the same as an item described in the Schedule should be considered to be covered by that item. Local officials should check with the State Archives when they are uncertain regarding coverage of a function. In situations where local officials have combined related types of records, covered by different items in this Schedule, into a single file series, it may be impractical to separately apply the retention periods of the various applicable Schedule items to the individual records in the file. In such situations, officials may find it more convenient to dispose of the entire set of records by using the applicable retention item with the longest retention period.

Retention periods on this Schedule apply to one "official" copy designated by the local government unless otherwise stated. No matter what the medium, local officials must ensure that the information will be retained for the specified retention period.

The retention periods listed on this Schedule pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium). Duplicate copies of records, including copies maintained on different media

(paper, electronic, etc.), may be disposed of in accordance with item no. 58 of the General Administration section of this Schedule.

EXCEPTIONS TO APPLYING RETENTION PERIODS INDICATED IN SCHEDULE

LEGAL ACTIONS

Some records may be needed to defend the local government in legal actions. Records that are being used in such actions must be retained for the entire period of the action even if their retention period has passed. **If the retention period has expired by the time the legal action ends, the record must be retained for at least one additional year** to resolve any need for the record in an appeal. If the retention period has **not** expired, the record must be retained for the remainder of the retention period, but not less than one year after the legal action ends. Prior to disposing of records, local officials may wish to consult with their county attorney to verify that no legal actions have been initiated which would require longer retention of the records.

AUDITS

Program and fiscal audits and other needs of state and federal agencies are taken into account when retention periods are established by the State Archives. However, in some instances agencies with audit responsibility and authority may formally request that certain records be kept beyond the retention periods. If such a request is made, these records must be retained beyond the retention periods until the local government receives the audit report or until the need is satisfied.

ADDITIONAL RETENTION REQUIREMENT IN COMMISSIONER'S REGULATIONS

The State Education Department's Office of the Professions oversees the professional conduct of licensed health professionals other than physicians, who are under the jurisdiction of the Department of Health. Section 29.2 of *8NYCRR* (Regulations of The Commissioner of Education) contains "General Provisions for the Health Professions." Paragraph 3 of subdivision a of this Section states that "unprofessional conduct" includes "failing to maintain records for each patient which accurately reflects the evaluation and treatment of the patient. Unless otherwise provided by law, all patient records must be retained for at least six years. . . . . records of minor patients must be retained for at least six years, and until one year after the patient reaches the age of 21 years."

A number of health-related items on the Schedule contain minimum legal retention periods which permit disposition of records three years after a minor attains age 18. These items are mostly found

in the Personnel/Civil Service and Public Health sections. In these instances, certain records pertaining to minors must also be retained for an additional year if those records are subject to the Section 29.2 requirements for health professionals, other than physicians, employed by or associated with local governments. For additional information on this situation, contact the State Archives' Government Records Services.

RECORDS CREATED BEFORE 1910

Disposition of records created before 1910 requires specific written approval from the State Archives, as required by Section 185.6 (c) of *8NYCRR*, the Regulations of the Commissioner of Education. Certain records which would normally be disposable under this Schedule may need to be kept if created before 1910. Often these records have continuing historical or research value because:

1) Other documentation no longer exists. Many earlier records were destroyed through natural disaster or through destruction by public officials prior to the passage of the first state statute in 1911 requiring the consent of the Commissioner of Education to the disposition of local public records;

2) The volume and type of information contained in records have changed since the beginning of the 20th century. Older records often have more detailed and historically significant information than those produced today;

3) Early records sometimes have intrinsic value beyond the information they contain. "Intrinsic value" refers to qualities, such as value for exhibits, association with significant events, and aesthetic value, which records may possess beyond merely the information they contain. Further information on identifying records with intrinsic value is provided in the State Archives' Publication No. 36, *Intrinsic Value of Local Government Archival Records*.

Local officials desiring to dispose of any records created before 1910 should contact the State Archives, to obtain disposition request forms. **This requirement also applies to the disposition of original records predating 1910 which have been microfilmed.** The State Archives will review each request and advise the local government on retention or disposition of the records.

RECORDS NOT LISTED ON THIS SCHEDULE

This Schedule covers the vast majority of all records of local governments. For any record not listed, the Records Management Officer, or the custodian of the record, should contact the State Archives to determine if it is indeed covered by this Schedule and if a legal minimum retention period has been established. If not, the State Archives will consult with appropriate state and local officials and users of local government records and advise the local government on the disposition of the records. If the record is not covered by an item on this Schedule, it must be retained until a

revised edition of or addendum to the Schedule is issued containing an item covering the record in question and providing a minimum legal retention period for it.

Conversely, the State Archives has no legal authority to require local governments to create records where no records exist, even if the records in question are listed on this Schedule. Although there may be laws, regulations or other requirements that certain records must be created, those requirements do not originate from the State Archives. Instead, the purpose of this Schedule is to authorize the disposition of records which local governments maintain. The mere fact that a record is identified on this Schedule should not be interpreted as a requirement that the record must be created.

Local public benefit corporations (per Section 2 of the Public Authorities Law, those whose members are not appointed by the governor nor hold a civil office of the state) or other special purpose units of local government located in New York City may possess records not covered by this Schedule. Pursuant to Section 185.5 (c) of *8NYCRR* these local governments may use their own local records retention and disposition schedules in lieu of this Schedule. These local schedules must be approved by the State Archives. For additional information on this subject, contact the State Archives' Government Records Services.

RECORDS OF LOCAL GOVERNMENTS WHERE DISPOSITION IS GOVERNED BY SPECIFIC LAWS

Records of housing authorities are disposable according to Section 59 of the Public Housing Law.

Records of the Utica Transit Authority are disposable according to Section 68 of the Transportation Law.

CANCELED OBLIGATIONS

The disposition of canceled obligations (including bonds and notes) is covered by Section 63.10 of the Local Finance Law and Part 55 of Title 2 of the *Official Compilation of Codes, Rules and Regulations of the State of New York*. Questions about the destruction procedure should be addressed to the Office of State Comptroller, Division of Legal Services, 110 State Street, Albany, NY 12236; phone: (518) 474-5586.

COURT RECORDS IN MUNICIPAL AND COUNTY OFFICES

Disposition of court records is governed by the state Office of Court Administration (OCA). Disposition schedules listing court records held by municipalities are available from OCA. For information, contact the Office of Records Management, Office of Court Administration, 25 Beaver Street, 8th floor, New York, NY 10004; phone: (212) 428-2875.

OFFICIAL BIRTH, DEATH, AND MARRIAGE RECORDS

Records of births, deaths, and marriages (dating after 1880) generated pursuant to Article 41 of the Public Health Law are considered state government records even though they are generated by or filed in local government offices. Disposition of state government records is governed by the provisions of Section 57.05 (11) of the Arts and Cultural Affairs Law. Disposition under this Law is also coordinated by the State Archives' Government Records Services. Vital records are authorized for disposition under the following Records Disposition Authorizations (RDAs):

- birth records (RDAs 19669, 19670, and 19671): Retain original paper record permanently unless the paper record is microfilmed or scanned in which case the microfilm or scanned copy should be kept permanently and the paper original can be destroyed after 3 years.

- death certificates (RDAs 19665, 19666, and 19667): Retain original paper record permanently unless the paper record is microfilmed or scanned in which case the microfilm or scanned copy should be kept permanently and the paper original can be destroyed after 3 years.

- marriage records (RDAs 19662, 19663, and 19664): Retain original paper record permanently unless the paper record is microfilmed or scanned in which case the microfilm or scanned copy should be kept permanently and the paper original can be destroyed after 3 years.

- burial transit records (RDAs 19239, 19240, and 19241): Retain original paper record permanently unless the paper record is microfilmed or scanned in which case the microfilm or scanned copy should be kept permanently and the paper original can be destroyed after 1 year.

- applications or requests for copies of vital records and general subject and correspondence records (RDA 19668): Destroy after 5 years

For more information, contact the State Archives or the Director's Office, Vital Records Section, New York State Department of Health, PO Box 2602, Albany, NY 12220-2602; phone: (518) 474-3055.

RECORDS OF NEW YORK CITY

While retention periods for records of New York City offices, boroughs, and public administrators are established by the New York City Department of Records and Information Services (DORIS), remember that all other local governments located in New York City, including counties, school districts and public benefit corporations, use retention schedules issued by the State Archives for records **other than** court records.

RECORDS OF A COUNTY DISTRICT ATTORNEY

Disposition of these records is presently covered by Section 89.2 of the Judiciary Law. Application must be made to the appropriate Judicial Department of the Appellate Division of the State Supreme Court.

RECORDS OF A COUNTY BOARD OF ELECTIONS

A schedule for disposition of records of county boards of elections was issued in 1996 by the State Archives and the State Board of Elections. This schedule covers only election records of county boards; general administrative records are listed on the *Retention and Disposition Schedule for New York Local Government Records*. Copies of this schedule are available on the State Archives' website: http://www.archives.nysed.gov/common/archives/files/mr_pub_electionschedule.pdf.

COUNTY MOTOR VEHICLES RECORDS FOUND IN COUNTY CLERKS' OFFICES

These records are **state** government records. Disposition of state government records is governed by the provisions of Section 57.05 (11) of the Arts and Cultural Affairs Law. Disposition under this Law are also coordinated by the State Archives' Government Records Services. For more information, contact the State Archives or the Records Management Officer, New York State Department of Motor Vehicles, Swan Street Building, ESP, Albany, NY 12228.

RECORDS OF DISTRICT SUPERINTENDENTS OF SCHOOLS

These records are considered records of the State Education Department (SED). Disposition of State government records is governed by the provisions of Section 57.05 (11) of the Arts and Cultural Affairs Law. Disposition under this Law is also coordinated by the State Archives' Government Records Services. For more information, contact the State Archives or SED's Records Management Officer. Contact the State Archives for the name and address/phone number of the current SED Records Management Officer.

RECORDS THAT HAVE BEEN MICROFILMED OR ELECTRONICALLY DUPLICATED

The retention and disposition of the originals of records that have been microfilmed or electronically duplicated is governed by Section 57.29 of the Arts and Cultural Affairs Law and State Archives' procedures. Please contact the State Archives for further information prior to beginning a program of microfilming or any other form of records duplication.

ELECTRONIC RECORDS

While items on this Schedule for the most part cover records regardless of the format in which they are maintained, electronic records in some subject areas are treated differently in this edition of the schedule. Some electronic records are listed specifically in the Building and Property Regulation, Environmental Health, Information Technology, Public Health, Public Safety, Taxation and Assessment, and Transportation and Engineering sections. Consult the State Archives' Regulations relating to electronic records (Section 185.8, *8NYCRR*), and contact the State Archives if you have any questions or problems after reviewing these requirements. Contact the State Archives as well if you need additional information on electronic records falling in the subject areas mentioned above.

Generally, records transmitted through e-mail systems have the same retention periods as records in other formats that are related to the same program function or activity. E-mail records should be scheduled for disposition in conjunction with any other records related to the program function. Local governments may delete, purge, or destroy e-mail records provided that the records have been retained for the minimum retention period established in this Schedule and are not being used for a legal action or audit. Transitory messages may be destroyed in a timely manner, using item no. 57 in the General Administration section of the Schedule. Further information on e-mail records, suggested filing practices, dealing with duplicate copies, and a sample e-mail policy are found on the State Archives' website at http://www.archives.nysed.gov. Contact the State Archives for additional information.

If an official set of records is maintained offline, any electronic records posted to the government's website for distribution may be considered duplicate records and may be disposed of when no longer needed. A web crawl that captures and preserves an entire or parts of a website may be considered a publication and is covered by item no. 68 in the General Administration section.

PUBLIC ACCESS TO RECORDS

This Schedule does not address the issue of public access to records. Access issues are not covered by the Local Government Records Law but are covered by the Freedom of Information Law (Public Officers Law, sections 84 through 90). The State Archives urges local government officials to consult with their own counsels, the Committee on Open Government which administers the Freedom of Information Law (see below), or the state or federal agency having oversight over the records in question.

The Committee on Open Government is responsible for administering the Freedom of Information Law, which governs rights of access to government records. (The Committee also administers the Open Meetings Law which concerns the conduct of meetings of public bodies and the right to attend those meetings.) The Committee can provide written or oral advice and mediate in controversies in which rights may be unclear. For more information or advice, please contact:

Committee on Open Government
NYS Department of State
One Commerce Plaza
99 Washington Avenue, Suite 650
(518) 474-2518

ARCHIVAL RECORDS

Archival records are records that governments must keep permanently to meet fiscal, legal, or administrative needs of the government or which the government retains because they contain historically significant information. Records do not have to be old to be archival; local officials create and use archival records daily in offices. What makes a record worthy of permanent retention and special management is the continuing importance of the information it contains.

When the State Archives has determined that a record series has enduring historical or other research significance for all local governments, the series has been given a **PERMANENT** designation on the Schedule. Other record series which may have historical or research significance in some local governments but not in others have an appraisal note to encourage local officials to evaluate the records to determine their importance prior to disposition. However, the State Archives cannot identify all record series with historical or research significance for individual local governments. Knowledge of people, places, or events in each community and the unique circumstances of each government will determine which records are significant. **Local officials will need to appraise records with nonpermanent retention periods for potential research or historical value before destroying them.**

The usefulness of archival records depends on the government's ability to preserve them, retrieve the information they contain, and make that information available to staff and researchers. Further information on managing archival records is provided in the State Archives' Publication, *Fundamentals of Managing Local Government Archival Records*.

APPRAISING RECORDS FOR HISTORICAL OR RESEARCH SIGNIFICANCE

Some items in this Schedule contain an appraisal note, e.g., “appraise for historical value.” A local government record has historical or other research importance if it provides significant evidence of how the government functions and/or if it provides significant information about people, places

or events that involve the government. Since each community has its own unique history, the importance or value of a record series may vary from local government to local government.

Because local governments are continually involved in the lives of people, their records may contain a tremendous amount of information about the people who live there, the buildings and sites within their borders, and the important time periods or significant events that affected the people of the region. Government records can reveal information about what people owned; about attitudes, values and concerns of the citizens; about how the construction of a new highway led to the end of a neighborhood; or about how a community reacted to a military base closing. The records may contain information about the people, places or events themselves or about the decisions made in relation to them. This information can be very valuable to staff, researchers, and the public, but only if the information itself is significant. The records must contain enough information to adequately document the people, places, or events recorded. The significance of the records will depend on:

- **When the records were created:** records created during a time of momentous change, which are scarce or which cover a long period of time tend to be more significant.

- **What kind of information the records contain:** records that contain more in-depth information are more likely to have enduring value.

- **Who created the records:** records that reflect an employee's perspective or individual point of view may be more significant.

- **What other records exist:** if the information in the records exists in other records within the local government or elsewhere in the state or country, then the records are less likely to be significant.

- **The unique history of the local government or community:** records created during important time periods or events can provide clues to how the events affected the development of the government and the community it serves.

The historical or other research importance of records will vary from local government to local government and from region to region. The people, places, or events in each community, and the unique circumstances of each government, determine which records are significant. Further information on identifying historically significant records is provided in the State Archives' Publication, *Appraisal of Local Government Records for Historical Value*. State Archives' staff can also advise and assist local officials who are appraising records for potential long-term research value.

SUGGESTIONS FOR RECORDS DISPOSITION

Once this Schedule has been formally adopted valueless records may be disposed of continually as they meet their stated minimum retention periods. The advantages of a program for systematic, legal disposal of obsolete records are that it

1) ensures that records are retained as long as they are actually needed for administrative, fiscal, legal, or research purposes;
2) ensures that records are promptly disposed of after they are no longer needed;
3) frees storage space and equipment for important records and for new records as they are created;
4) eliminates time and effort required to service and sort through superfluous records to find needed information;
5) eliminates the potential fire hazard from storage of large quantities of valueless records; and
6) facilitates the identification and preservation of archival records.

Suggestions for systematically approaching the disposition process include the following:

(A) Section 57.19 of the Arts and Cultural Affairs Law requires each local government to designate a Records Management Officer to coordinate or directly carry out disposition. The duties of a Records Management Officer are found in Section 185.2 of *8NYCRR*. Contact the State Archives for additional information.

(B) Disposition should be carried out regularly, at least once a year. It should not be deferred until records become a pressing storage problem. Duplicate copies of records, including copies maintained on different media (paper, electronic, etc.), may be disposed of in accordance with item no. 58 of the General Administration section of this Schedule.

(C) State law does not prescribe the physical means of destruction of most records. Records may be destroyed in any way the Records Management Officer or other local official chooses. Disposition through consignment to a paper recycling plant is often the best choice as it helps conserve natural resources and may also yield revenue for the local government. For records containing confidential information, disposition should be carried out in a way that ensures that the confidentiality of individuals named in the records is protected.

(D) A record should be kept of the identity, inclusive dates, and approximate quantity of records that are disposed. Sample disposition forms are available from the State Archives.

(E) The Records Management Officer, or other official who carries out disposition, should describe what has been done to dispose of records during the year in an annual report to the governing body.

IMPORTANT REMINDERS

1. Local governments must adopt this Schedule prior to its use and by January 1, 2021.

2. Records created before 1910 (even those which have been microfilmed) are not eligible for disposition without written permission from the State Archives.

3. No records may be disposed of unless they are listed on this Schedule, or their disposition is covered by other state laws.

4. Records common to most offices are listed under the General Administration section of the Schedule. You should first attempt to locate a specific item under a functional heading. If the record you are locating cannot be found under a functional heading, then proceed to this General Administration section to search for a less specific item covering the record.

5. Records being used in legal actions must be retained for one year after the legal action ends, or until their scheduled retention period has passed, whichever is longer.

6. Any record listed in this Schedule for which a Freedom of Information (FOIL) request has been received should not be destroyed until that request has been answered and until any potential appeal is made and resolved, even if the retention period of the record has passed.

7. Records being kept beyond the established retention periods for audit and other purposes at the request of state or federal agencies must be retained until the local government receives the audit report, or the need is satisfied.

8. Retention periods on this Schedule apply to one "official" copy designated by the local government, unless otherwise stated.

9. The retention periods listed on this Schedule pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium).

10. The State Archives has no legal authority to require local governments to create records where no records exist, even if the records in question are listed on this Schedule.

11. The new General Administration section combines the former General and Miscellaneous sections. In addition, it includes items that were duplicated in other sections including, but not limited to, the County Clerk and School District and BOCES sections. The new Executive section combines Supervisor, Mayor, Manager, Administrator, County Executive, and Executive sections, and the school superintendent item into one section. The new School District and BOCES section retains the unique subsections of the Schedule ED-1, including Administration, Food Management and Child Nutrition, Gifted and Talented Programs, Health, Instruction, Magnet Schools, Nursing Education, School Safety, Special Education, Student Records, Supplemental Education Services, Teacher Resource and Computer Training Center, Transportation: School Bus Routing and Scheduling, and Transportation: Other School Transportation Records.

12. The State Archives cannot identify all record series with historical significance for individual local governments. Local officials will need to appraise records with nonpermanent retention periods for potential research or historical value before destroying them.

13. Certain health-related records may need to be retained for one year longer than this Schedule dictates if those records are subject to the requirements stated in Section 29.2 of *8NYCRR*.

14. The Local Government Records Law and this Schedule do not address confidentiality of records. Confidentiality of records is often dependent upon what information they contain. Local officials should address such questions to the Committee on Open Government, their own counsels, or other state or federal agency having oversight of the records in question.

MORE INFORMATION

State Archives staff will help local governments interpret and use this Schedule. The State Archives hopes to refine, update, and reissue this Schedule periodically, and welcomes suggestions for improvements in content and format. The State Archives also issues publications on local government records administration and provides advice and assistance to local governments on records management and archival administration problems. For more information contact:

New York State Archives
9A47 Cultural Education Center
Albany, NY 12230
phone: (518) 474-6926
email: recmgmt@nysed.gov
website: http://www.archives.nysed.gov

MODEL RESOLUTION

RESOLVED, By the _____ [title of governing body] of _____ [local government name] that *Retention and Disposition Schedule for New York Local Government Records*, issued pursuant to Article 57-A of the Arts and Cultural Affairs Law, and containing legal minimum retention periods for local government records, is hereby adopted for use by all officers in legally disposing of valueless records listed therein.

FURTHER RESOLVED, that in accordance with Article 57-A:

a) only those records will be disposed of that are described in *Retention and Disposition Schedule for New York Local Government Records* after they have met the minimum retention periods described therein;

b) only those records will be disposed of that do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established legal minimum periods.

RECORDS DESCRIPTIONS AND RETENTION PERIODS

GENERAL ADMINISTRATION

NOTE: Records common to most offices are listed under this section of the Schedule. In using the Schedule, one should first attempt to locate a specific item under a functional heading. If the record you are locating cannot be found under a functional heading, then proceed to this General Administration section to search for a less specific item covering the record.

♦ **NOTE:** Some of these items appeared in the Miscellaneous and County Clerk sections of previous schedules.

Census and Demographics

1 CO2 186, MU1 335, MI1 281
Census records
of all regular and special local, New York State and Federal censuses:
RETENTION: PERMANENT

2 CO2 351, MU1 322,
Certificate of population,
received from federal Bureau of the Census, filed with county or municipality after each census enumeration:
RETENTION: PERMANENT

♦ **3** CO2 736, MU1 331,
Out-of-state or other unofficial marriage, birth, death or divorce records, separation, or annulment records
filed with clerk for informational purposes:
RETENTION: 0

4 CO2 738, MU1 743,
Domestic partnership statement,
notice of termination, and related records, filed with municipality or county:
RETENTION: PERMANENT

5 CO2 353, MU1 324,
Military service and militia assessment records:
RETENTION: PERMANENT

Corporation and Business Entities Filings

6 CO2 182, MU1 740,
Assumed business name certificates
(D.B.A.-Doing Business As) and related materials

a Assumed business name certificate:
RETENTION: 6 years after discontinuance filed

b Assumed business name certificate index:
RETENTION: PERMANENT

7 CO2 189, MU1 741,
Register of professions,
including nurses, midwives, doctors and other professionals:
RETENTION: PERMANENT

♦ **8** CO2 367, MU1 338, ED1 172, MI1 282
Minority-, and women-, or disadvantaged-owned business files,
covering minority-, women-, or disadvantaged-owned (MWBE and DBE) businesses doing business with or in the jurisdiction of a local government

a Summary record listing businesses, eligibility criteria and official government policy statement:
RETENTION: PERMANENT

b Detailed application/questionnaire/response completed by business:
RETENTION: 5 years after date of most recent entry in record
NOTE: Appraise these records for historical significance prior to disposition. If the local government uses its own rather than statewide criteria for approving these businesses, then these records may document minority-, women-, or disadvantaged-owned businesses operating in the community.

c Directory of state-approved minority-, women-, and disadvantaged-owned businesses, maintained by State Department of Economic Development or New York State Unified Certification Program:
RETENTION: 0 after superseded

d Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, but not including summary record, detailed application/questionnaire/response, eligibility criteria and official government policy statement, and state-supplied directory of businesses:
RETENTION: 6 years after contract expiration

♦ **9** CO2 169, MU1 330,
Chattel mortgages and conditional sales
NOTE: Local governments may wish to consider long-term or permanent retention for chattel mortgage records since documentation often contains information about debtor-creditor relations and transactions, as well as prove useful for social history.

a Index volume or other master listing of chattel mortgages and/or conditional sales:

RETENTION: PERMANENT

b Chattel mortgage or conditional sale contract and satisfaction:
RETENTION: 0

10 MU1 327,
Public utility gross income tax return,
filed with city or village receiving tax payment from utility:
RETENTION: 6 years

11 CO2 863,
Copy of inspection and/or investigation report,
relating to licensing and operation for non-profit organization conducting bingo or games of chance:
RETENTION: 1 year

♦ 12
Lottery, raffle, or other fund-raising game or event records,
except bingo or games of chance, when operated by local government:
RETENTION: 3 years
NOTE: Records relating to licensing of bingo or games of chance by local governments are covered under the Games of Chance/Bingo/Lottery section.

13 CO2 363,
Liquor license and excise certificate records:
RETENTION: PERMANENT

14 MU1 738,
Power generating facility licensing records,
covering all records submitted to municipality as part of nuclear power, hydropower, cogeneration or other power facility licensing or relicensing process, including but not limited to maps and plans, construction specifications, reports and studies, copies of applications, copies of court transcripts and environmental data collected as part of application process

a Copies held by municipality where facility (or proposed facility) is located:
RETENTION: PERMANENT

b Copies held by other municipalities in the area, supplied by applicant for informational purposes:
RETENTION: 0 after no longer needed

Education and Child Care

♦ **NOTE:** Records in this section do not apply to school districts, BOCES, or community colleges. School-related records are covered in the School Districts and BOCES and Community Colleges sections.

15 CO2 364, MU1 325,
School district records,
submitted to county, town, or village prior to consolidation of school districts into centralized districts

a Basic records, including but not limited to school district trustees' minutes; school commissioners' reports; school district "record books"; records of district formation, alteration or consolidation; teacher hiring and salary records; school fund and other accounting ledgers; attendance records; school censuses; district tax rolls or lists; school library reports and book lists; certificates of apportionment; and annual and special reports:
RETENTION: PERMANENT

b Supporting fiscal and administrative documentation, including but not limited to receipts, warrants and orders to pay, canceled checks, bank statements, and routine correspondence:
RETENTION: 6 years

16 CO2 1055, ED1 470, MI1 907
Child day care program records

a Participant records, including applications to attend day care program; children's immunization and health records, including parent's consents for emergency medical treatment; and related records:
RETENTION: 3 years after child attains age 18

b Program records not covered by other items on this Schedule, including those required to be maintained by 18NYCRR Sections 414.15, 418-1.15 and 418-2.15, including program registration records; video surveillance tapes; daily attendance records; staff health statements; Statewide Central Register clearance forms and related records; documentation of facility compliance with Uniform Fire Prevention and Building Code and other state requirements; description of program activities; and related records:
RETENTION: 6 years or 6 years after superseded or obsolete, whichever is longer

c Applications from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
RETENTION: 3 years

17 CO2 360,
Handicapped child's case folder related to child's education,
containing records created in compliance with Article 89, Education Law:
RETENTION: 0 after individual attains age 27

18 CO2 857, MU1 340,
List of community college students residing in municipality:
RETENTION: 0 after superseded or obsolete

19 CO2 362, MU1 735,

Certificate of residency
issued to person enrolling in a community college:
RETENTION: 6 years

20 CO2 361,
Student's individual case folder for county medical scholarship program:
RETENTION: 6 years after individual fulfills or defaults on contract

Ethics

21 CO2 366, MU1 337, ED1 463, MI1 733
Financial or political interest disclosure records,
filed by vendor or contractor doing business with the local government:
RETENTION: 6 years

22 CO2 860, MU1 737, ED1 464, MI1 906
Annual financial disclosure statements,
filed by local political party official or candidate for local elected office, pursuant to Section 812.1 (a), General Municipal Law:
RETENTION: 7 years

23 CO2 866, MU1 891, ED1 461, MI1 738
Lobbying activity records,
including but not limited to registration records and periodic reports of lobbying activity filed with the New York State Joint Commission on Public Ethics:
RETENTION: 3 years

Incidents

24 CO2 31, MU1 31, ED1 31, MI1 31
Accident report
and related records:
RETENTION: 3 years, or 0 after individual attains age 21, whichever is later

25 CO2 17, MU1 17, ED1 17, MI1 17
Internal investigation or non-fiscal audit records
NOTE: Fiscal audit records are covered by item no. 472 in the Fiscal section, Audit subsection. Investigations of personnel are covered by item no. 637 in the Personnel/Civil Service section, Personnel subsection.

a Report and recommendation resulting from investigation:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

26 CO2 32, MU1 32, ED1 32, MI1 32
Report of incident of theft, arson, vandalism, property damage or similar occurrence:

RETENTION: 6 years
NOTE: This item does not apply to records found in the public safety area. See the Public Safety section of this Schedule. For records of responses to threats against public and other facilities, and discovery of possible explosives, pathogens or other hazardous substances, see item no. 925 in the School District and BOCES section.

♦ **27** CO2 865, MU1 890, ED1 140, MI1 737
Child abuse or maltreatment reports
and related records, reporting agency copy
NOTE: This item covers copies of child abuse and maltreatment reports and related records retained by agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. Reporting agencies may be in such areas as education, youth services and recreation. Reporting copies maintained by law enforcement agencies are covered by item no. 1281 in the Public Safety section, Law Enforcement: Miscellaneous subsection.

a For sexual offenses against a child as defined by the Child Victims Act:
RETENTION: 0 after child attains age 55

b For all other offenses:
RETENTION: 3 years

28 CO2 354, MU1 328, ED1 459, MI1 277
Noise level monitoring records,
including but not limited to summary records, showing long-term trends and developments and original entry and intermediary records, including charts, graphs and statistics:

RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of summary records, showing long-term trends and developments, in cases where noise levels are a matter of public concern. Contact the State Archives for additional advice in this area.

Legal

♦ **NOTE:** Additional legal records are covered under the Attorney, Counsel, or Public Defender section.

29 CO2 4, MU1 4, ED1 4, MI1 4
Legal opinion
or legal directive rendered by local, state, or federal government agency:

RETENTION: PERMANENT

30 CO2 5, MU1 5, ED1 5, MI1 5
Local law (including certification that law was properly enacted), rule, regulation, ordinance, resolution, proclamation or court order:

RETENTION: PERMANENT

31 CO2 858, MU1 342,
Local law or ordinance violation records,
not related to zoning ordinance violation

a For alleged but unfounded violation:
RETENTION: 1 year

b Violation files:
RETENTION: 6 years after date of last entry in record

c Master summary record of violations:
RETENTION: PERMANENT

32 CO2 6, MU1 6, ED1 6, MI1 6
Legal agreement,
including contract, lease, and release involving local government:

RETENTION: 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

NOTE: This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 649 in the Personnel/Civil Service section, and must be retained permanently.

33 CO2 7, MU1 7, ED1 7, MI1 7
Signature card,
or equivalent record, showing signature of individual legally authorized to sign specific transaction:

RETENTION: 6 years after authorization expires or is withdrawn

34 CO2 195, MU1 742,
Notary public and Commissioner of deeds
appointment records, including but not limited to commission, certificate of official character, certificate of appointment and oath:

RETENTION: 6 years after each authorization expires or is withdrawn

♦ 35
Notices of appearance,
filed by individual retained by another person or group to represent them at an appearance before the governing body or department:

RETENTION: 3 years

36 CO2 8, MU1 8, ED1 8, MI1 8
Proof of publication or posting,

legal notices, or certification thereof
NOTE: This item does not apply to real property tax lien sales (see item no. 1051 in the Taxation and Assessment section).

a Relating to bond or note issue or tax limit increase:
RETENTION: 6 years after issue or increase disapproved or retired

b Not relating to bond or note issue or tax limit increase:
RETENTION: 6 years

♦ **37**

Copy of order of protection for student or employee at school or place of employment,
pursuant to Article 530, Criminal Procedure Law:
RETENTION: 6 months after order expires or otherwise becomes invalid

38 CO2 350, MU1 321,
Reapportionment or establishment plan
for legislative body, including background materials:
RETENTION: PERMANENT

39 CO2 352, MU1 323,
Official record of street name and/or street address changes:
RETENTION: PERMANENT

40 CO2 855, MU1 326,
District reference file,
covering school, (special) improvement, and fire districts

a Records documenting the establishment, extension, alteration, consolidation or dissolution of district, including but not limited to petition, records of public hearing, correspondence with New York state agencies, maps, surveys, special reports and studies, and photographs:
RETENTION: PERMANENT

b Background materials and supporting documentation, including but not limited to periodic reports, routine correspondence, memoranda and copies of district budgets:
RETENTION: 6 years

41 CO2 356, MU1 334, MI1 280
Governmental establishment and reorganization records,
covering establishment, incorporation, annexation, consolidation, dissolution or charter revision, for political subdivision, including but not limited to petitions, special studies and surveys, correspondence with state agencies, records of voter action and reports:
RETENTION: PERMANENT

42 CO2 357,
Notification of proposed zoning change,

received from municipality adjoining county:

RETENTION: 1 year

♦♦**43** CO2 359, 992, MI1 612, 856, LGS1 254

Records created in the establishment, change, or dissolution of a county water, sewer, drainage, refuse or agricultural district,

regardless of approval or denial:

RETENTION: PERMANENT

44 CO2 856, MU1 336,

Historic preservation records,

including but not limited to background files relating to proposed historic preservation legislation, historic district and/or structure designation, records and case files for proposed external modifications to structures with historic designations:

RETENTION: PERMANENT

45 CO2 368, MU1 339, ED1 173, MI1 283

Record of gifts and bequests to a local government,

including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment

NOTE: This does not apply to donations of real property, which are covered by item no. 803 in the Public Property and Equipment section.

a When trust fund or endowment is involved:
RETENTION: PERMANENT

b For gift of work of art, historical or other artifact or historical manuscript:
RETENTION: PERMANENT

c For gift or bequest not covered under parts "a" or "b", or by note above:
RETENTION: 6 years

46 CO2 859, MU1 736, MI1 734

Community service records,

showing time worked and type of tasks performed by person sentenced by court to community service:

RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

Meetings/Hearings

47 CO2 1, MU1 1, ED1 1, MI1 1

Official minutes and hearing transcripts of governing body or board, commission or committee thereof,

including all records accepted as part of minutes:

RETENTION: PERMANENT

♦ **48** CO2 3, MU1 3, ED1 3, MI1 3

Meeting files of governing body or board or agency, commission or committee thereof,
including agendas, background materials and other records used at meetings

NOTE: Appraise these records for continuing administrative or historical value prior to disposition. Agendas may have continuing administrative value and may be useful for accessing information in unindexed minutes and for indexing those minutes. Other records prepared for or used at meetings may have administrative or historical value for documenting issues discussed at the meetings and referenced in the minutes. See item no. 47, above, for records which are accepted as part of the minutes.

a Records not accepted as part of the minutes, including agendas, background materials and other records used at meetings:
RETENTION: 1 year

b Temporary drafts or personal notes that were not circulated, reviewed, or used to make decisions or complete transactions:
RETENTION: 0 after no longer needed

♦ **49**

Minutes and meeting files of non-governing bodies,
including internal staff committees or teams, inter-agency teams, or entities not covered by Public Officers Law Article 7 (Open Meetings Law), documenting proceedings of meetings, including minutes, agendas, background materials, recordings, and other records

NOTE: See item nos. 47, 48, and 51 for minutes, recordings, and meeting files of governing bodies or entities covered by the Open Meetings Law.

a Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:
RETENTION: PERMANENT

b Containing routine legal, fiscal or administrative information:
RETENTION: 6 years

c Of no fiscal, legal or administrative value:
RETENTION: 0 after no longer needed

♦ **50**

External group meeting files,
including minutes, agendas, background materials, studies and reports, and other records used by an employee acting in an official capacity with associations, organizations, or other groups that are not part of the local government:

RETENTION: 0 after no longer needed

♦ **51** CO2 2, MU1 2, ED1 2, MI1 2

Recording of voice conversations,
including audio and video recordings, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record

a Recording of public or other meeting of governing body or board, committee or commission thereof:

RETENTION: 4 months after transcription or minutes are created

NOTE: Industrial development agencies are required to post video recordings of all open meetings and public hearings on their websites for a period of not less than five years pursuant to Section 857, General Municipal Law. Appraise these records for historical significance prior to disposition. Audio and videotapes of public hearings and meetings at which significant matters are discussed may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice on the long-term maintenance of these records. Video recordings of public hearings and meetings which have been broadcast on local government public access television are covered by item no. 72.

b Other recordings:

RETENTION: 0 after no longer needed

Office Administration

52 CO2 9, MU1 9, ED1 9, MI1 9

Manual of procedures,

or policies and standards

a Involving major procedures, policies and standards affecting local government operations, critical functions or issues of public visibility or concern:

RETENTION: PERMANENT

NOTE: Disaster plans are covered by item 139 in the Civil Defense/Disaster Preparedness section.

b Involving routine day-to-day procedures, policies and standards pertaining to internal administration of a local government:

RETENTION: 6 years after superseded

53 CO2 10, MU1 10, ED1 10, MI1 10

Correspondence,

and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule

a Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:

RETENTION: PERMANENT

NOTE: Significant correspondence is often maintained by the chief executive or administrative officer, and sometimes in subject file format. See item no. 471 in the Executive section.

b Containing routine legal, fiscal or administrative information:

RETENTION: 6 years

c Of no fiscal, legal or administrative value (including letters of transmittal,

invitations and cover letters):

RETENTION: 0 after no longer needed

54 CO2 12, MU1 12, ED1 12, MI1 12

Special project or program files,

including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:

RETENTION: 6 years after project or program ends

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If special projects or programs deal with significant subjects, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

55 CO2 13, MU1 13, ED1 13, MI1 13

Grant program file

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.

a Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:

RETENTION: 6 years after renewal or close of grant

NOTE: Local governments may find that some of the records covered by part "a" have ongoing administrative value. These records may be useful beyond the minimum retention period for preparing future grant applications.

b Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:

RETENTION: 6 years after renewal or close of grant or denial of application

56 CO2 867, MU1 892, MI1 739

Project review records,

covering projects requiring approval by the Adirondack Park Agency, Lake George Park Commission, or other government entity or agency, where local government receives records for comment or review, or for informational purposes

a When permit or other approval must be granted by local government involved:

RETENTION: Retain as long as related building, land use, planning, zoning, or environmental permit or approval

b When no permit or approval by local government is needed, and records are received for comment or informational purposes only:

RETENTION: 3 years after date of most recent entry

57 CO2 18, MU1 18, ED1 18, MI1 18

Internal information record,

including but not limited to calendars of appointments, office and travel schedule,

memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes:

RETENTION: 0 after no longer needed

58 CO2 19, MU1 19, ED1 19, MI1 19
Duplicate copy of record,
created for administrative convenience, except where retention is specified elsewhere in this Schedule:

RETENTION: 0 after no longer needed

59 CO2 20, MU1 20, ED1 20, MI1 20
Log or schedule
used for internal administrative purposes only:

RETENTION: 0 after no longer needed

60 CO2 21, MU1 21, ED1 21, MI1 21
Mailing list
used for billing or other administrative purposes:

RETENTION: 0 after superseded or obsolete

61 CO2 25, MU1 25, ED1 25, MI1 25
List, index or summary
used for internal administrative convenience or for informational purposes:

RETENTION: 0 after obsolete

62 CO2 26, MU1 26, ED1 26, MI1 26
Working document,
such as draft, worksheet or posting record except worksheets containing fiscal information:

RETENTION: 0 after no longer needed

63 CO2 27, MU1 27, ED1 27, MI1 27
Communication log
recording each communication between caller and receiving unit:

RETENTION: 1 year
NOTE: Item nos. 63 and 64 do not apply to records found in the public safety area. See the Public Safety section.

64 CO2 28, MU1 28, ED1 28, MI1 28
Telephone call log, statement or equivalent record:

RETENTION: 1 year

65 CO2 33, MU1 33, ED1 29, MI1 29
Identification card
(duplicate copy or record of issuance) issued to student, client, patron or resident:

RETENTION: 0 after invalid

NOTE: This does not apply to identification cards issued by a law-enforcement agency as proof of age or identity or identification cards issued by local government to its employees. For these, see item no. 1231 in the Public Safety section and item no. 642 in the Personnel/Civil Service section.

66 CO2 30, MU1 30, ED1 30, MI1 30

Postal records,

including returned registered or certified mail card or receipt and insurance receipt:

RETENTION: 1 year

NOTE: This does not apply to records documenting delivery of notification to interested parties relating to tax lien sales. See the Taxation and Assessment section of this Schedule.

67 CO2 861, MU1 739, ED1 460, MI1 735

Miscellaneous non-government records,

received by local government:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself. Records not retained permanently may be offered to a local historical records repository. Contact the State Archives for additional advice. Upon the receipt of these non-public records by a local government, these records become "local government records." Published materials received by a local government are not considered to be public records.

Public Relations

68 CO2 11, MU1 11, ED1 11, MI1 11

Official copy of publication,

including newsletter, press release, published report, calendar, bulletin, recording, homepage or other website file, educational or informational program material prepared by or for local government, and associated consent forms

NOTE: Specific publications are listed in other places in this Schedule. Before using this item to determine the minimum legal retention for a publication, determine if that publication is covered by a more specific item.

a Publications which contain significant information or substantial evidence of plans and directions for government activities, or publications where critical information is not contained in other publications:

RETENTION: PERMANENT

b Publications where critical information is also contained in other publications or reports, publications which document routine activities, publications which contain only routine information, or publications (such as webpages) that

facilitate access to government information on the Internet:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of samples of publications covered by part "b" of the above item. Contact the State Archives for additional advice in this area.

♦ **69** CO2 720, MU1 654, ED1 398, MI1 582

Records covering photocopying and other reproduction

of records, books, or other materials, including usage logs and individual copying requests

a For materials subject to U.S. Copyright Law:
RETENTION: 5 years

b For materials not subject to U.S. Copyright Law:
RETENTION: 0 after no longer needed

70 CO2 721, MU1 861, ED1 399, MI1 583

Copyright records,

for materials copyrighted by local government, including but not limited to copy of application, notice of copyright and correspondence:

RETENTION: 6 years after copyright expires or application denied

71 CO2 864, MU1 889, ED1 393, MI1 736

Photographs, other visual media, or audio/video records,

including aerial photographs and consent forms, created by a local government, which are not part of a record series listed elsewhere in this Schedule:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Some photographs and other visual media records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **72** CO2 719, MU1 653, ED1 314, MI1 581

Local government public access television records

a Recording of local government public access television program, where program is produced by a local government and where program constitutes an important public meeting, significant event, important subject or documents local government policy making:

RETENTION: PERMANENT

NOTE: In order to ensure the continued preservation and availability of recordings, local governments should consider using broadcast-quality recordings where possible. Those recordings should be periodically inspected and copied to newer media and formats. Consult State Archives for additional advice.

b Recording of local government public access television program, where program

is produced by a local government and where program constitutes a routine meeting, event or subject:

RETENTION: 1 year

c Recording of local government public access television program, where program is aired but not produced by a local government:

RETENTION: 0 after no longer needed

d Viewer guide or other periodic listing of programs:

RETENTION: 1 year

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. The State Archives recommends that local governments retain a sampling of these records on a monthly, seasonal or other periodic basis.

e Program files on local government cable television programs:

RETENTION: 6 years

73 CO2 22, MU1 22, ED1 22, MI1 22

Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:

RETENTION: 6 years

NOTE: For annual, special, or final report, summary, review or evaluation, see item no. 74, below. For routine internal reports and reviews, see item no. 57.

74 CO2 23, MU1 23, ED1 23, MI1 23

Annual, special or final report, summary, review or evaluation

NOTE: Specific annual reports are listed in many places in this Schedule. Before using this item to determine the minimum legal retention for an annual report, determine that a report is not covered by a more specific item.

a Reports which contain substantial evidence of government policy, procedures, plans and directions:

RETENTION: PERMANENT

b Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain only routine legal, fiscal and administrative information:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

75 CO2 24, MU1 24, ED1 24, MI1 24

Program plan (annual, special or long-range):

RETENTION: PERMANENT

NOTE: Program plans of a routine nature covering internal activities are covered by item no. 57. Program plans where significant information is duplicated in other records (which are retained permanently) are covered by item no. 58.

76 CO2 15, MU1 15, ED1 15, MI1 15

Opinion survey records

a Survey results, including official copy of survey form:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Survey results and sample forms involving very significant issues should be retained permanently.

b Completed survey forms:

RETENTION: 0 after survey results prepared

Services

77 CO2 29, MU1 29, ED1 313, MI1 33

Complaint, petition or request for service

received by local government

NOTE: Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently. For additional fiscal items, see Fiscal section of this Schedule.

a Summary record (such as log or register) of complaints, petitions or requests:

RETENTION: 6 years after disposition of all complaints, petitions or requests listed

b Complaints, petitions or requests relating to other than routine services or activities:

RETENTION: 6 years after final disposition of complaint, petition or request

c Complaints, petitions or requests relating to routine government services or activities:

RETENTION: 1 year after final disposition of complaint, petition or request

78 CO2 16, MU1 16, ED1 16, MI1 16

Repair, installation, maintenance or similar record,

including but not limited to request for service, work order, record of work done, and summary or log of service performed:

RETENTION: 6 years

NOTE: For maintenance, testing, service, operational and repair records for public equipment or vehicle, see item no. 817 in the Public Property and Equipment section.

79 CO2 349, MU1 320, MI1 276

Ombudsman/referral service records

covering citizen complaint services, landlord/tenant advisory services, job placement consultation, handicapped person's assistance, and related services, including but not limited to log or master index, copies of complaints, intakes and referrals, and individual case file materials

a Relating to other than routine services or activities:

RETENTION: 6 years after final disposition of matter

b Relating to routine services or activities:
RETENTION: 1 year after final disposition of matter

80 CO2 355, MU1 332,
Surplus food distribution records,
covering federally donated food and related commodities, including but not limited to inventory, order form, eligibility determination records, authorizing receipt and reports on storage and distribution:

RETENTION: 4 years

Training

♦ **81** CO2 722, MU1 655, ED1 400, MI1 584
Training course information records,
including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of registrants

NOTE: This item does not cover training in the Public Safety area; see item nos. 1187 and 1200 in the Public Safety section and item no. 930 in the School Safety sub-section. This item does not cover training in dealing with toxic substances; see item no. 654 in the Personnel/Civil Service section. For commercial motor vehicle driver alcohol and drug testing training, see item no. 671 in the Personnel/Civil Service section. Records of earnings (in-service) credits are covered by item no. 636 in the Personnel/Civil Service section. See Fiscal section for records of fiscal transactions involving training programs. For employee training history records, see item no. 640 in the Personnel/Civil Service section.

a Continuing Teacher and Leader Education (CTLE) Sponsors courses and workshop:
RETENTION: 8 years

b All other training:
RETENTION: 0 after superseded or obsolete

♦ **82** CO2 723, MU1 656, MI1 585
Training course registration processing records,
including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:

RETENTION: 0 after no longer needed for administrative use

AGING OR SENIOR SERVICES

83 CO2 34, MU1 34,
Annual and multi-year comprehensive plans,
compliance reports and non-fiscal audits relating to aging services:
RETENTION: PERMANENT

84 CO2 35, MU1 35,
Log or index
of seniors served by local aging services program:
RETENTION: 0 after no longer needed

♦ **85** CO2 36, MU1 36,
Individual client file,
including but not limited to applications, evaluations, and follow-up report:
RETENTION: 6 years after last contact with client, but not until 3 years after individual attains age 18
NOTE: In instances where local government aging offices also have contact with minors in relation to Medicaid, retention needs to account for the legal age of majority of the client.

♦ **86**
Nutrition service records,
including eligibility assessments, participant information, nutrition counseling, and meal services:
RETENTION: 6 years

87 CO2 37, MU1 37,
Senior volunteer file,
including but not limited to registration, enrollment and service records:
RETENTION: 6 years

ARCHIVES/RECORDS MANAGEMENT

♦ **88** CO2 38, MU1 38, ED1 36, MI1 34

Records disposition documentation

a Consent of the Commissioner of Education to the use of records retention and disposition schedules and the legal disposition of records:
RETENTION: 0 after superseded

b Documentation of final disposition of records, describing records disposed of and manner and date of disposition:
RETENTION: 6 years after final disposition of records

c Documentation of inadvertent or premature destruction or loss of records:
RETENTION: 6 years after expiration of original disposition term
NOTE: Local governments may wish to retain records covered by part "b" and "c" longer than the minimum retention period, to provide evidence that records have been legally disposed of, in response to requests for public access to records. In addition, documentation of the final disposition of archival records is covered by item no. 90. The Public Service Commission must be notified regarding any premature destruction or loss of records related to public service utilities per 16NYCRR 733.9.

89 CO2 39, MU1 39, ED1 37, MI1 35

Inventory of records

including descriptive inventories of records indicating the titles, contents, locations, volume, inclusive dates, and other attributes of those records:

RETENTION: 0 after superseded by a new or updated inventory

90 CO2 40, MU1 40, ED1 38, MI1 36

Records transfer list

a For archival records:
RETENTION: PERMANENT

b For inactive records:
RETENTION: 0 after disposition of records on list

♦ **91** CO2 41, MU1 41, ED1 39, MI1 37

Retrieval request

for records in storage, including charge-out slips or logs:

RETENTION: 3 years after records have been removed from storage or returned following retrieval

NOTE: Local governments may wish to retain documentation of records that were not returned to storage longer than the indicated retention period to indicate the status and location of those non-returned records. They may need to use these records to track missing files, and to provide information or evidence of their unavailability during audits or litigation.

92 CO2 42, MU1 42, ED1 40, MI1 38

Archival administration records

a Appraisal and accessioning documentation, including assessment of conservation needs:
RETENTION: PERMANENT

b Processing and management working papers, drafts, notes, and related records:
RETENTION: 0 after no longer needed

93 CO2 43, MU1 43, ED1 41, MI1 39

Guide, listing, index, or other finding aid
to archival records:

RETENTION: 0 after superseded

NOTE: Local governments should retain any superseded guides, lists, indices or other finding aids containing record numbering and identification information, or any other significant information not carried forward to newer versions.

94 CO2 44, MU1 44, ED1 42, MI1 40

Records on use of archival materials

a Log or register of researchers, and patron's registration for use of archival records:
RETENTION: 6 years

b Researcher interviews, reference statistics, requests for records, or similar reference service records:
RETENTION: 0 after no longer needed

ATTORNEY, COUNSEL, OR PUBLIC DEFENDER

♦ **95** CO2 159, MU1 45, ED1 50, MI1 41

Legal case file,

documenting litigation and routine matters, including but not limited to court records, investigative materials, memos, correspondence, and decisions and determinations

a For legal case file of attorney or counsel:

RETENTION: 6 years after case closed, or 0 after any minor involved attains age 21, whichever is later

NOTE: Evidence, including video and audio recordings, should be returned to law enforcement or owner as appropriate. Local law enforcement should retain evidence as long as the corresponding case investigative file, item no. 1222.

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact the State Archives for additional advice in this area. In addition, local governments may wish to retain the complaint and release for routine cases longer for convenience of reference.

b For legal case file of public defender:

RETENTION: Retain until 6 years after case closed, or 0 after any minor client attains age 21, whichever is later. Subsequent to this period, the file must continue to be maintained until death of the client concerned, 80 years after date of birth of the client concerned, or the client concerned provides instructions on disposition of the file, whichever is earlier.

NOTE: This retention period provides for lengthy retention of case files in the absence of instructions from the client on the disposition of the records, such as to transfer the file to the client or to destroy the file. This lengthy period will meet potential future needs of the client for the records or information they contain. These may include use in future civil or criminal matters, such as immigration, capital cases or other legal actions, in which records of previous criminal events and proceedings would be relevant. Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently in the absence of any instructions from the client to the contrary. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact the State Archives for additional advice in this area.

96 CO2 160, MU1 46, ED1 51, MI1 42
Legal brief file
("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:

RETENTION: 0 after no longer needed

97 CO2 161, MU1 47, ED1 52, MI1 43
Legal case log
giving chronological listing of cases:

RETENTION: 0 after no longer needed

98 CO2 162, MU1 48, ED1 53, MI1 44
Legal case index or summary record,
summarizes and/or tracks status of case and may contain listing of cases, dates and summaries of proceedings, conclusions and recommendations, final determinations, notations on activities related to case, and related information:

RETENTION: PERMANENT

♦ 99
Evidence logs
documenting the receipt, handling, and return of evidence in the course of an investigation:

RETENTION: 1 year after case closed

100 CO2 1047, ED1 403, MI1 880
Subpoena,
along with documentation of response, issued to local government agency or officer, when not part of legal case file or any other series of records listed on this Schedule:

RETENTION: 6 months after date of response
NOTE: Subpoenas relating to legal case files or other series of records listed on this Schedule should be retained as part of or as long as that respective series.

♦ 101
Subpoenaed records or exhibits
gathered from a government, organization, or individual as part of the discovery process or subpoenaed under civil or criminal procedure law, but not used in a case:

RETENTION: 30 days after final disposition of case, unless return is requested by owner. If requested, return to owner.

102 CO2 163, MU1 49, ED1 54, MI1 45
Subject file
assembled and kept for reference purposes:

RETENTION: 0 after no longer needed

103 CO2 164, MU1 50,

Indigent defendant screening records
documenting investigation of defendant's need for public defender, including case investigations and master summary record of court assignments and subsequent investigation:

RETENTION: 6 years

104 CO2 733,
County attorney's or law department's copy of application for "poor person" status,
filed according to Article 11, Civil Practice Law and Rules, along with copy of response or recommendation:

RETENTION: 1 year

BUILDING AND PROPERTY REGULATION

Building and Construction (Regulation and Inspection)

NOTE: Applications for permits necessary for connection to public water supply system or municipal sewer, for individual water supply or sewage disposal system for groundwater drainage, and for soil or stream disturbance or realty subdivision construction, are found in the Environmental Health section of this Schedule. For additional records dealing with historic preservation, see item no. 44 in the General Administration section.

108 CO2 52, MU1 58, MI1 589
Master summary record,
including index, log or journal, covering building code complaints, inspections, investigations, and violations:

RETENTION: PERMANENT

♦ **109** CO2 53, MU1 59, MI1 590
Property maintenance or building inspection records,
including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case
NOTE: For records that fall outside the building inspection process, see item no. 114. Building inspection records relating to building permit issuance are covered by item no. 112.

a Records documenting major issues (those that constitute a fire hazard or a serious threat to the life, health or safety of occupants) related to a school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:

RETENTION: 6 years after building no longer exists, but not less than 21 years

b Records documenting routine or minor issues related to a school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:

RETENTION: 6 years after last entry in record

c For single family home:
RETENTION: 6 years after last entry in record

110 CO2 727, MU1 917, MI1 591
Fire safety inspection records

a Master summary record of inspections performed:
RETENTION: PERMANENT

b Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:
RETENTION: 21 years
NOTE: If fire safety inspection records are combined or interfiled with building

inspection records, use item no. 109.

c Report on inspection of single family dwelling and notice of violation:
RETENTION: 6 years

111 CO2 728, MU1 660, MI1 592

Building inspection data file

contained in building/property history system, and related records, created for informational and reference purposes, containing information on building inspections not related to building permit issuance, certificate of occupancy issuance, fire inspections, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Counties should consider permanent retention of the basic data elements of this building inspection data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

♦ **112** CO2 54, MU1 60, MI1 593

Building permit and certificate of occupancy issuance records

NOTE: Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.

a Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:
RETENTION: PERMANENT

b Log or other chronological list recording permits or certificates of occupancy issued:
RETENTION: 1 year after last entry in record, or 1 year after posting

c Building, plumbing, electrical, demolition or related permit file, including application and supporting materials; plans, maps and drawings; specifications; inspection reports; copies of all required permits and approvals; affidavit of compliance or completion of work; records of appeal when permit is denied; certificate of occupancy and correspondence, when permit is granted:
RETENTION: 6 years after building no longer exists

d Building, plumbing, electrical, demolition or related permit file, when permit is denied:
RETENTION: 6 years after final decision

e Building, plumbing, electrical, demolition or related permit file, when application is discontinued, has lapsed or is incomplete:

RETENTION: 90 days after date of most recent entry in record

f Building, plumbing, electrical, demolition or related permit file for non-structural modifications to shopping mall, office complex or similar structure (modifications not involving changes to fire suppression or alarm systems), when permit is granted:
RETENTION: 10 years
NOTE: Certain records covered by this item may be included under item no. 113, such as in instances where they are maintained in electronic format and not created as hard-copy output and included in the building permit file. In these cases, the electronic records covered by item no. 113 must be retained as long as specified by this item.

g Certificate of occupancy and application when not related to building permit application:
RETENTION: 6 years after building no longer exists

h Pre-printed construction specifications submitted as part of building permit application as required by building trade or insurance companies:
RETENTION: 6 years after denial of permit or completion of work

i Plumbing system review or similar records held by county health department which assists municipality in building permit application review and issuance:
RETENTION: 0 after no longer needed
NOTE: In cases where all documentation is not forwarded to the municipality, the county agency may wish to retain these records as long as the municipality retains the records covered by parts "c" through "f," above.

113 CO2 729, MU1 661, MI1 594
Building permit issuance data file
contained in building/property history system, and related records, created for informational and reference purposes, containing information on applications for and issuance of building permits, including related inspections, certificate of occupancy issuance, and other relevant detailed information:

RETENTION: 0 after no longer needed
NOTE: Counties should consider permanent retention of the basic data elements of this building permit issuance data for all parcels of property in the county, unless that data is preserved by the master summary record (see item no. 108.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice in this area.

114 CO2 730, MU1 662, MI1 597
Building complaints/violations records,
including data file contained in building/property history system, warrants, summonses, and related records, containing information on complaint tracking and violation

processing, and other relevant information:

RETENTION: 6 years

NOTE: For citizen complaints and requests for services, not covered by items in this section, see item no. 77 in the General Administration section. For sanitary code violations, see item no. 406 in the Environmental Health section. Counties should consider longer retention of the basic data elements of this complaints/violations data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105). This information may be useful for long-range planning purposes in conjunction with building permit issuance and building inspection data. Contact the State Archives for additional advice.

115 CO2 55, MU1 61, MI1 595

Building condemnation and demolition files,

including application, copy of permit, correspondence, and notice of condemnation:

RETENTION: PERMANENT

116 CO2 56, MU1 62, MI1 596

Contractors' liability insurance records

a Certificate of insurance or copy of insurance policy:
RETENTION: 6 years after denial or expiration of relevant permit

b Master summary record of contractors doing business in municipality/county and their insurance coverage:
RETENTION: 1 year after superseded or obsolete

♦ **117**

Construction escrow account records,

including agreement, disbursement records, and transfer or termination of account records:

RETENTION: 6 years after transfer or termination of account

Building/Property History Systems

NOTE: Some municipalities and counties in the state use automated systems to keep track of various functions of their offices regarding building and property regulation. These systems, which we are referring to generically as "Building/Property History Systems," contain information in such areas as planning, zoning, building permits and inspections, fire safety, code enforcement, violations and complaints. In general, these systems do not replace existing hard copy-based systems, but do create some of the forms and other paper records in these files. In addition, these systems contain data files and other electronic records not found in manual systems. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well.

More importantly, these systems often contain summary information on various county and municipal activity regarding a specific building and/or parcel of real property. The building/property history data file, listed below, may contain retrospective information on building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections for a single parcel of property over a period of time.

105 CO2 724, MU1 657, MI1 586

Building/property history data file contained in building/property history system, and related records, created for informational and reference purposes, containing information on such areas as building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections:

RETENTION: 0 after no longer needed

NOTE: Counties should consider permanent retention of the basic data elements of these building/property history systems for all parcels of property in the county. This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

106 CO2 725, MU1 658, MI1 587

Street address/parcel number authority data file,

used to supply building/property history system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, and other essential data necessary for system to operate:

RETENTION: Retain until superseding or updated file received.

NOTE: This data is often received from an assessor's or tax office. See items covering real property data systems in the Taxation and Assessment section.

107 CO2 726, MU1 659, MI1 588

Lists, reports, studies, queries, searches for information, special project records and analyses

created from data contained in one or more data files in building/property history system

a Final reports and studies resulting from analysis of system data, including background materials and supporting documentation containing significant information on real property and structures located thereon, used for such purposes as long-range planning, change of zoning boundaries and regulations, or planning infrastructure improvements or new facility construction:

RETENTION: 6 years after project completed, or after date of final entry in record

NOTE: Appraise these records for historical significance prior to disposition. Records for important projects have historical value and should be retained permanently. Contact the State Archives for additional advice.

b Reports and studies resulting from analysis of system data, including background materials and supporting documentation, queries, searches for information, lists, logs or other internal information records, containing routine information on real property and structures located thereon, or used to produce final reports and studies:
RETENTION: 0 after no longer needed
NOTE: Queries conducted in automated systems are not considered "records" unless the query and/or its results are saved in electronic or manual format. See also related items in the Information Technology section.

Planning

118 CO2 425, MU1 397, MI1 340
Comprehensive plan development file,
including but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plan:

RETENTION: PERMANENT
NOTE: If multiple drafts of background surveys exist, retain initial, as-built and final surveys and dispose of drafts under item no. 62 in the General Administration section.

119 CO2 731, MU1 663, MI1 598
Planning action data file
contained in building/property history system, and related records, created for informational and reference purposes, containing information on mandatory or discretionary planning review, planning projects, and other relevant detailed information:

RETENTION: 0 after no longer needed
NOTE: Counties should consider permanent retention of the basic data elements of this planning action data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

120 CO2 426, MU1 398, MI1 341
Planning project or program file
for project or program developed by or for planning agency

a Final report and essential supporting information used to develop report, including but not limited to maps, plans, technical memoranda and environmental impact studies:
RETENTION: PERMANENT

b Background material, including but not limited to notes, memos, worksheets and correspondence:
RETENTION: 6 years

121 CO2 427, MU1 399, MI1 342
Master summary record
(log or register) maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken:
RETENTION: PERMANENT

122 CO2 428, MU1 400, MI1 343
Geographic reference file
maintained by planning agency for internal reference purposes, usually arranged by name of government agency or other service organization:
RETENTION: 0 after obsolete

♦ **123** CO2 429, MU1 401, MI1 344
Mandatory planning review case file
for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)
NOTE: "Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites. Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).

a Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is approved or denied (except records covered by part "d"):
RETENTION: PERMANENT

b Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is withdrawn or abandoned (except records covered by part "d"):
RETENTION: 10 years after last entry

c Any other mandatory review:
RETENTION: 6 years after last entry

d Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:
RETENTION: 6 years after last entry

e Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:
RETENTION: 1 year after last entry

f Application is incomplete:

RETENTION: 90 days after date of most recent entry in record

g Copies of records submitted to county planning agency, regional planning council or other review body for review:

RETENTION: 6 years after date submitted to review body

124 CO2 430, MU1 402, MI1 345

Discretionary planning review case file,

including review of planning review cases, federal or other aid projects, review of mining permit application, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, legally required notifications received from adjacent municipalities, maps, plans, sketches, and other supporting materials

a When review is carried out, and comments are forwarded by planning agency:
RETENTION: 3 years after last entry

b When no comments are forwarded by planning agency:
RETENTION: 1 year after receipt of request to review

Zoning

NOTE: For additional records dealing with historic preservation, see item no. 44 in the General Administration section.

125 MU1 664,

Master summary record

(log or register) maintained by zoning agency to record receipt of zoning variance and special use permit applications, change of zoning applications for individual parcels, and other zoning activity, and to record subsequent action taken:

RETENTION: PERMANENT

126 MU1 648,

Zoning maps,

and all updates:

RETENTION: PERMANENT

127 MU1 665,

Zoning action data file

contained in building/property history system, and related records, created for informational and reference purposes, containing information on zoning variances, special use permits, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Local governments should consider permanent retention of the basic data elements of this zoning action data for all parcels of property in the local government, unless that data is preserved by the building/property history system overall summary data file (see item no. 105). This information may be useful for long-range planning

purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

128 MU1 649,

Change of zoning records,

including application, petition, protest, hearing minutes, preliminary and final reports and correspondence, relating to changes proposed in zoning boundaries or regulations:

RETENTION: PERMANENT

NOTE: Change of zoning records relating to changes in zoning classification for individual parcels of property, not affecting other parcels or larger areas, are covered by item no. 129, as if these were zoning variance applications.

♦ 129 MU1 650,

Zoning variance or special permit file,

including application and supporting materials, hearing results, decision and appeal records

a For commercial, industrial, historic structure or multi-unit residential variance or permit (except records covered by part "c"):

RETENTION: PERMANENT

b For single-unit residential variance or permit:

RETENTION: 25 years after date of last entry

NOTE: Certain single-unit residential variance and permit files may be significant because they set legal precedents and should be retained permanently. Those involving the definition of what constitutes a "family" may be particularly important.

c Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:

RETENTION: 6 years after last entry

d Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:

RETENTION: 1 year after last entry

e Application is incomplete:

RETENTION: 90 days after date of most recent entry in record

130 MU1 651,

Notification of proposed zoning change,

received from adjacent municipality:

RETENTION: 1 year

131 MU1 652,

Zoning ordinance violation records,
not related to zoning variance or special permit application

a For alleged but unfounded violation:
RETENTION: 1 year

b Violation files:
RETENTION: 6 years after date of last entry in record

c Master summary record of violations:
RETENTION: PERMANENT

CEMETERY

132 MU1 63,
Record of lot owners,
"deed book" or equivalent record:
RETENTION: PERMANENT

133 MU1 64,
Bill of sale
issued to purchaser of lots:
RETENTION: 6 years

134 MU1 65,
Informational copy of deed
for lot, request for deed to be prepared, or request for copy of deed:
RETENTION: 0 after no longer needed

135 MU1 66,
Inscription taken from headstones:
RETENTION: PERMANENT

136 MU1 67,
Interment, exhumation or removal records,
including proof of military service and discharge:
RETENTION: PERMANENT

137 MU1 68,
Maps, plot plans and surveys:
RETENTION: PERMANENT

138 MU1 69,
Permit of approval
necessary to erect monument or perform other work on cemetery lot, including application and related records:
RETENTION: 6 years

CIVIL DEFENSE/DISASTER PREPAREDNESS

139 CO2 57, MU1 70, MI1 135

Disaster preparedness or crisis relocation records

a Official copy of plans, including supporting maps, when prepared by local government under provisions of Article 2-B, Executive Law, or other legal or regulatory requirements:
RETENTION: PERMANENT

b Copies of plans held by local government, including supporting maps, when official copies prepared under Article 2-B, Executive Law, are maintained by the local government which created them, along with other disaster preparedness plans, not prepared under Article 2-B, Executive Law, intended for specific buildings or for use by specific local government units:
RETENTION: 3 years after superseded

c Background materials and supporting documentation used in preparation of plans:
RETENTION: 3 years

♦ **140**

Test evacuation and mock disaster response records

a Official plan and detailed procedures for conducting test:
RETENTION: PERMANENT

b Summary report and post-event analysis:
RETENTION: PERMANENT

c Other records, including but not limited to copies of information provided participants and citizens, traffic congestion reports, video or audio recordings, and interviews with participants and emergency responders:
RETENTION: 3 years after date of most recent entry

♦ **141**

Disaster preparedness and emergency management training materials,
including lesson plans, course materials, and participant lists:
RETENTION: 3 years

♦ **142**

Dam safety records

a Emergency action plan:
RETENTION: 3 years after superseded by updated plan

b Inspection and maintenance plan and annual certification:
RETENTION: 3 years after superseded by revised plan or certification

c Incident reports:
RETENTION: PERMANENT

143 CO2 58, MU1 71, ED1 63,

Federal surplus property acquisition records:

RETENTION: 6 years after receipt of surplus property

144 CO2 59, MU1 72, ED1 64,
Emergency food storage records:

RETENTION: 3 years

145 CO2 60, MU1 73, ED1 65,
Emergency fuel allocation records,
including monthly application/report and detailed fuel allocation records:

RETENTION: 3 years

♦ **146** CO2 61, MU1 74, MI1 136
Disaster response and damage files
compiling information on the response of all agencies to a major disaster

NOTE: Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.

a Photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:

RETENTION: PERMANENT

b Emergency distribution records for food, medical, equipment, and other supplies:
RETENTION: 6 years
NOTE: Administration of vaccinations is covered by item no. 791 in Public Health section.

♦ **147**
Federal emergency management and disaster response grant files,
including application, proposal, narrative, evaluation, reports, background materials, fiscal records, and supporting documentation:

RETENTION: 6 years after renewal, close of grant, or denial of application
NOTE: Appraise these records for historical significance prior to disposition.

148 CO2 62, MU1 75, ED1 67,
Emergency operating center records
covering maintenance and use:

RETENTION: 6 years after center no longer used for civil defense purposes
NOTE: For property acquisition, facility construction and other records covering emergency operating centers and fallout shelters, see the Public Property and Equipment section.

149 CO2 63, MU1 76, ED1 68,
Fallout shelter records

a Licenses, plans and surveys:
RETENTION: 6 years after building no longer in existence

b Listing of shelters:

RETENTION: 0 after superseded or obsolete

COMMUNITY COLLEGE

NOTE: Community colleges should also consult other sections of this Schedule, especially the General, Fiscal, Human Rights/Economic Opportunity, Information Technology, Library/Library System, Personnel/Civil Service, Public Health, Public Property and Equipment, Public Safety, and Recreation sections, for records that are held by all types of local governments.

Records of special programs not covered by specific items on this Schedule are covered by item no. 54 in the General Administration section. These include such programs as orientation of students and staff; speakers' bureaus and other community services; veterans, servicemembers, and ROTC programs; and incubator programs, small business development services, and technical assistance/training to business and industry.

♦ **NOTE:** Bridge program records are covered by items under the Educational Opportunity Centers section.

Academic Affairs

150 CO2 64, MI1 53

Accreditation records

for institutional or program accreditation by the Middle States Association of Colleges and Secondary Schools, the National League for Nursing and other organizations responsible for accrediting institutions of higher learning, including but not limited to institutional self-study documents, reports and determinations resulting from onsite visits for evaluation, and the college's response to deficiencies noted

a Significant correspondence, reports, questionnaires, self-study records and reports, guides and related documents transmitted between the community college and accrediting bodies:

RETENTION: PERMANENT

b Routine correspondence and transmittal records, drafts of guides and reports, and fiscal records:

RETENTION: 6 years after accreditation approved or denied

151 CO2 65, MI1 54

Curriculum development records,

covering internal development and approval for credit, non-credit, and continuing education programs and courses

a Curriculum and related records describing course of instruction and course content, including transfer status information and course history records:
RETENTION: 7 years

NOTE: Records prepared as part of curriculum planning may have long-term value meriting continued preservation. Community college officials should

evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice.

b Approved internal application for curriculum:
RETENTION: 7 years

c Denied internal application for curriculum:
RETENTION: 1 year

d Curriculum planning records:
RETENTION: 0 after no longer needed
NOTE: Reports and studies prepared as part of curriculum planning may have long-term value meriting continued preservation. Community college officials should evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice.

152 CO2 66, MI1 55
Academic program proposals,
including proposals for registration of new programs and requests for approval of changes in existing program title, HEGIS (Higher Education General Information Survey) content, credit hours, curricular content, format, and/or resource commitment

a For successful registration of program:
RETENTION: PERMANENT

b For failed proposal:
RETENTION: 0 after no longer needed

153 CO2 67, MI1 56
Curriculum/program registration records
including approvals from the State University of New York and registration letters from the State Education Department:

RETENTION: PERMANENT

154 CO2 70, MI1 59
Course information records

a Official copy of any literature or other material made available to the public, including college catalogs and student handbooks:
RETENTION: PERMANENT

b Detailed course descriptive information, including background materials and supporting documentation:
RETENTION: 7 years after course or program discontinued

c Routine internal information records relating to courses, including but not limited to draft descriptions and tentative course schedules:
RETENTION: 1 year

♦ 155
Assignment of Program (AOP) lists
showing cumulative teaching hours and used in the assignment and selection of courses to teach:

RETENTION: 0 after superseded or obsolete

156 CO2 1022, MI1 881

Faculty and faculty-student research records,

maintained separate from faculty personnel records and student individual academic records

a Published books, papers, journal articles, and other materials made available to the public:

RETENTION: PERMANENT

b Other records, including but not limited to records summarizing and publicizing research, and research files which are not the personal property of the researchers:

RETENTION: 1 year after research concluded or otherwise terminated

NOTE: Depending on the nature of the research, some of these files may be valuable for other researchers as well as in documenting research sponsored by and conducted at the college, and should be appraised for potential permanent retention. Appraisals of research files should involve consultation with both members of the faculty and acknowledged professionals in the respective field.

Alumni

157 CO2 76, MI1 65

Alumni contact records

including but not limited to name, address, occupation, degree attained, marital status, and summary records of financial contributions of alumni:

RETENTION: 0 after superseded or obsolete

158 CO2 1023, MI1 882

Alumni directory

or other master summary record of alumni and all other degree recipients, such as published alumni catalog, providing names of alumni, years of graduation, and other information such as degrees granted and place of residence:

RETENTION: PERMANENT

Athletics

159 CO2 77, MI1 66

Player recruitment/scouting file

concerning recruitment of student athletes for college sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence

a For student athletes entering college:

RETENTION: 3 years after graduation or date of last attendance

b For student athletes who do not enter college:
RETENTION: 0 after no longer needed

160 CO2 78, MI1 67
Athletic scholarship file
including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence:

RETENTION: 6 years

161 CO2 81, MI1 70
Athletic program records

a Lists of athletes or participants, records of intercollegiate competitions and intramural athletics, and other records except scouting and training videotapes and other records:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs, and videotapes of and programs for intercollegiate competitions may have historical value in documenting intercollegiate student athletics. Records with historical value should be retained permanently. Health-related records are found in the Public Health section of this Schedule. Athletic training records are covered by item no. 164.

b Videotapes, reports and other records used for scouting and training purposes:
RETENTION: 0 after no longer needed

162 CO2 1024, MI1 883
Records of gender equity in athletics,
including audit and self-evaluation records for male and female athletes and related records, including any records created pursuant to Title IX of the Education Amendments of 1972, codified in Sections 1681-1688 of 20USC, and Section 106.41 of 34CFR:

RETENTION: 6 years
NOTE: For related reports and records on athletic program activities, see item no. 196 in the Miscellaneous subsection of this section.

163 CO2 1025, MI1 884
Substance or alcohol abuse testing records
for individual athlete, not included in student health services case record

a Positive test results and related records:
RETENTION: 6 years after last entry

b Negative test results:
RETENTION: 3 years

164 CO2 1026, MI1 885
Athletic training records,
including but not limited to records of training provided individual athletes and staff:

RETENTION: 6 years after last entry

165 CO2 112, MI1 101
Athletic health information report
determining student eligibility to participate in campus sports activities:
RETENTION: 6 years

Counseling Services

166 CO2 83, MI1 72
Student counseling records,
including but not limited to request for assistance relating to emotional, psychological, personal, social, academic, or placement and career planning concerns, and also covering tutoring and mentoring services provided for and received by students:
RETENTION: 6 years

167 CO2 84, MI1 73
Academic termination record
containing information about transfer to another college, reason for termination, or future plans of student:
RETENTION: 0 after no longer needed

168 CO2 85, MI1 74
List of student appointments
including slips, return cards or counseling schedules:
RETENTION: 0 after obsolete

169 CO2 86, MI1 75
Statistical compilation or reports of students served:
RETENTION: 0 after no longer needed

170 CO2 87, MI1 76
Catalogs and related public relations information
received from other academic, vocational or educational institutions:
RETENTION: 0 after no longer needed

171 CO2 1027, MI1 886
Career placement records,
including but not limited to records of on-campus visits and interviews, job fairs, employer information sessions, and job searches, but not including individual student counseling records:
RETENTION: 0 after no longer needed

Development

172 CO2 89, MI1 78
Donor (and prospective donor) information records
containing information on individuals, organizations, foundations, or corporations:
RETENTION: 0 after no longer needed
NOTE: Detailed records of specific gifts to a community college are covered by item no. 45 in the General Administration section.

Disabled Students

173 CO2 90, MI1 79
Student file
including but not limited to information on disability, correspondence with student's sponsoring agency, orders for special equipment, and notes of contacts with counselors:
RETENTION: 6 years after graduation or date of last attendance

174 CO2 92, MI1 81
Staff development materials
relating to instructor orientation to disabled students and general disabilities:
RETENTION: 0 after obsolete

Financial Aid

175 CO2 95, MI1 84
Student financial aid records
including but not limited to Free Application for Federal Student Aid (FAFSA) reports, applications for assistance, financial aid disbursement records, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income and other tax-related records, instructor requests for work-study student, student work-study job descriptions, copies of work-study time records to verify hours with student schedule, and veteran's service information:
RETENTION: 6 years

176 CO2 1028, MI1 887
Financial aid reports
(state, federal, and other) covering multiple students, including but not limited to Tuition Assistance Program (TAP) reports:
RETENTION: 6 years

NOTE: Appraise these records for continuing administrative or historical value prior to disposition. Records with historical value should be retained permanently. Reports containing information showing trends in student financial aid over time may be valuable for planning and other decision-making as well as research purposes.

Fiscal

177 CO2 96, MI1 85
Admissions collection record,
including but not limited to record of receipts and log of operations:
RETENTION: 6 years

178 CO2 97, MI1 86
Student's individual account records,
covering credit, non-credit, or continuing education courses, housing, food, laboratory and equipment use, and other fees, charges and expenses, and also including tuition waivers:
RETENTION: 6 years after last entry
NOTE: See item no. 514 in the Fiscal section, General Accounting and Miscellaneous subsection, for other billing records.

179 CO2 98, MI1 87
Fiscal reports submitted to or received from the State University of New York (SUNY)
including operating report (budget) and annual report (year-end):
RETENTION: 6 years

Housing

180 CO2 113, MI1 102
Residency occupancy records
including but not limited to room and board contracts and room assignment, and records pertaining to damage of dormitory equipment and furnishings:
RETENTION: 6 years after expiration of contract or room assignment

181 CO2 115, MI1 104
Off-campus rental records
including lists of landlords and/or listings indicating apartments or rooms available:
RETENTION: 0 after superseded or obsolete

♦ 182

Fire safety disclosure records for on-campus student housing

a Annual fire safety and compliance reports:
RETENTION: PERMANENT

b Log of all reported fires:
RETENTION: 7 years
NOTE: Appraise records relating to significant fires for historic value.

c Fire statistics, including supporting materials:
RETENTION: 7 years after the end of the calendar year in which summarized data was first published in a fire safety and compliance report

Instruction

183 CO2 116, MI1 105
Course listing
created for administrative convenience, containing department list of classes:
RETENTION: 0 after superseded

184 CO2 117, MI1 106
Instructor's course syllabus or lesson plan:
RETENTION: 0 after no longer needed by community college
NOTE: The community college may wish to retain representative or outstanding course syllabi for future reference, as well as any useful class reading lists or bibliographies.

185 CO2 118, MI1 107
Instructor's grade records, test scores, and marking sheets,
including records documenting the evaluation of scientific models, biological specimens, chemical compounds or other objects or materials produced in lab or shop settings:
RETENTION: 2 years

186 CO2 119, MI1 108
List of students majoring in a field of study:
RETENTION: 0 after superseded

187 CO2 120, MI1 109
Class schedule
including class title, location, dates, and time of meeting:
RETENTION: 6 years

188 CO2 121, MI1 110
Completed examination test papers and answer sheets:
RETENTION: 6 months after course completion

189 CO2 1029, MI1 888
Course or laboratory attendance records
necessary to provide documentation for student financial aid or other purposes:
RETENTION: 6 years

190 CO2 123, MI1 112
Records relating to tax-free use of alcohol
for educational purposes:
RETENTION: 6 years after expiration of permit or denial of application

191 CO2 124, MI1 113
Evaluations of course instructor:
RETENTION: 3 years

192 CO2 126, MI1 115
Records of hypodermic syringes and needles
acquired for educational use or for administration of vaccines and other controlled substances to students and/or employees

a Certificate of need for educational use:
RETENTION: 6 years after certificate expires

b Other records, including records of purchase, inventory, destruction, loss or theft:
RETENTION: 6 years

Miscellaneous

193 CO2 69, MI1 58
Chartering documents and establishment plan
concerning the community college's corporate status and degree-granting authority, including background materials:
RETENTION: PERMANENT

194 CO2 129, MI1 118
Fire safety inspection reports prepared pursuant to Section 807-b, Education Law:
RETENTION: 3 years
NOTE: Although Section 807-b of Education Law authorizes community college officials to destroy these reports after 3 years, the State Archives strongly urges that the "official" or "record" copies of these reports be retained for 21 years to meet possible legal needs, including personal injury litigation that may involve minors.

195 CO2 80, MI1 69
Special event file

a Official copy of any program or promotional literature or photograph of events or games:

RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

196 CO2 1030, MI1 889

Institutional information/reports which must be sent or made available
to enrolled and prospective students and the public, under Sections 668.41, et seq. of 34CFR, including related records, exclusive of campus security records required under Section 668.46 of 34CFR

NOTE: For campus security records see item no. 198, as well as items found in the Public Safety section of this Schedule.

a Financial assistance information, institutional information, completion or graduation rate information, completion or graduation rates for student-athletes report, and athletic program participation rates and financial support data report:
RETENTION: 6 years after issued, superseded or obsolete, whichever is later
NOTE: Institutional information and reports may have long-term value to document college policies and the status of various college programs, especially if that information is not readily available in catalogs or other sources. For that reason, officials may wish to retain these records permanently to document these policies and programs.

b Notice of availability of information/reports as distributed or made available to enrolled and prospective students:
RETENTION: 3 years after issued, superseded or obsolete, whichever is later

c Designation of employee(s) authorized to assist enrolled and prospective students obtain the information/reports:
RETENTION: 3 years after superseded

197 CO2 1031, MI1 890

Commencement records

a Official copy of commencement program or other publication:
RETENTION: PERMANENT

b Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning and logistics records:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records such as speeches and photographs may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **198** CO2 1032, MI1 891

Campus safety records

NOTE: College security units should use the Public Safety section of this Schedule whether or not they have been recognized as accredited law enforcement agencies. This item covers records that must be maintained under Section 668.46 of 34CFR (Institutional Security Polices and Crime Statistics). Sexual offense or alcohol or drug

abuse investigation records are covered by item no. 1222 in the Public Safety section, Law Enforcement: General subsection. Lists and other records of parolees and sex offenders are covered by item nos. 1274 and 1275 in the Public Safety section, Law Enforcement: Miscellaneous subsection. Accident or incident reports that are not crime related are covered by item nos. 31 and 32 in the General Administration section. For building security records and video recordings maintained for security purposes, see item nos. 811 and 846 in the Public Property and Equipment section.

a Annual security report:
RETENTION: PERMANENT

b Notice of availability of the annual security report and related records as distributed or made available to enrolled and prospective students and current and prospective employees:
RETENTION: 6 years after issued, superseded or obsolete, whichever is later

c Designation of employee(s) authorized to assist enrolled and prospective students obtain the annual security report and related records:
RETENTION: 3 years after superseded

d Crime statistics, including lists of crimes by location and relevant maps, other than those statistics included in the annual security report:
RETENTION: 3 years

e Crime logs, crime reports, records of arrests and referrals for disciplinary action, timely warnings of threats to campus safety, and other records used to compile annual security report:
RETENTION: 6 years

f Missing student notification policy and procedures, including supporting materials:
RETENTION: 6 years after policy and procedures are superseded

g Emergency response and evacuation policy and procedures, including supporting materials:
RETENTION: 6 years after policy and procedures are superseded

199 CO2 135, MI1 124

College-related reports, studies or data queries,
including their supporting documentation, covering subjects such as institutional research, graduation rates, enrollment projections, ethnicity and other student profiles, faculty-student class ratios, honors lists, and fiscal matters

a Annual or semester reports submitted to the U.S. Department of Education, State University of New York (SUNY), or local sponsor(s), including the institutional profile, other reports, studies or queries having legal or fiscal value, and verifications of data following submission by the college:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Some of these reports and studies, including their detailed documentation, may contain significant information valuable for long-term planning as well as historical and other research. Contact the State Archives for additional advice.

b Reports, studies or queries having no legal or fiscal value, such as daily activity or other routine internal reports:

RETENTION: 0 after no longer needed

♦♦ **200** CO2 1033, MI1 892

Student activity or organization records

a Lists of members or participants, records of activities, competitions and performances, and other records of officially supported student activities and organizations except scouting records and scouting and training videotapes:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Photographs and videotapes of programs for certain competitions and performances may have historical value in documenting student activities. Records with historical value should be retained permanently. Parental consents are covered by item no. 219 in the Student Records subsection. Health related records are found in the Public Health section.

b Scouting reports and videotapes used for scouting and training purposes, not associated with intercollegiate athletics:

RETENTION: 0 after no longer needed

201 CO2 1034, MI1 893

Food management records

a Program participation or other legal agreement or contract, including attachments and amendments:

RETENTION: 6 years after termination of agreement

b Other program records, including but not limited to application to participate as a sponsor, individual student participation application records, meal counts and dietary services studies, requisition and approval of requisition for donated commodities, menus, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:

RETENTION: 6 years

202 CO2 1035, MI1 894

Food inspection and investigation records,

including inspection report for preparation or serving area and food sanitation complaint investigation records

a When any significant problem is encountered:

RETENTION: 3 years after oldest person involved attains age 18

b When no significant problem is encountered:

RETENTION: 3 years

♦ **203**

Radiation use log

including student name, date, film size, quantity, screen, and length of time in laboratory where radiation is in use:

RETENTION: 4 years after graduation

President

204 CO2 130, MI1 119

President's office files

including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents, and also including association or organization membership files covering affiliation with or membership in professional, education or civic groups, including the National Junior College Athletic Association (NJCAA), by the college as a whole or some department or unit thereof

a Where file documents a significant subject, or major policy-making or program-development process:
RETENTION: PERMANENT

b Where file documents routine activity:
RETENTION: 6 years or 6 years after expiration of contract, as appropriate

Student Records

♦ **205** CO2 71, MI1 60

Admissions records

including but not limited to application, entrance examinations and reports, letters of recommendation, transcripts from secondary schools and other colleges and universities, acceptance letters, advanced placement records, evaluations, and supporting documentation

a For applicants who are accepted and attend:
RETENTION: 6 years after graduation or date of last attendance
NOTE: If admission records for students who enter are made part of student records, see item no. 206. Duplicate copies retained by a separate admissions office can be disposed of when no longer needed.

b For applicants who are accepted and do not attend, and applicants who are not accepted:
RETENTION: 3 years following date of exclusion or end of permitted enrollment period for accepted applicants
NOTE: Community colleges may wish to keep these records longer for international students, for convenience of access by both college personnel and the prospective or accepted students.

206 CO2 132, MI1 121

Student academic records

a Student permanent academic record (transcript):

RETENTION: PERMANENT

b Change of grade documents, withdrawal authorizations, graduation certification, Social Security certification, student roster and attendance verification records such as class roster, or final grade listing and student schedule:

RETENTION: 6 years

c Other student records including but not limited to academic action authorizations (dismissals and/or notification of problems); employment placement records; records of internships served; records of selection for and participation in remedial assistance, second language, academic honors, or other special academic programs; and assessment of life/work experience information for academic credits:

RETENTION: 6 years after graduation or date of last attendance of student(s) involved

d Change in Social Security number record, application for veteran's benefits and enrollment certification and related records:

RETENTION: 3 years

e Application for graduation, change of course (drop/add) records, credit/no credit (audit) approval, name and/or sex change authorization, pass/fail request, registration form, and request by student for transcript or other record:

RETENTION: 1 year

f Unclaimed diplomas:
RETENTION: 1 year
NOTE: Community colleges may wish to keep these records longer for convenience of both college personnel and graduates who may request their diploma at some later date.

207 CO2 1036, MI1 895

Non-credit and continuing education records

a Individual attendee records, including but not limited to residence verification, program participation application, summary of participant achievements and attendance, record of courses taken including grades and test results, but excluding test papers and answer sheets:
RETENTION: 6 years
NOTE: If participation in a non-credit or continuing education course is pertinent to an enrolled student's academic requirements, attendee records should be maintained as part of the student's academic records as indicated by item no. 206.

b Test papers and answer sheets:
RETENTION: 6 months

♦ **208** CO2 1037, MI1 896

Student information system

containing electronic information on academics, financial matters, and other aspects of student life

NOTE: If the student information system is used as the sole means to maintain records

covered by other items in the Schedule, then the retention requirements of those items would apply. If not, follow the retention periods below. Financial aid records are covered by the Financial Aid subsection.

a Basic data on any student contained in or produced by an automated student information system, including name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class, courses taken, and grades:
RETENTION: 0 after no longer needed
NOTE: This information may be valuable for long-term planning and evaluation purposes by college administrators, and for instances where students reenter the college later in life. In addition, it may be useful in historical or other research. Creation of a "history file" in the information system may be a useful way to maintain this more important information. Contact the State Archives for additional advice. If the official record of the student permanent academic record (transcript) is maintained in this system, it must be retained permanently; see item no. 206.

b Detailed data on any student contained in or produced by an automated student information system, other than financial aid data:
RETENTION: 6 years

209 CO2 133, MI1 122

Records of compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA) and related legislation

concerning access to student education records and participation in surveys on or activities in designated areas

a Request for hearing on content of student education records, decision of hearing, and student statement on content of disputed record:
RETENTION: Retain for the same period the disputed records are maintained

b Record of requests for access to and disclosures of personally identifiable information from the student education records, as required by FERPA regulations:
RETENTION: Retain for the same period the requested records are maintained
NOTE: For records of requests for student information which are not subject to FERPA requirements, see item no. 53 in the General Administration section. Requests by students for information on themselves are covered by item no. 206e, above.

c Request for nondisclosure of directory information or non-participation in surveys on or activities in designated areas:
RETENTION: 1 year after request is terminated or is no longer valid or 1 year after the concerned records are no longer maintained

d Consent for records disclosure:
RETENTION: 1 year after consent is terminated or 1 year after the concerned records are no longer maintained

e Waiver of right to inspect and review confidential letters and statements placed in student education records:

RETENTION: 1 year after waiver is terminated or 1 year after the concerned records are no longer maintained

f Directory Information Policy Statement:
RETENTION: PERMANENT

g Annual or other notice of rights under FERPA or related legislation concerning access to student records or participation in surveys on or activities in designated areas:
RETENTION: 3 years after issued or superseded or obsolete, whichever is later

210 CO2 134, MI1 123
Proof of residence records

a Community college copy of certificate of residence:
RETENTION: 6 years

b Lists of students residing in different political jurisdictions:
RETENTION: 1 year after superseded or obsolete

211 CO2 136, MI1 125
Scholarship records

a Individual scholarship file including but not limited to applications, list of eligible candidates, list of competition winners and alternates, recommendations, authorization of awards, financial statements, accounting data, reports, and correspondence:
RETENTION: 6 years

b List of scholarships awarded students:
RETENTION: PERMANENT

212 CO2 1038, MI1 897
Records of gifts and prizes (other than scholarships) awarded students:
RETENTION: 3 years

213 CO2 1039, MI1 898
Student degree and grade audit records,
other than those found in the student academic records, covered by item no. 206:
RETENTION: 6 years

214 CO2 1040, MI1 899
Student disciplinary records,
including but not limited to suspension notice, suspension hearing record, probationary condition adherence record, expulsion records, correspondence, fine assessment, and related records:
RETENTION: 6 years after the end of the academic year

215 CO2 128, MI1 117
Student grievance records
including but not limited to grievance, investigative records, hearing proceedings,

decision rendered, student appeal, records of arbitration procedure, final decision and correspondence:

RETENTION: 6 years after grievance resolved

216 CO2 1041, MI1 900

Recruitment records,

other than recruitment of individual student athletes, including but not limited to plans and strategies, lists of potential students, records of socio-ethnic composition of student body, records of college planning workshops and visits by parents and prospective students, and relevant statistics, exclusive of records of individual prospective students as covered by item no. 217:

RETENTION: 3 years

217 CO2 1042, MI1 901

Records relating to individual prospective students who do not apply for admission,

including resumes:

RETENTION: 1 year

♦ 218

Student coursework,

including papers, homework and other assignments, whether or not graded:

RETENTION: 1 full semester after the course has ended

219 CO2 82, MI1 71

Parental consent record:

RETENTION: 6 years

220 CO2 1043, MI1 902

Nursing education program eligible list of candidates,

received from New York State Education Department:

RETENTION: 3 years after the end of the academic year

COMMUNITY DEVELOPMENT/URBAN RENEWAL

221 CO2 137, MU1 150, MI1 126
Master summary record
(log or register) documenting all activity of agency, covering housing rehabilitation, tenant relocation, economic development, property acquisition and resale, program participant applications, loan or mortgage issuance, special projects and various contacts:

RETENTION: PERMANENT

222 CO2 138, MU1 151, MI1 127
Federal assistance application
submitted annually to U.S. Department of Housing and Urban Development or successor agency:

RETENTION: PERMANENT

223 CO2 1044, MI1 903
Denied or withdrawn applications
for participation in any community development program:

RETENTION: 3 years

224 CO2 1045, MI1 904
Financial and statistical reports, studies or data queries,
including their documentation

a Reports, studies or queries having legal or fiscal value, including annual reports created from Integrated Disbursement and Information System (IDIS) or other automated system:

RETENTION: 6 years

NOTE: Appraise records covered by part "a" for archival value. Reports and studies containing data needed to supplement or explain narrative reports (which are maintained permanently and are covered by item no. 74 in the General Administration section) may be valuable as well as the narrative reports themselves. Contact the State Archives for additional advice.

b Reports, studies or queries having no legal or fiscal value, such as daily activity or other routine internal reports:

RETENTION: 0 after no longer needed

225 CO2 139, MU1 152, MI1 128
Case files
of community development or urban renewal agency

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently, particularly property acquisition case files which may be a rich resource for community history. Contact the State

Archives for additional advice.

a Economic development case file, including but not limited to application, copy of loan approved, financial statements, progress reports, copies of plans and specifications, and correspondence:

RETENTION: 6 years after final payment on loan

b Business or resident relocation case file, including but not limited to vacation notice, income and need determination records, field reports, estimates of expenditures, copies of property acquisition records, rent collection records and correspondence:

RETENTION: 6 years after last entry in record, final payment on loan or discharge of mortgage, whichever is later

c Housing rehabilitation case file, including but not limited to application, notice of approval, contract, grant or loan agreement, copies of real property records, building department records, rental assistance records, specifications, property description, certificate of completion and correspondence:

RETENTION: 6 years after completion of project, final payment on loan or discharge of mortgage, whichever is later

d Property acquisition case file, including but not limited to maps, plans and specifications; rent collection records and copies of tenant relocation records; demolition records; records of property improvements; advertisements of property for sale; bids and records of bid acceptance or refusal; property description; appraisal and eminent domain records, and correspondence:

RETENTION: 6 years after sale of property by local government

NOTE: Rent collection records and copies of tenant relocation records need only be retained for 6 years.

e Property purchase and resale case file, such as F.H.A. or real property tax foreclosure, including but not limited to copies of real property records, foreclosure records, copies of building department records, property description, records of property improvements, advertisement of sale, bids and records of bid acceptance or refusal, copy of sale agreement and correspondence:

RETENTION: 6 years after sale of property by local government, final payment on loan or discharge of mortgage, whichever is later

f Public/community service project case file, such as involving community housing development organizations, including but not limited to project applications, interim financial and progress reports, inspection reports, notes and correspondence, but excluding final reports:

RETENTION: 6 years after completion of project

g Final reports on public/community service projects:

RETENTION: PERMANENT

h Home acquisition program case files, financed by federal HOME program or other funding source, including but not limited to application, review records and copies of mortgage documents:

RETENTION: 6 years after date of most recent entry in record, final payment on loan or discharge of mortgage, whichever is later

i Housing investigation case record for lead poisoning, when investigation is not part of case files covered by other parts of this item:
RETENTION: 7 years after case closed

j Vouchers and financial claims for payment or reimbursement related to community development cases:
RETENTION: Retain as long as related case file is retained

k Photographs, architects' plans and sketches of buildings, streets and urban areas from all case files:
RETENTION: 6 years after building no longer owned by local government
NOTE: Appraise these records for historical significance prior to disposition. Some photographs, plans and sketches may have continuing value for architectural, historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **226** CO2 1046, MU1 333, MI1 279
Lower income housing rental assistance records
(created under Section 8 of the Housing and Community Development Act of 1974)

a Master summary record (index, log or register) of applications and payments:
RETENTION: PERMANENT

b Case file, including but not limited to applications for assistance, eligibility determination records, certifications, worksheets, correspondence and rental agreements:
RETENTION: 6 years after denial of application, termination of agreement or close of case

c Monthly reports:
RETENTION: 6 years

d Inspection reports, except those conducted by the municipality and covered under Building and Property Regulation section:
RETENTION: 6 years

CONSUMER PROTECTION SERVICES

Consumer Protection

227 CO2 140, MU1 153,
Master summary record
(log or register) of consumer practice inspections, complaints, violations or other agency activity:

RETENTION: PERMANENT

228 CO2 141, MU1 154,
Consumer practice retail establishment inspection report:

RETENTION: 6 years

229 CO2 142, MU1 155,
Consumer practice complaint file,
including complaint, notice of violation, investigation report, hearing records, record of assessment and collection of fine, or notice of dismissal and related correspondence:

RETENTION: 6 years after last entry

Weights and Measures

230 CO2 144, MU1 156,
Certification of approval
("proof of accuracy") for sealer's weighing and measuring equipment, issued by New York State Department of Agriculture and Markets:

RETENTION: 6 years after expiration

231 CO2 145, MU1 157,
Sealer's inspection report
of weighing or measuring device or of packaged item sold by weight, when no violation is discovered:

RETENTION: 2 years

232 CO2 146, MU1 158,
Report on food labelling or advertising,
and related correspondence:

RETENTION: 2 years

233 CO2 147, MU1 159,
Log or index
of inspections performed and/or other activities of sealer of weights and measures:
RETENTION: 6 years after last entry

234 CO2 148, MU1 160,
Program evaluation or audit
of sealer of weights and measures, conducted by New York State Department of Agriculture and Markets:
RETENTION: 6 years

235 CO2 149, MU1 161,
Violation files,
including inspection report, notice of violation, notice of correction of inaccuracy, hearing records, fine collection record and correspondence:
RETENTION: 6 years

236 CO2 732, MU1 666,
Calibrations for bulk milk holding tanks and other volumetric measures:
RETENTION: 2 years after recalibration completed or volumetric measure no longer in use

COOPERATIVE EXTENSION ASSOCIATION

♦ **NOTE:** Child seat inspection records are covered by item no. 1091 in the Transportation and Engineering section.

Basic Administrative Records

237 MI1 129

Organizational and establishment records,
including constitution, bylaws and approval of organization and administration by Cornell University:

RETENTION: PERMANENT

238 MI1 130

List of members, "enrollment" or equivalent record:

RETENTION: PERMANENT

239 MI1 131

Lists of board members, officers, agents and employees
(known as "organization reports"):

RETENTION: PERMANENT

240 MI1 132

Election records

a Election results:
RETENTION: PERMANENT

b Ballots, nominations, tabulations and other election records:
RETENTION: 1 year after election

241 MI1 133

Program records
on individual courses or programs offered the public

a Official copy of any literature or other material available to the public:
RETENTION: PERMANENT

b Summary record describing course or program offering and/or its progress and results:
RETENTION: PERMANENT

c Listing of participants:
RETENTION: 6 years

d Other course or program materials:
RETENTION: 1 year after course or program discontinued

e Advice and referral records, covering information provided to individuals in person or over the telephone or Internet, including but not limited to telephone logs and individual call records:
RETENTION: 6 months

242 MI1 134

Program or other non-fiscal audit or review
conducted by Cornell University or other agency

a Report and recommendations:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

243 MI1 601

Copies of exempt organization income tax records,
including all records generated to assist Cornell University in filing income tax return for county associations, and copy of filed tax return:

RETENTION: 6 years

Food and Nutrition Education Programs

♦♦ 244 MI1 602

Reports resulting from Expanded Food and Nutrition Education program (EFNEP), Supplemental Nutrition Assistance Program Education (SNAP-Ed), or similar program

a Annual or final reports:
RETENTION: PERMANENT

b Quarterly, monthly or other periodic reports:
RETENTION: 2 years

♦♦ 245 MI1 603

Case record of family participating in Expanded Food and Nutrition Education program (EFNEP), Supplemental Nutrition Assistance Program Education (SNAP-Ed),
or similar program, including but not limited to plan of work, work reports, diagnostic reports, progression record:

RETENTION: 6 years after becoming inactive

♦♦ 246 MI1 604

4-H youth participant records for Expanded Food and Nutrition Education program (EFNEP),
or similar program, including lists of participants, enrollment records and lists of youth contacts:

RETENTION: 6 years

♦♦ **247** MI1 605

List, log or other summary record of visits
resulting from Expanded Food and Nutrition Education program (EFNEP), Supplemental Nutrition Assistance Program Education (SNAP-Ed), or similar program:

RETENTION: 6 years

♦♦ **248** MI1 606

Master summary record of families served
by Expanded Food and Nutrition Education program (EFNEP), Supplemental Nutrition Assistance Program Education (SNAP-Ed), or similar program:

RETENTION: PERMANENT

♦♦ **249** MI1 607

Records relating to persons not served
by Expanded Food and Nutrition Education program (EFNEP), Supplemental Nutrition Assistance Program Education (SNAP-Ed), or similar program, including eligibility screening records, withdrawn applications, and referrals:

RETENTION: 2 years

Miscellaneous

250 MI1 608

Farm animal disease test records

a Cattle disease test records, including but not limited to summary report for each herd (to which test results have been posted), brucellosis or tuberculosis test results and calf vaccination report:
RETENTION: 10 years

b Inspection and related records for farm animals other than cattle:
RETENTION: 3 years

251 MI1 609

Log or index
of seniors served by local aging services program:

RETENTION: 6 years

252 MI1 610

Individual senior services client file,
including but not limited to screening records, applications, evaluations, and follow-up report:

RETENTION: 6 years after last entry

253 MI1 611

Surplus food distribution records,
covering federally donated food and related commodities, including but not limited to inventory, order form, eligibility determination records, authorizing receipt and reports on storage and distribution:

RETENTION: 4 years

255 MI1 613

Soil test results for farmland soil sample,
including nutrient analysis and recommendations:

RETENTION: 3 years

256 MI1 614

Dairy farm business summary records

a Annual farm business summary for individual farm:
RETENTION: PERMANENT

b Data entry and other records, used in compiling summary record:
RETENTION: 0 after no longer needed

c Summary data and other information for all participating farms:
RETENTION: PERMANENT

257 MI1 615

Watershed farmer's case file,
including but not limited to farm management assessment, environmental assessment, plan evaluation, whole farm plan and supporting data:

RETENTION: PERMANENT

258 MI1 616

Tractor, equipment or firearm safety training records

a Official training records, including parental consent, certificate of training and summary of attendance and test results:
RETENTION: 6 years, but not less than 3 years after attendee attains age 18

b Listing of course participants, and detailed attendance records:
RETENTION: 6 years

c Summary record describing course or program offering and/or its progress and results:
RETENTION: 6 years after course or program no longer offered

d Other course program materials:

RETENTION: 1 year after course or program discontinued

♦ **259**

4-H club association membership record,
including application:

RETENTION: 6 years after participation ends, or 3 years after individual attains age 18, whichever is longer

CORONER OR MEDICAL EXAMINER

260 CO2 150,
Investigation case files

a Violent (e.g., homicide, suicide, casualty) or suspicious or undetermined circumstances death (including death report and related records):
RETENTION: PERMANENT

b Natural death:
RETENTION: 20 years
NOTE: Records of coroners' inquests, filed before Sept. 1, 1965 with county clerks, are in fact records of the County Court and are not covered by item nos. 260 and 261. For information on retention of these records, contact the Office of Court Administration. Other death investigation records of coroners, records of coroners' inquests created after Sept. 1, 1965 and all records created by medical examiners are covered by this Schedule.

261 CO2 151,
Death report and related records,
when no investigation is conducted by coroner or medical examiner:
RETENTION: 6 years after last entry

262 CO2 152,
Motor vehicle death record
(MV-104 or similar form) submitted to New York State Department of Motor Vehicles:
RETENTION: 6 years

263 CO2 153,
Disaster reports and related records:
RETENTION: PERMANENT

264 CO2 154,
Protocol for investigation of death,
including autopsy, explaining official procedures to be followed by office of coroner or medical examiner:
RETENTION: PERMANENT

265 CO2 155,
Transcript, notes and worksheet of autopsy observations:
RETENTION: 6 years after case closed

266 CO2 156,
Laboratory slide, specimen or tissue block,
taken from deceased:

RETENTION: 20 years

NOTE: County officials may wish to retain records for a longer period when the slides, specimens or tissue blocks concern cases of violent or suspicious deaths, especially if these records may be viable for future testing.

267 CO2 157,

Master summary record

(register, blotter or log) covering all case investigations and other office activities:

RETENTION: PERMANENT

268 CO2 158,

Property records relating to decedent,

generated by office of coroner or medical examiner, including but not limited to register of property, inventory of possessions, remittance statement sent to county legislative body or fiscal officer and receipts:

RETENTION: 6 years after last entry

COUNTY CLERK

♦ **NOTE:** The following items were removed from this section and can be found in the General Administration section: Chattel mortgages and conditional sales, assumed business name certificates, out-of-state or other unofficial vital records, census records, register of professions, notary public and Commissioner of deeds, and domestic partnership statement.

Election

269 CO2 166,
Certificate or notice of appointment from Commissioner of Elections:

RETENTION: 1 year after election

270 CO2 167,
Copy of certificate to County Board of Elections
stating each county officer to be voted for at general election:

RETENTION: 1 year after election

271 CO2 168,
Return of canvass
as to the vote for assemblyman, senator or representative in Congress, filed by inspectors of election:

RETENTION: 6 years
NOTE: This item does not apply to official election canvasses filed with county clerks prior to 1911. These pre-1911 election canvasses are legally in the custody of county boards of elections, and must be retained permanently.

Liens

272 CO2 170,
Financing statement and related records
filed under the Secured Transaction Section of the Uniform Commercial Code (formerly known as chattel mortgages and conditional sales)

a Financing statement, continuation statement or release relating to either, and indexes thereto:

RETENTION: 1 year after expiration of lien

b Termination statement and index:
RETENTION: 1 year after filing of termination

273 CO2 171,
Mechanic's liens

a Notice and discharge of mechanic's lien placing lien against real property for labor or materials furnished for construction or maintenance:
RETENTION: 6 years after expiration or release of lien

b Docket showing owner of lien property, lienor, location of property, amount, filing date, date and manner of satisfaction and remarks:
RETENTION: 6 years after last entry

274 CO2 172,
Hospital liens

a Notice of hospital lien (original or renewal) stating lien against real property for services provided by a hospital:
RETENTION: 12 years after filing of original or renewal notice

b Index to notices of hospital lien:
RETENTION: 25 years after last entry

275 CO2 173,
Federal tax lien records,
including but not limited to notice of lien, non-attachment, release, subordination, discharge, and index:
RETENTION: 6 years after expiration or release of lien

276 CO2 174,
State lien records,
including warrants placing lien on real or personal property by Department of Taxation and Finance (formerly State Tax Commission), Department of Labor, Department of Motor Vehicles, or other state agency, for nonpayment of state taxes or other charges, including index, discharge, and related records:
RETENTION: 6 years after discharge of lien or 20 years, whichever is shorter

♦ **277** CO2 734,
Local government lien records,
including warrants placing lien on real or personal property or sidewalk, for nonpayment of city taxes or other charges, including index, discharge, and related records:
RETENTION: 6 years after discharge of lien or 20 years, whichever is shorter

278 CO2 175,
Lien bond
to discharge all liens filed by the owner or contractor to guarantee that the property is released from all liens, and lien docket:
RETENTION: 6 years after work completed or abandoned

♦ **279** CO2 176,
Notice of public welfare lien

against assets of relief recipient or on claims or suits for personal injuries, discharge and index:

RETENTION: 6 years after discharge of lien

♦♦ **280** CO2 177,
Assignment of real and personal property,
including but not limited to statement of refiling, certificate of cancellation, order vacating assignment, satisfaction and index to assignments

a Assignment of personal property, including but not limited to wage assignment and assignment of proceeds from personal contracts or estates:

RETENTION: 6 years after filing or refiling

b Assignment of rent or lease of real property:

RETENTION: 6 years after satisfaction

NOTE: Assignments of mortgages of real property are subject to the permanent retention requirements of item no. 320.

281 CO2 178,
Surety bail bond lien records,
including notice of lien, certificate of discharge and index:

RETENTION: PERMANENT

282 CO2 179,
Notice of lien
attached to moneys received by person awarded claim by Office of Victim Services:

RETENTION: PERMANENT

283 CO2 735,
Lien search record,
including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:

RETENTION: 6 years

284 CO2 1048,
Notice of lending relative to a trust,
filed pursuant to Section 73, Lien Law, including advances and amendments:

RETENTION: 6 years after final termination date

285 CO2 1049,
Condominium or homeowners' association lien
for unpaid common charges:

RETENTION: 6 years after expiration or discharge of lien

286 CO2 1050,
Lien on vessel,

including all related records such as copy, notice, execution, and discharge of warrant; order of sale and other sale records, and discharge of lien:

RETENTION: 6 years after expiration or discharge of lien, discharge of warrant, accounting of proceeds of sale, or payment of all charges, whichever is later

287 CO2 1051,

Miscellaneous liens on personal property

not covered by other items in this section

a Liens where a sale of personal property for recovery of proceeds may be involved, such as mold liens; liens on monuments, gravestones, and cemetery structures; and self-service storage facilities liens:

RETENTION: 6 years after expiration or discharge of lien, accounting of proceeds of sale, or payment of all charges, whichever is later

b Liens where no possible sale of property is involved, such as liens for services of stallions or bulls, liens for labor on stone, artisan's liens, liens of bailee of animals or motor vehicles, liens of truckmen and draymen, and liens on motion picture film laboratories:

RETENTION: 6 years after expiration or discharge of lien

288 CO2 1052,

Transcripts of small claims or other money judgments

rendered in municipal or district courts:

RETENTION: 6 years after satisfaction or expiration of period to enforce judgment

Miscellaneous

NOTE: For firearm licensing records see the Public Safety section of this Schedule.

290 CO2 181,

Certification of the names, addresses, date and expiration of term of all appointive municipal officials,

except inspectors of election:

RETENTION: 0 after superseded or obsolete

♦♦ **291** CO2 183,

Building loan contract records

NOTE: Building loan mortgages associated with building loan contracts are subject to the permanent retention requirements of item no. 320.

a Agreement describing a loan to finance construction:
RETENTION: 6 years after satisfaction of the associated building loan mortgage

b Building loan contract index:
RETENTION: 0 years after all contracts indexed therein have been destroyed

292 CO2 184,
Discharge papers
filed by veterans of military service:
RETENTION: PERMANENT

293 CO2 185,
Official marriage records
filed with county:
RETENTION: PERMANENT

294 CO2 187,
Transportation company expired undertaking, bond or surety
filed with county, together with attachment, official approval, renewal receipt of surety company, correspondence and related papers:
RETENTION: PERMANENT

295 CO2 188,
Turnpike company records,
including but not limited to surveys, bonds, and declaration of surrender of all or part of the turnpike's roads in the county:
RETENTION: PERMANENT

296 CO2 190,
Register of stallions or cattle brands:
RETENTION: PERMANENT

297 CO2 191,
Register of slaves:
RETENTION: PERMANENT

298 CO2 192,
Private business, not-for-profit, religious or other corporation or partnership records
filed with County Clerk, including but not limited to certificates of incorporation, annual reports, lists of directors or trustees, certificates of stock, records of dissolution, and certificates of partnerships:
RETENTION: PERMANENT

299 CO2 193,
Original deeds, leases, contracts, wills or other documents
not returned to owner after recording:
RETENTION: PERMANENT
NOTE: Section 532 of County Law authorizes original documents to be destroyed 20 years after recording provided that the documents are photographically reproduced for preservation purposes.

♦ **300** CO2 194,
Volunteer fire company records,
including annual report, certificate of honorable discharge, and list of exempt volunteer firemen, filed with County Clerk:

RETENTION: 5 years

301 CO2 196,
Explosives licensing records:

RETENTION: 3 years

♦ **302** CO2 197,
Passport transmittal records,
documenting transmittal of passport applications and applicable fees to passport agencies of the federal Department of State:

RETENTION: 2 years

303 CO2 198,
Power of attorney:

RETENTION: PERMANENT

304 CO2 199,
Certificate of authority,
empowering person to act as agent for insurance company:

RETENTION: 0

305 CO2 409,
Oath of office or record of official signature
of public employee

a Official copy:
RETENTION: PERMANENT

b Oath of any election official:
RETENTION: 1 year after election

306 CO2 737,
Notice of filing of oath of office with county clerk

a For county employee or officer:
RETENTION: Retain as part of or as long as personnel records

b For other than county employee or officer:
RETENTION: 0

308 CO2 1053,
Notice of separation
of marriage filed by individual or their attorney, other than official notices of legal separation resulting from New York State court actions:

RETENTION: PERMANENT

Mortgage Tax

309 CO2 200,
Mortgage tax record book
recording mortgages, mortgagor, amount of mortgage, amount of tax, discharge, credits, satisfaction, and indexes:

RETENTION: PERMANENT

310 CO2 201,
Mortgage tax reports
submitted to State Department of Taxation and Finance (formerly State Tax Commission), county legislative body, or county fiscal officer, stating mortgages recorded, tax collected and tax distribution:

RETENTION: 7 years

311 CO2 202,
Statement of County Clerk's expenses
filed with mortgage tax report, including all attachments:

RETENTION: 7 years

312 CO2 203,
Report of audit of mortgage tax recording procedure
performed by New York state department or agency:

RETENTION: PERMANENT

313 CO2 204,
Certified mortgage tax refund or adjustment orders
issued by State Department of Taxation and Finance (formerly State Tax Commission):

RETENTION: 7 years

314 CO2 205,
Statements, affidavits, and appraisals
used to determine or revise mortgage tax, including but not limited to: indeterminant mortgage appraisal, and related records; statement of maximum amount secured by mortgage; statement of advance under a corporate trust or prior advance mortgage; statement of amount borrowed by corporations against mortgage; and facts on which exemption is claimed for supplemental mortgages, condominium credit, or other exclusions, exemptions or credits:

RETENTION: 15 years or 0 after discharge of mortgage, whichever is longer
NOTE: When supporting documents, such as affidavits, are incorporated as part of, and thus indistinguishable from, the mortgage document, then the permanent retention of item no. 309 applies.

315 CO2 206,
Mortgage tax distribution sheets
showing distribution of mortgage tax funds among tax districts:
RETENTION: 7 years

316 CO2 207,
Request for apportionment
by mortgage tax recording officer to State Department of Taxation and Finance (formerly State Tax Commission):
RETENTION: 7 years

317 CO2 208,
Certificate of valuation
regarding apportionment of mortgage tax:
RETENTION: 7 years

318 CO2 209,
Assessors' appraisal
for apportionment of mortgage tax:
RETENTION: 7 years

319 CO2 210,
Certificate of determination and apportionment of mortgage tax
issued by State Department of Taxation and Finance (formerly State Tax Commission):
RETENTION: 7 years

Real Property

320 CO2 211,
Records and index documenting the official acquisition, sale, transfer or mortgage of public or private real property:
RETENTION: PERMANENT

321 CO2 212,
Official maps, surveys and reports
on boundaries recording the location of public or private real property:
RETENTION: PERMANENT

322 CO2 213,
Receipt
or other record of delivery of instruments to owner or designated representative after recording:
RETENTION: 3 years

323 CO2 214,
Real estate transfer tax report
and related records

a Copy of Combined Real Estate Transfer Tax Return and Credit Line Mortgage Certificate:
RETENTION: 0 after no longer needed

b All other records:
RETENTION: 6 years

324 CO2 215,
Title searches conducted by County Clerk:
RETENTION: PERMANENT

325 CO2 216,
Commitment of land to continued agricultural production:
RETENTION: PERMANENT

DOG IDENTIFICATION AND CONTROL

326 CO2 218, MU1 162,
Master summary record, index or listing

a Master summary record, such as index registry, of dog, purebred, or kennel licenses granted or license applications:
RETENTION: 0 after superseded or obsolete

b Renewal list, non-renewal list, population list, or other listing:
RETENTION: 0 after superseded or obsolete

c Enumerator's list of owners or harborers of dogs, prepared by local government offices, including billing for enumerator's services and related records:
RETENTION: 6 years

♦ **327** CO2 219, MU1 163,
Original or renewal license
for dog, purebred license (including application and renewal license), or dealer's exemption certificate:
RETENTION: 3 years after expiration

♦**328** CO2 220, MU1 164,
Affidavit for spayed or neutered dog
or veterinarian's certificate:
RETENTION: 0 after no longer needed

329 CO2 221, MU1 165,
Records relating to replacement of dog tag or purebred ID tag:
RETENTION: 1 year

330 CO2 222, MU1 166,
Records relating to the audit
of dog and purebred licenses, tags and validation stickers, or to the disposal of licenses or tags, including but not limited to any application, correspondence, or affidavit:
RETENTION: 3 years

♦ **331** CO2 223, MU1 167,
Reports

a Report on the animal population and control program, dog or purebred licensing, license sales, or surcharge fees:
RETENTION: 6 years

b Municipal compliance report, sent to New York State Department of Agriculture and Markets on dog identification and control:
RETENTION: 3 years

c Notification sent to New York State Department of Agriculture and Markets of dog or purebred license fee established by local government:

RETENTION: 0 after superseding notice is filed, but not less than 6 years

332 CO2 225, MU1 169,

Records relating to dangerous dog or other animal, to their seizure, or to cruelty to animals:

RETENTION: 20 years, but not less than 6 years after death of animal (if death is known to have occurred)

333 CO2 226, MU1 170,

Records relating to claim for damages caused by dog

or by rabies to domestic animals, including appraisal report, certificate of claim, assessor's report and affidavit, and other records:

RETENTION: 6 years after last entry

334 CO2 227, MU1 171,

Animal shelter records

a Master summary record (index, log or intake record) covering all animals held by shelter:

RETENTION: 3 years after last entry

b Individual animal disposition record, covering redemption, adoption or euthanasia of seized animal:

RETENTION: 3 years

335 CO2 228, MU1 172,

Notice of violation of animal control law or ordinance:

RETENTION: 3 years

♦ **336** MU1 667,

Reports of rabies vaccinations,

forwarded by clinic, veterinarian or animal shelter to municipality:

RETENTION: 3 years after receipt or after certificate expires

ECONOMIC/INDUSTRIAL DEVELOPMENT

337 CO2 229, MU1 173, MI1 137
Business/industry loan case file,
including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:

RETENTION: 6 years after denial of application or 6 years after final payment on loan

338 CO2 230, MU1 174, MI1 138
Master summary record
(log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:

RETENTION: PERMANENT

EDUCATIONAL OPPORTUNITY CENTER

339 CO2 739, MI1 618
Program approvals
for center and/or program operation, including approvals from State University of New York (SUNY) and New York State Education Department (SED):
RETENTION: PERMANENT

340 CO2 740, MI1 619
Establishment records
for educational opportunity center or former urban center:
RETENTION: PERMANENT

341 CO2 741, MI1 620
Annual or other summary statistical report
relating to enrollment, graduations, terminations, student finances, ethnicity and grades:
RETENTION: PERMANENT

342 CO2 742, MI1 621
Director's office files
including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents

a Where file documents a significant subject, or major policy-making or program-development process:
RETENTION: PERMANENT

b Where file documents routine activity:
RETENTION: 6 years

343 CO2 743, MI1 622
Course informational program file

a Official copy of any literature or other material made available to the public:
RETENTION: PERMANENT

b File on each instructional course or program:
RETENTION: 1 year after course or program discontinued

344 CO2 744, MI1 623
Curriculum development records
including but not limited to course worksheets, evaluations, and recommendations:
RETENTION: 7 years

345 CO2 745, MI1 624
Official copy of course listing:

RETENTION: PERMANENT

346 CO2 746, MI1 625
Course outline:

RETENTION: 6 years

347 CO2 747, MI1 626
Class record
including class number and title, location, date and time class meets, student attendance:

RETENTION: PERMANENT

348 CO2 748, MI1 627
Admissions data
including but not limited to acceptance letter, application, income eligibility records, placement testing records, letters of recommendation, and transcripts

a For applicants who enter (when not included in student folder):
RETENTION: 6 years after graduation or date of last attendance

b For applicants who do not enter whether accepted or not:
RETENTION: 2 years following date of admission or exclusion

349 CO2 749, MI1 628
Student folder

a Basic documentation, including but not limited to course or program application or registration, income eligibility records, graduation report, reports of grades (including change of grade records), summary attendance information, termination records, name change records, social security number change records, application for veterans' benefits, student counseling records and student summary disciplinary records:
RETENTION: 6 years after graduation or date of last attendance
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Educational opportunity center student records covered by part "a" may be valuable in documenting EOC services to economically and educationally disadvantaged persons in the center's service area. Contact the State Archives for additional advice.

b Supplemental documentation, including but not limited to test papers and answer sheets, copy of high school equivalency diploma, copies of and requests for transcripts and routine correspondence:
RETENTION: 1 year

350 CO2 750, MI1 629
Student's attendance record (register),
including but not limited to each student's name, address, and daily attendance, absence and tardiness:

RETENTION: 6 years

351 CO2 751, MI1 630
Student request for counseling or assistance
relating to emotional, psychological, personal, social, academic, or vocational concerns:
RETENTION: 6 years

352 CO2 752, MI1 631
Termination record
containing academic, attendance-related or disciplinary termination information not contained in student folder:
RETENTION: 0 after no longer needed

353 CO2 753, MI1 632
Student grievance records
including but not limited to grievance, investigative records, hearing proceedings, decision rendered, student appeal, records of arbitration procedure, final decision and correspondence:
RETENTION: 6 years after grievance resolved

354 CO2 754, MI1 633
Student disciplinary records
(other than those contained in student folder) including but not limited to suspension or disciplinary notice, hearing record, and correspondence:
RETENTION: 6 years

355 CO2 755, MI1 634
List of students enrolled in specific course or program:
RETENTION: 0 after superseded

356 CO2 756, MI1 635
Class schedule
including class title, location, dates, and time of meeting:
RETENTION: 6 years

357 CO2 757, MI1 636
College preparation or other examination records
(examination results being posted to student folder), including examination questions, test papers and answer sheets:
RETENTION: 1 year

358 CO2 758, MI1 637
Statistical compilation or reports of students provided counseling services:
RETENTION: 0 after no longer needed

359 CO2 759, MI1 638
Request for academic, attendance or other information on disabled student

from Adult Career and Continuing Education Services-Vocational Rehabilitation (ACCES-VR) of State Education Department, or other agency:

RETENTION: 6 years

360 CO2 760, MI1 639

Periodic (other than annual) fiscal reports submitted to the State University of New York (SUNY):

RETENTION: 6 years

361 CO2 761, MI1 640

Radiation use log

including user name, date, film size, quantity, screen, and length of time in facility where radiation is in use:

RETENTION: 4 years after graduation

ELECTION

♦ **NOTE:** Items in this section pertain to elections not conducted as part of a general election. NYS Election Law § 1-102 states that the provisions of the law apply to elections "at the time of a general election." General elections occur on the first Tuesday of November and are usually administered by county boards of elections (these records are covered under the *Election Records Retention and Disposition Schedule for use by New York County Boards of Elections*). Elections occurring any other time of the year would not be considered a general election (often called "special election") and would be administered by municipalities or school districts.

♦ **362** MU1 175, ED1 69, MI1 139

Voter registration records

a Register of voters and pollbook:
RETENTION: 5 years
NOTE: Appraise these records for historical significance prior to disposition, especially when not duplicated at a county board of elections. Records with historical value should be retained permanently. Even though certain voter registration records are retained permanently by county boards of elections, municipalities and districts may wish to retain these records longer, if not permanently, for convenience of reference and for research purposes, if they contain information not found at county boards. See also item no. 373. Contact the State Archives for additional advice in this area.

b Registration challenge records:
RETENTION: 2 years after receipt or until final decision, whichever is later

♦ **363** MU1 176, ED1 70, MI1 140

Vote recording and tabulating records

a Sample ballot:
RETENTION: PERMANENT

b Voted ballot:
RETENTION: 1 year after election

c Application for absentee ballot:
RETENTION: 30 days after election

d Final election results, including election inspectors' return and statement of canvass (where information is not duplicated in report of final election results) and election result reports from town, city, village, or district clerk, or county board of elections:
RETENTION: PERMANENT

e Intermediate records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results by wards or election districts and election inspectors' returns and statements of canvass (where information is duplicated in report of final election results):

RETENTION: 1 year after election

f Unused ballots:
RETENTION: 6 months after election and, if school election, after board of education resolution

g Spoiled, voided, or rejected ballots:
RETENTION: 1 year after election

364 MU1 177, ED1 71, MI1 141

Election readiness records,
including certification of testing of voting machines or systems, record of ballot delivery, or similar records:

RETENTION: 1 year after election

365 MU1 178, ED1 72, MI1 142

Election officials' appointment records,
including notice of appointment, oath of office, and record of service:

RETENTION: 1 year after election

366 MU1 179, ED1 73, MI1 143

Notification and publication of notice of forthcoming election

a Official copy of election notice:
RETENTION: PERMANENT

b Proof of publication or posting, certification and listing of notice posting, copy of newspaper notice and certification of offices to be voted for at forthcoming election, and copy of any information sent to prospective voters regarding forthcoming election:
RETENTION: 1 year after election

367 MU1 180, ED1 74, MI1 144

Referendum records,
covering any question, recall or special election, including but not limited to actual petitions, records of signature verification and correspondence

NOTE: Certain records documenting establishment, incorporation, annexation, consolidation, dissolution or charter revision must be retained permanently; see item nos. 876 and 43.

a Summary records documenting request or need for referendum, such as records of public hearing, narrative justification accompanying petition, reports and correspondence dealing with pros and cons of issue at question:
RETENTION: PERMANENT

b Other referendum records, including actual petitions, records of signature verification and routine correspondence:
RETENTION: 1 year after election

368 MU1 181, ED1 75, MI1 145

Election officials' training and qualifications records:

RETENTION: 3 years

369 MU1 182, ED1 76, MI1 146

Candidate designation or nomination records,

including petitions, certificate, declination of nomination, objection to nomination, and related records:

RETENTION: 1 year after election

370 MU1 183, ED1 77, MI1 147

Certificate of acceptance of office:

RETENTION: 1 year after person leaves office

371 MU1 184, ED1 78, MI1 148

Election challenge or investigation records:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition. Records which document significant investigations and challenges to election results may possess historical value and should be retained permanently. Contact the State Archives for additional advice.

372 MU1 185, ED1 80, MI1 149

Records of election financing and/or campaign receipts, contributions and campaign expenses, including attached copies of political advertisements and literature,

including but not limited to report of campaign receipts and expenditures, waiver of report, party committee's designation of treasurer and depository and statement of authorization or non-authorization by candidate:

RETENTION: 5 years

NOTE: Campaign financing is a major public policy issue. Therefore, the State Archives preserves state-level campaign finance records and the New York City Board of Elections preserves City campaign finance records. Preservation of these archival records will maintain vital evidence for future research about campaign financing. County boards of elections have the option to preserve these financing statements longer than 5 years if they find the need to do so. Likewise, local governments may wish to preserve all or some campaign finance records beyond the five year minimum in those instances where the elections involved are hotly contested and serious local issues are involved. Contact the State Archives for more advice if necessary.

373 MU1 186, ED1 79, MI1 150

Informational records received from county board of elections,

including lists of election officials, enrollment or registration lists, district maps and instructional materials:

RETENTION: 0 after superseded or obsolete

374 CO2 862, MI1 641

Agency assisted voter registration records

a Signed declination form, containing person's declination to register to vote:
RETENTION: 22 months

b Participating agency's copies of transmittal forms, used to accompany copies of completed voter registration applications or change of address forms, submitted to county board of elections:
RETENTION: 1 year
NOTE: This item only covers records maintained by participating agencies, not by county boards of elections.

ELECTRIC AND GAS UTILITY

♦ NOTE: This section applies only to records created or received by electronic and gas utilities operated by municipalities.

375 MU1 187, MI1 151

Operational permit records,
for electric or gas production plant and transmission and distribution system, including application, copy of permit and correspondence:

RETENTION: 6 years after denial of application or expiration, renewal or revocation of permit

♦ 376

Permits, approvals,
and related records necessary for connection to public electric or gas supply system:

RETENTION: 6 years after connection no longer in use, or after denial of application
NOTE: Records related to public electric and gas system construction or operation are covered by items in this section.

377 MU1 188, MI1 152

Construction, modification, demolition or retirement records
for electric or gas production plant and transmission and distribution system, including but not limited to detailed construction specifications and other supplementary documentation, progress and completion reports, work orders, memoranda, worksheets, records of inspection and work evaluation and correspondence:

RETENTION: 10 years after retirement of plant or system
NOTE: Appraise these records for historical significance prior to disposition. Significant records deriving from the construction, retirement or other major changes in municipal power facilities may have long-term value deriving from and relating to the importance of these facilities in the community and should be retained permanently. Contact State Archives for additional advice.

378 MU1 189, MI1 153

Gas and electric utility reports

a Station or system power generation report:
RETENTION: 25 years

b Station or system inspection report, including operating tests:
RETENTION: 6 years

c Inspection and repair reports on street openings, such as for correcting gas leaks:
RETENTION: 6 years

d Analysis of gas produced and purchased, including BTU and sulfur content:
RETENTION: 6 years

e Gas measuring records:
RETENTION: 3 years

f Gas pressure department reports:
RETENTION: 3 years

379 MU1 190, MI1 154

Substation, transformer, pole, tower or generator records,
or records of other specific component part of system, including sketches and measurements; and installation, maintenance and discontinuance information:

RETENTION: 6 years after component part replaced or its use discontinued
NOTE: All records relating to any gas pipeline designed to operate at 125 PSIG or more must be retained as long as that pipeline remains in service, per Section 255.17 (b) of 16NYCRR.

380 MU1 191, MI1 155

Log book of electric or gas plant
or any part of electricity or gas production, transmission and distribution system:

RETENTION: 6 years after last entry

381 MU1 192, MI1 156

Charts, graphs and related data recording records

a Summary chart, graph or equivalent record compiled from records of original entry showing long term trends and developments:
RETENTION: PERMANENT

b Recording chart or other record of original entry, including load curve; and temperature, pressure, specific gravity or water level chart:
RETENTION: 3 years

c Gas measuring records, when information is transferred to summary record:
RETENTION: 6 months

d Gas measuring records, when information is not transferred to summary record:
RETENTION: 1 year

e River flow data collected in connection with hydro-electric plant operation:
RETENTION: PERMANENT

382 MU1 193, MI1 157

Municipal lighting records,
including but not limited to installation, repair, inspection and replacement records for street lights and other lighting devices:

RETENTION: 6 years after device no longer in use

383 MU1 194, MI1 158

General and subsidiary ledgers
or journals and journal vouchers of electric or gas utility:

RETENTION: 50 years

♦ **384**

Cash transaction record
showing cash received from collection of various fees and petty cash disbursed:

RETENTION: 10 years after close of fiscal year

♦ **385**

Life or mortality study data
created for depreciation purposes:

RETENTION: PERMANENT

386 MU1 195, MI1 159

Service interruption records,
including but not limited to storm damage, downed and severed power lines, circuit overloading or other related power failure or transmission problem, or apparatus failure reports for gas utility:

RETENTION: 6 years

387 MU1 196, MI1 160

Board of Fire Underwriters' certificate:

RETENTION: 3 years

388 MU1 197, MI1 161

Records of electric or gas meter tests:

RETENTION: 2 years after subsequent test conducted, but not longer than 6 years

389 MU1 198, MI1 162

Electric or gas meter history records:

RETENTION: 0 after meter no longer in use

ENERGY

390 CO2 235, MU1 203, MI1 167
Energy consumption monitoring records
showing use of electricity or fuel or operation of heating and/or cooling equipment, or energy audit, when not relating to facility owned or operated by local government:

RETENTION: 1 year
NOTE: Energy consumption monitoring records showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility, are covered by item no. 850 in the Public Property and Equipment section.

♦ **391** CO2 805, MU1 711, MI1 685
Weatherization client case files,
covering assistance provided to individuals and families to improve heating efficiency and reduce fuel expenditures, including but not limited to application, income documentation, description of property and work needed to improve heating efficiency, results of energy efficiency testing, description of work performed, copies of fuel bills, fuel information form, landlord agreement, notes and correspondence:

RETENTION: 6 years after date of last entry or work is completed

392 CO2 806, MU1 712, MI1 686
Master listing of clients
participating in weatherization program:
RETENTION: 6 years

393 CO2 807, MU1 713, MI1 687
Annual state plan
(final copy) for weatherization assistance program:
RETENTION: 6 years

394 CO2 808, MU1 714, MI1 688
Status report
on clients referred to local subgrantee agency:
RETENTION: 1 year

♦ **395** CO2 809, MU1 715, MI1 689
Interagency referral form,
maintained by referring agency:
RETENTION: 6 years

ENVIRONMENTAL HEALTH

NOTE: Records relating to laboratories and radiological health records are listed in the Public Health section. Lead poisoning records are covered by item nos. 783, 784 and 785 in the Public Health section, Miscellaneous subsection.

Local Regulatory/Permitting Agency: Animal Industry and Veterinary Medicine

NOTE: See also item no. 250 in the Cooperative Extension Association section, Miscellaneous subsection. Additional license and permit records may be found in the General Administration section, Corporation and Business Entities Filings subsection and Licenses and Permits section.

396 CO2 236,

Records concerning use of living animals in testing and experimentation

a Laboratory protocol and testing procedures:
RETENTION: PERMANENT

b Laboratory and testing inspection reports, including description of actual tests:
RETENTION: 3 years

c Approval granted individual in charge of laboratory:
RETENTION: 3 years after individual's association with laboratory terminated

d Approval granted laboratory:
RETENTION: 3 years after expiration

♦ **397** CO2 237, MU1 205, MI1 168

Rabies and animal bite records

a Domestic livestock antirabies protection certificate:
RETENTION: 5 years

b Records concerning certification of area for rabies, including but not limited to correspondence, notices, and copy of resolution:
RETENTION: 20 years

c Investigation records for bite or other potentially dangerous contact with an animal, including potentially rabid animal:
RETENTION: 6 years

d Wildlife vaccination program records, including application and notification records, forms, logs, and reports:
RETENTION: 10 years
NOTE: Appraise any annual, final, or special reports for historical significance prior to disposition. Reports may document significant public health initiatives and provide detailed information on the impact and results, thus possessing

historical or other value warranting permanent retention. Contact the State Archives for additional advice.

398 CO2 238,
Farm animal disease test records

a Cattle disease test records, including but not limited to summary report for each herd (to which test results have been posted), brucellosis or tuberculosis test results and calf vaccination report:
RETENTION: 10 years

b Inspection and related records for farm animals other than cattle:
RETENTION: 3 years

Local Regulatory/Permitting Agency: Miscellaneous

399 CO2 239, MU1 208, MI1 169
Environmental disturbance permit file:

RETENTION: PERMANENT

♦ 400
Junk yard license records,
governed by Section 136 of the General Municipal Law

a Original application for license, including environmental assessment and impact statement and other records:
RETENTION: 6 years after expiration or denial of license
NOTE: Appraise these records for historical significance and other long-term uses prior to disposition, as they may warrant longer, if not permanent, retention. Environmental assessment and impact records and other records associated with junkyard licenses may have research value in documenting potential environmental and public safety concerns. Contact the State Archives for additional advice in this area.

b Renewal records:
RETENTION: 6 years after expiration or denial of license

401 CO2 242, MU1 210, MI1 171
Property acquisition or regulation file
documenting acquisition of real property or easements for drainage control, water lines, or other environmental health purposes:

RETENTION: PERMANENT

402 CO2 244, MU1 212, MI1 172
Master summary record
of applications relating to realty subdivisions, private water supply, private sewage disposal systems, or hazardous substance (or petroleum) spill, release or investigation

records:

RETENTION: PERMANENT

403 CO2 241, MU1 209, MI1 170

Spill, release or investigation records

covering hazardous substance or petroleum

NOTE: Corrective action plan for responding to contaminated soils and groundwater is covered by item no. 75 in the General Administration section.

a Records of investigation of spill or release of hazardous substance exceeding minimum reportable quantity (as defined in Section 597.3, 6NYCRR, Table 1):

RETENTION: PERMANENT

b Records of investigation of spill or release of hazardous or toxic substance not exceeding minimum reportable quantity (as defined in Section 597.3, 6NYCRR, Table 1):

RETENTION: 7 years after close of investigation

c Records of investigation of spill or release of petroleum (as defined in Section 597.1(b)(12), 6NYCRR) exceeding 25 gallons:

RETENTION: PERMANENT

d Records of investigation of spill or release of petroleum (as defined in Section 597.1(b)(12), 6NYCRR) not exceeding 25 gallons:

RETENTION: 7 years after close of investigation

♦ **404**

Hazardous or toxic substance or petroleum bulk storage records,

except storage facilities owned or operated by local government, including inspection and monitoring records:

NOT COVERED: Records related to a spill or release of hazardous or toxic substance or petroleum are covered by item no. 403.

RETENTION: 10 years

NOTE: Records related to petroleum bulk storage facility owned or operated by local government are covered by item no. 823 in the Public Property and Equipment section. Local governments may wish to retain records longer than the minimum retention period due to potential long-term environmental and public health risks associated with these substances.

405 CO2 243,

Realty subdivision environmental health approval file

a All file documentation when county health agency approval is required and subdivision is undertaken, including final plans and certificate of approval, except routine memoranda, worksheets, non-significant change orders, routine correspondence, detailed construction specifications and draft or intermediary plans, maps, designs, sketches that do not document significant changes:

RETENTION: PERMANENT

b Routine memoranda, worksheets, non-significant change orders, routine

correspondence, performance bonds, detailed construction specifications and draft or intermediary plans, maps, designs, sketches that do not document significant changes, when county health agency approval is required and subdivision is undertaken:

RETENTION: 20 years after date of approval

c All file documentation when county health agency approval is required and subdivision is not undertaken:
RETENTION: 20 years after date of most recent entry in record
NOTE: Appraise these records for historical significance prior to disposition. These records may document major proposed land use changes and provide detailed information on the land involved, thus possessing historical or other value warranting permanent retention. Contact the State Archives for additional advice.

d All file documentation when county health agency receives records for informational purposes, but their approval is not required, such as for subdivisions not meeting the legal definition found in Section 1115.1, Public Health Law:

RETENTION: 0 after no longer needed

e Final determination approval criteria and precedents:
RETENTION: PERMANENT

406 CO2 245, MU1 213, MI1 173
State and local sanitary and related code violation records,
including locally enacted regulations, such as "clean indoor air acts"

a Violation files:
RETENTION: 3 years after violation abated

b Alleged but unfounded violation files:
RETENTION: 1 year after last entry

c Master summary record (log or register) of complaints, violations and inspections:

RETENTION: 3 years after last entry

407 CO2 246,
Insect control ("vector") records

a Annual, final or special reports:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

c Records of discovery and analysis of insects or animals found not to be disease carriers:

RETENTION: 0 after no longer needed

408 CO2 247,
Pesticide use records

a Annual, final or special reports:
RETENTION: PERMANENT

b Copies of Department of Environmental Conservation (DEC) pesticide applicator certification or business/agency registration records:

RETENTION: 0 after no longer needed

c Pesticide use inspection or investigation records:

RETENTION: 6 years

NOTE: This item does not cover application of pesticides (including herbicides, rodenticides and disinfectants) on municipal or school property or by municipal or school personnel. See item no. 832 in the Public Property and Equipment section.

d Copies of emergency pesticide application notification records, where the original records are forwarded to New York State Department of Health, pursuant to Section 33-1004.1 (b-ii-L), Environmental Conservation Law:

RETENTION: 1 year

e Pesticide application notification records, created as the result of passage of county notification law, pursuant to Section 33-1004.2, Environmental Conservation Law:

RETENTION: 6 years

409 CO2 248,

Air contamination permit files

NOTE: These records do not cover records of resource recovery facilities owned or operated by local governments. These records are covered by the Environmental Facilities: General and Environmental Facilities: Solid Waste Management Facilities subsections, below.

a Restricted or controlled burning permit file:

RETENTION: 3 years after last entry

b Permit file for construction of incinerator, stationary combustion installation, resource recovery facility or process exhaust and ventilation system:

RETENTION: 7 years after source no longer exists

c Permit file ("source file") for operation of incinerator, stationary combustion installation, resource recovery facility or process exhaust and ventilation system, including but not limited to certificate to operate, inspection and monitoring records:

RETENTION: 0 after source no longer exists, but not less than 6 years after denial, expiration or renewal

d Information copies of construction or operation permit records, where official copies are held by New York State Department of Environmental Conservation, which issues permit directly:

RETENTION: 0 after no longer needed

410 CO2 249,

Air quality monitoring and surveillance log

of air sampling station or similar records of original entry:

RETENTION: 5 years

♦ **411**

Radon detection test kit distribution records:

RETENTION: 1 year

412 CO2 250,

Emission and operating parameter measurements

for incineration facilities and other sources of air contamination

a Annual reports:
RETENTION: PERMANENT

b Summary reports and records of original entry:
RETENTION: 5 years

413 CO2 261,

Permits, approvals,

and related records, relating to water supply or wastewater disposal system, maintained by local health agency

a Private water supply or wastewater disposal system approvals, including small privately owned water systems, when not part of realty subdivision application:

RETENTION: 20 years after completion of work or 6 years after denial of application

NOTE: Appraise these records for historical significance and other long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful if public water supply or public wastewater treatment systems serve these areas in the future. Contact the State Archives for additional advice.

b Permit for septic tank cleaner or industrial waste collectors, issued by local agency:

RETENTION: 6 years

c Informational copies of permit records for septic tank cleaner or industrial waste collectors, where State Department of Environmental Conservation issues permit:

RETENTION: 0 after no longer needed

d Permit files for distribution of bottled or bulk water, where local government agency issues permit:

RETENTION: 6 years after expiration of permit or denial of application

e Permit files for fluoridation plans, backflow prevention devices, fire pump chlorinators, or for interconnecting water systems, where local government agency issues permit:

RETENTION: 6 years after distribution of bottled or bulk water, cessation of operation or denial of application

f Informational copies of permit records for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where State Department of Health issues permit:

RETENTION: 0 after no longer needed

g Well driller certification records:

RETENTION: 0 after superseded or obsolete

414 CO2 810, MU1 863, MI1 690

Records of minor repairs, enlargements or cleaning

of drainage ditches, or in drainage districts, including but not limited to those defined in Sections 15-1943 and 15-1945, Environmental Conservation Law:

RETENTION: 6 years after date of completion of work

415 CO2 811, MU1 864, MI1 691

Hazardous waste site identification records,

including survey of suspected hazardous waste disposal sites, including that created pursuant to Section 27-1303, Environmental Conservation Law; copy of state registry listing of sites for a specific jurisdiction; review of registry listings; and determination and notification records for newly identified sites:

RETENTION: PERMANENT

416 MU1 865, MI1 692

Informational copies of reports and studies,

received from environmental facilities or from county or state agencies, including copies of reports created pursuant to Section 5-1.72 of 10NYCRR, public health hazard notification, or relating to unsatisfactory water samples, watershed rules violations, and water quality monitoring violations, including testing records and records of action taken by supplier of water to correct violations:

RETENTION: 0 after no longer needed

♦ **417** CO2 812, MU1 866,

Environmental restoration project records,

created pursuant to Part 375, 6NYCRR, including inactive hazardous waste disposal site remediation, brownfield cleanup, environmental restoration, and soil cleanup programs

a Application for state assistance; feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; final plans, maps, designs, sketches, architectural drawings and photographs; structure demolition records; environmental impact statement; annual project statement; copies of project review records; fiscal and other final reports; significant change orders; property disposition records; and significant correspondence:

RETENTION: PERMANENT

b Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and draft or intermediary plans, maps, designs, sketches or drawings:

RETENTION: 6 years after completion of project or date of most recent entry, whichever is longer

c Unsuccessful bids, to which contracts are not awarded:

RETENTION: 6 years

d All records, when project is proposed but not undertaken:
RETENTION: 6 years after date of last entry
NOTE: Appraise these records for historical significance prior to disposition. Certain records for environmental restoration projects that are proposed but not undertaken may have research value in documenting property where hazardous substances are located or which is otherwise adversely affected, and should be retained permanently. Contact the State Archives for additional advice.

♦ **418**
Climate action plans
documenting action to address climate change by reducing greenhouse gas emissions and investing in green economies:
RETENTION: PERMANENT

Local Regulatory/Permitting Agency: Oversight of Environmental Facilities

NOTE: Records relating to the establishment of water or sewer districts in a town or county are also covered by item no. 40 in the General Administration section.

419 CO2 813,
Permits, approvals,
and related records, relating to public water supply or wastewater disposal system, maintained by local health agency

a Approvals of extensions of areas covered by public water supply or public wastewater treatment systems:
RETENTION: PERMANENT

b Approval necessary for connection to public water supply or wastewater disposal system:
RETENTION: 6 years after connection no longer in use, or 6 years after denial of application
NOTE: Appraise these records for long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful in the future in documenting the location of pipes and other underground devices. Contact the State Archives for additional advice.

c Records relating to surveillance of public water supply system, conducted by local health department, including inspection and sampling records, and waiver from mandatory disinfection requirements:
RETENTION: 3 years after superseded, invalid or obsolete

d State Pollutant Discharge Elimination System (SPDES) permit issued by county health agency pursuant to Section 17-0701.7, Environmental Conservation Law:
RETENTION: 6 years after permittee ceases pollution discharge and the permit coverage is terminated

420 CO2 262,

Reports and studies
relating to environmental facilities, covering records maintained by county health agency or by municipality

a Copies of reports and studies, received from public water supply systems, including copies of reports created pursuant to Section 5-1.72 of 10NYCRR, where these facilities are under surveillance of county health department:

RETENTION: 3 years

b Informational copies of reports and studies, received from environmental facilities, including copies of reports created pursuant to Section 5-1.72 of 10NYCRR, where county does not have surveillance responsibility:

RETENTION: 0 after no longer needed

c Records relating to unsatisfactory water samples, watershed rules violations, and water quality monitoring violations, including testing records and records of action taken by supplier of water to correct violations, where county is involved in testing samples, monitoring violations and correcting problems:

RETENTION: 6 years after superseded

NOTE: Appraise these records for long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful in the future in documenting cases of serious drinking water contamination. Contact the State Archives for additional advice.

d Informational copies of records relating to unsatisfactory water samples, watershed rules violations, and water quality monitoring violations, including testing records and records of action taken by supplier of water to correct violations, where county is not involved in testing samples, monitoring violations and correcting problems:

RETENTION: 1 year

e Public health hazard notification, received by county or municipality from public water supply system, pursuant to Section 5-1.77(b), 10NYCRR:

RETENTION: 6 years

f Copies of monthly discharge monitoring and operation reports, submitted to county health department acting as agent for New York State Department of Environmental Conservation in conjunction with SPDES permit requirements:

RETENTION: 5 years

g Report or list of SPDES permits ranked in respect to need for review, received from New York State Department of Environmental Conservation:

RETENTION: 0 after superseded or obsolete

421 CO2 814,
Environmental health data file,
providing summary and/or detailed information on various environmental health permitting and regulatory activities, such as community sanitation, service food establishments, private water supply and wastewater treatment systems, lead poisoning investigations, and code violations:

RETENTION: 0 after no longer needed

NOTE: Health agencies should consider long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes, if data files are maintained locally aside from data input into the New York State Department of Health database. This data may provide for ease of access to other files and may create a record which supplements the facility data information record (see item no. 424). Contact the State Archives for additional advice.

422 CO2 815,
Reports, studies or data queries,
including those generated from environmental health data system (including documentation of macros, queries, and reports):

RETENTION: 0 after no longer needed
NOTE: Appraise the records for archival value. Reports and studies documenting various aspects of community sanitation (such as camps, resorts and mass gatherings) may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

♦ **423**
Utility company petition
to adjust rates for collection, treatment, or disposal of sewage, including operation reports:

RETENTION: 6 years after new rate is effective or is not approved

Local Regulatory/Permitting Agency: Community Sanitation and Food Protection

NOTE: For related records, see also the Consumer Protection Services section.

424 CO2 271,
Facility information data record
containing data on camp, hotel/motel, swimming pool, bathing beach, service food establishment or other facility monitored by health agency:

RETENTION: 6 years after facility no longer in use
NOTE: Appraise these records for historical significance prior to disposition. These records may be used to document camps and other resorts in certain areas of the state where tourism is a subject of serious concern. Contact the State Archives for additional advice.

425 CO2 272,
Community sanitation permits and approvals
to operate pool, beach, camp, temporary residence or to hold mass gathering, including those operated as part of a mobile home park:

RETENTION: 3 years after denial or expiration

426 CO2 273,

Community sanitation reports of operation and inspection

a Daily operation reports for swimming pools, bathing beaches, and recreational aquatic spray grounds:
RETENTION: 1 year

b All other reports, including inspection report:
RETENTION: 21 years

427 CO2 816,

Violation records,

including hearing records, for food service establishment, camp, hotel/motel, swimming pool, bathing beach, or other facility monitored by health agency

a When no minor is involved:
RETENTION: 6 years

b When a minor is involved:
RETENTION: 6 years after date of most recent entry, but not until 3 years after any minor involved attains age 18

428 CO2 269,

Service food establishment permits and approvals

a Service food establishment construction, alteration or remodeling records, except records documenting minor facility modifications:
RETENTION: 3 years after establishment no longer in operation

b Records documenting minor facility modifications for service food establishment:
RETENTION: 3 years

c Operational permit file for service food establishment, including records of suspension or closure:
RETENTION: 3 years after expiration

d Temporary operation permit file for service food establishment:
RETENTION: 2 years after denial, renewal or expiration

e Frozen dessert or oleomargarine sale permit records:
RETENTION: 2 years after denial, renewal or expiration

429 CO2 270,

Food inspection and investigation records

a Inspection report for preparation or serving area:
RETENTION: 3 years

b Food sanitation complaint investigation or food embargo records, for investigations other than food- or water-borne disease investigations:
RETENTION: 6 years after last entry

c Food sanitation complaint investigation or food embargo records, when a food- or water-borne disease investigation is conducted:
RETENTION: 21 years
NOTE: Appraise these records for long-term uses, warranting longer, if not

permanent, retention prior to disposition. Records covered by item 429c may be useful in the future in documenting cases of serious food poisoning, such as where death or serious illness occurs from E. coli contamination. Contact the State Archives for additional advice.

d Food labelling and advertising investigation or complaint records:
RETENTION: 2 years

Environmental Facilities: General

NOTE: Records relating to maintenance, testing, service, operational, and repair records of environmental facilities are listed in the Public Property section.

430 CO2 817, MU1 867, MI1 693
Capital construction or public improvement project file for environmental facility, covering water treatment plant; public water supply system; wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility)

a Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; construction inspection reports; final or "as built" plans, maps, designs, sketches, architectural drawings and photographs; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; retrofitting records; and significant correspondence:
RETENTION: PERMANENT
NOTE: Some draft or intermediary plans, maps, designs, sketches or architectural drawings, or detailed construction specifications may need to be retained permanently under part "a," above, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition under part "b," below. Contact the State Archives for additional advice.

b Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and draft or intermediary plans, maps, designs, sketches or architectural drawings:
RETENTION: 6 years after completion of project or date of most recent entry, whichever is longer

c Unsuccessful bids, to which contract is not awarded:
RETENTION: 6 years

d All records, when project is proposed but not undertaken:
RETENTION: 6 years after date of last entry
NOTE: Appraise these records for historical significance prior to disposition. Certain records for important environmental facility projects that are proposed but not undertaken may have historical and other research value and should be retained permanently. Contact the State Archives for additional advice.

431 CO2 255, MU1 223, MI1 181

Permit or registration files for construction, operation and maintenance
of environmental facility, covering water treatment plant; public water supply system; wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility)

NOTE: Duplicate set of records maintained for public observation should be retained in accordance with specific permit requirements issued by the New York State Department of Environmental Conservation.

a Permit, application, approval or disapproval; related plans, maps, specifications and engineering drawings; variance from New York state regulations, approval of use of emergency source of water, approval to supply water to or take water from other system, approval of fluoridation process, progress and inspection reports, final and annual reports, summaries of data collected relating to permit issuance, and significant correspondence:

RETENTION: PERMANENT

b Routine correspondence, cover and internal memoranda, draft or intermediary plans, designs and photographs, detailed data that has been summarized in other records, and other records of transitory value:

RETENTION: 6 years after date of last entry

432 CO2 257, MU1 225, MI1 183

Component part
sketches, measurements, installation, inspection and maintenance records:

RETENTION: 6 years after part replaced or its use permanently discontinued

433 CO2 818, MU1 868, MI1 694

Automated operating system records,
covering Supply Control and Data Acquisition (SCADA) or equivalent systems, covering operation, monitoring, problems or emergencies, and maintenance of environmental facility

a Detailed data collected from sensors or monitors, and detailed reports generated from such data:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), 6NYCRR. It is recommended that local government environmental facilities store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 5 years

NOTE: Appraise these records for archival value. History files may contain

valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

434 CO2 258, MU1 226, MI1 184

Log

or equivalent record containing information such as changes in pressure and level, proportion of chemicals present, operational changes, problems and emergencies, and personal observations

a Containing summary information collected at periodic intervals and information on significant readings, events or observations:

RETENTION: PERMANENT

b Containing all or routine information collected at frequent intervals:

RETENTION: 5 years

NOTE: If no logs containing summary information are generated, local government environmental facilities may wish to retain all or some records covered by part "b" of this item, for both long-term administrative use and for potential research purposes. Certain inspection logs of solid waste management facilities must be retained for 7 years after date of inspection.

435 CO2 259, MU1 227, MI1 185

Charts, graphs and similar records

of pumpage, flow, pressure, emissions, temperature, levels of chemicals, and related information

a Summary records showing long-term trends and developments:

RETENTION: PERMANENT

b Records of original entry, containing significant information:

RETENTION: 10 years

c Records of original entry, containing only routine information with no long-term value:

RETENTION: 1 year

NOTE: Some of these records may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), 6NYCRR. Consult your attorney or counsel and the State Department of Environmental Conservation to determine which records, if any, must be retained longer than 1 year.

d Intermediary records, compiled from records of original entry, but not showing long-term trends and developments:

RETENTION: 5 years

436 CO2 260, MU1 228, MI1 186

Operator qualifications records:

RETENTION: 6 years after disapproval, renewal, or expiration of approval

437 CO2 819, MU1 869, MI1 695

Reports, studies or data queries,

including those generated from SCADA or equivalent environmental facility operating system (including documentation of macros, queries, and reports), when not covered by specific report items in this section:

RETENTION: 0 after no longer needed

NOTE: Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

438 CO2 820, MU1 870, MI1 696

Environmental facility alarm, problem and emergency records

a Narrative records documenting serious problems or emergencies, including charts, graphs, and data necessary to support such records:
RETENTION: PERMANENT

b Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:
RETENTION: 5 years

c Contingency or similar plans to deal with emergency situations:
RETENTION: PERMANENT

♦ **439**

Audio-visual files,

including video inspection of environmental facilities, public water supply, and wastewater disposal systems when not covered by specific items in this section:

RETENTION: 0 after no longer needed

Environmental Facilities: Public Water Supply

440 CO2 821, MU1 229, MI1 187

Permits, approvals,

and related records, excluding those related to public water supply system construction or operation covered by item no. 431

a Approval necessary for connection to public water supply system:
RETENTION: 6 years after connection no longer in use, or after denial of application

b Waiver or variance from mandatory disinfection or other requirements:
RETENTION: 5 years after superseded or invalid

c Permit files for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where local government agency issues permit:
RETENTION: 6 years after cessation of operation or denial of application

d Informational copies of permit records for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for

interconnecting water systems, where State Department of Health issues permit:
RETENTION: 0 after no longer needed

♦ **441** CO2 822, MU1 230, MI1 188
Reports and studies
relating to plant, system or facility operation

a Annual and final reports (including annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive water supply study and report, special studies and detailed reports, including facility inspection reports, reports on watershed rules and rules violations, sanitary surveys, comprehensive performance evaluations, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:
RETENTION: PERMANENT

b Reports and studies covering routine information only, not covered by other item in this Schedule:
RETENTION: 0 after no longer needed

c Monthly operational report submitted to New York State Department of Health:
RETENTION: 5 years
NOTE: Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

d Records relating to water quality monitoring violations, watershed rules violations or unsatisfactory water samples, and major changes in aquifer or watershed, including test results and records of corrective actions taken:
RETENTION: 3 years after issuance of notice
NOTE: Appraise these records for long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful in the future in documenting cases of serious drinking water contamination. Contact the State Archives for additional advice.

e Annual inspection of bottled water facility for certification purposes:
RETENTION: 5 years

442 CO2 823, MU1 716, MI1 697
Water systems periodic operation reports,
created pursuant to 10NYCRR, Section 5-1.72 (d) and forwarded to county health department or regional office of New York State Department of Health

a Report of microbiological sample results (copy retained by supplier of water):
RETENTION: 5 years

b Report of surface water systems, showing chemical and turbidity analyses, (copy retained by supplier of water):
RETENTION: 10 years

♦ **443** CO2 824, MU1 231, MI1 189
Reports

not relating directly to system or treatment facility construction or operation

a Operational and testing records for fire pump chlorinator, backflow prevention device, where local agency issues permit:
RETENTION: 5 years

b Informational copies of operational and testing records for fire pump chlorinator, backflow prevention device, where State Department of Health or other local agency issues permit:
RETENTION: 0 after no longer needed

c Report of bottled or bulk water distribution:
RETENTION: 3 years

d Small privately owned water system detailed evaluations, including sanitary surveys and comprehensive performance evaluations:
RETENTION: 10 years after superseded

e Interstate water carrier reports and other records:
RETENTION: 10 years

f Septic tank cleaner or industrial waste collector reports and related records:
RETENTION: 6 years

444 CO2 825, MU1 871, MI1 698
Automated hydrological monitoring system records,
covering system infrastructure, system service area or aquifer

a Detailed data collected from sensors or monitors (both collected by this system or obtained from another source, such as a SCADA system), and detailed reports generated from such data:
RETENTION: 0 after no longer needed
NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. It is recommended that local government environmental facilities store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:
RETENTION: 5 years
NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. Contact the State Archives for additional advice in this area.

445 CO2 826, MU1 872, MI1 699
Reports, studies, analytical models or data queries,

generated from hydrological monitoring system (including documentation of macros, queries, and reports), when not covered by specific report items in this section

a Reports and studies documenting major system operational capabilities and proposed modifications, long-range water use planning and aquifer or watershed protection, and/or for long-term planning, for historical and other research, or leading to major future capital expenditures:
RETENTION: PERMANENT

b Report and studies of short-term or transitory value, containing incomplete or otherwise invalid data, or drafts generated in the process of creating reports and studies covered by part "a," above:
RETENTION: 0 after no longer needed

446 CO2 827, MU1 873, MI1 700
Water supply emergency plan,
prepared pursuant to Section 1125, Public Health Law and Section 5-1.33 of 10NYCRR, including revisions and review records

a Copy maintained by public water supplier:
RETENTION: PERMANENT

b Copy held by local health agency:
RETENTION: 5 years after superseded

Environmental Facilities: Stormwater and Wastewater Treatment

447 CO2 828, MU1 874, MI1 701
Permits, approvals,
and related records, excluding those related to system or treatment facility construction or operation, covered by item no. 431, or those relating to receiving significant industrial or high-discharge users, covered by item no. 448

a Approval necessary for connection to wastewater disposal system:
RETENTION: 6 years after denial or approval

b Permit for septic tank cleaner or industrial waste collectors to deliver waste to treatment facility:
RETENTION: 6 years

448 CO2 829, MU1 875, MI1 702
Records relating to receipt and pretreatment of significant industrial or other high-discharge waste

a Permits for discharge of effluent into wastewater treatment system and related records, such as copies of SPDES permits issued to waste generator, discharge monitoring reports, detailed intake records, and laboratory test results:
RETENTION: 6 years after denial, renewal or expiration of permit

b Summary records of waste received for treatment, including records relating to

waste received that exceeds acceptable volume or content parameters:
RETENTION: 20 years
NOTE: Certain records covered by this subitem relating to significant industrial or other high-discharge waste generation and disposal may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

c Survey or similar records of significant industrial or other high-discharge waste generators in an area served by a specific wastewater treatment facility:
RETENTION: 5 years after superseded or obsolete
NOTE: Certain records covered by this subitem relating to significant industrial or other high-discharge waste generation and disposal may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

449 CO2 830, MU1 876, MI1 703
Reports and studies
relating to plant, system or facility operation

a Annual and final reports (except annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive wastewater study and report, special studies and detailed reports, including facility inspection reports, sanitary surveys, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:
RETENTION: PERMANENT

b Annual report submitted to federal Environmental Protection Agency (EPA), also known as "503 report":
RETENTION: 5 years
NOTE: As a rule this report does not contain as useful information as do the monthly discharge and operation reports, covered by part "d," below. However, facilities which include more information in this report may wish to retain these reports longer, even permanently, for administrative or research reasons. Contact the State Archives for additional information.

c Filter inspection reports (such as sieve analysis) for wastewater treatment system:
RETENTION: 5 years

d Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements:
RETENTION: 5 years after facility no longer in use
NOTE: Appraise the records for archival value. Data contained in these reports may be valuable for long-term planning and for historical and other research, warranting permanent retention of these records. Contact the State Archives for additional advice.

e Septic tank cleaner or industrial waste collector reports and related records:
RETENTION: 6 years

f Reports and studies covering routine information only, not covered by other item in this Schedule:

RETENTION: 0 after no longer needed

450 CO2 831, MU1 877, MI1 704
Records relating to sludge, biosolids, unprocessable solids or other waste byproduct
produced as a result of wastewater treatment process, including both detailed records of waste byproducts generated, including laboratory test results and individual load transfer records, and summary records of waste byproducts produced (including unprocessable solids) and disposed of by facility:

RETENTION: 5 years
NOTE: Certain records relating to sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

451 CO2 832, MU1 878, MI1 705
Records relating to leachate received from solid waste management facilities
for processing, including both detailed records of leachate received, including laboratory test results and individual load delivery records and summary reports and other records of leachate received and disposed of:

RETENTION: 5 years
NOTE: Certain records relating to leachate received from solid waste management facilities for processing may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

452 CO2 833, MU1 879, MI1 706
Co-composting records,
including but not limited to testing records for materials used and product generated, and marketing and distribution records, including both detailed records, including laboratory test results and individual load delivery records and summary reports and other records of materials used and compost generated and its distribution:

RETENTION: 5 years
NOTE: Certain records relating to co-composting may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

Environmental Facilities: Solid Waste Management Facilities

NOTE: Records relating to co-composting facilities are covered in the Environmental Facilities: Wastewater Treatment subsection, immediately above.

NOTE: Records relating to disposal of sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process, are covered by item no. 450.

Records relating to public educational recycling programs are covered by item nos. 68 and 54 in the General Administration section.

453 CO2 834, MU1 880, MI1 707
Permit for use of solid waste management facility
by business or resident of local government:
RETENTION: 6 years after denial or expiration of permit

♦ **454** CO2 835, MU1 881, MI1 708
Reports and studies
relating to plant, system or facility operation

a Annual summary reports, final reports, special studies and detailed reports, including facility inspection reports, environmental facility monitoring, overall operational reports and reports of emergencies, water quality records, containing summary or detailed information of long-term value:
RETENTION: PERMANENT

b Quarterly or monthly or operational reports, including reports of exceedances generated by resource recovery facilities and condensate sampling reports of landfill gas recovery facilities:
RETENTION: 7 years
NOTE: Appraise the records for archival value. Reports documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

c Detailed tonnage or similar reports (including summary reports or other records generated from individual load delivery records) which contain significant information, for solid waste management facility:
RETENTION: 7 years

d Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements, for use of water as coolant, including thermal water temperature data:
RETENTION: 5 years

e Reports and other records of unauthorized waste collected and its final disposition, created pursuant to Section 360-1.14 (i-1), 6NYCRR:
RETENTION: 7 years

f Reports and studies covering routine information only, not covered by other item in this Schedule:
RETENTION: 0 after no longer needed

455 CO2 264, MU1 232, MI1 190
Hazardous waste collection and disposal records

a Summary reports and other records of substances and quantities collected and disposed of by outside transfer:
RETENTION: PERMANENT

b Individual load delivery and other detailed records, including manifest form:

RETENTION: 10 years

NOTE: Certain records covered by part "b" may warrant longer retention for legal and administrative reasons, because of the toxic nature of materials collected and transported for disposition at another site. Contact your attorney or counsel to determine if longer retention of these records is necessary:

c Contract for removal of materials collected, along with related bids (successful or unsuccessful) and performance bond or certificate of insurance:

RETENTION: 6 years after superseded or invalid

456 CO2 265, MU1 233, MI1 191

Individual load delivery records

for solid waste management facility (including materials recycling facility - MRF), including "scalehouse" information records

a Individual load delivery records for residential waste:

RETENTION: 6 years

NOTE: The individual load delivery records may be disposed of after 1 year, providing the summary records created from them contain sufficient information on the date of disposal, name of the generator, transporter and disposer of the waste, types and quantity of waste disposed. To ascertain if the summary records suffice to meet requirements of the State Department of Environmental Conservation, contact DEC's Division of Materials Management at (518) 402-8678.

b Individual load delivery records for other than residential waste:

RETENTION: 10 years

NOTE: The individual load delivery records may be disposed of after 1 year, providing the summary records created from them contain sufficient information on the date of disposal, name of the generator, transporter and disposer of the waste, types and quantity of waste disposed. To ascertain if the summary records suffice to meet requirements of the State Department of Environmental Conservation, contact DEC's Division of Materials Management at (518) 402-8678.

c Summary reports and other records created from individual load delivery records:

RETENTION: 10 years

NOTE: The individual load delivery records may be disposed of after 1 year, providing the summary records created from them contain sufficient information on the date of disposal, name of the generator, transporter and disposer of the waste, types and quantity of waste disposed. To ascertain if the summary records suffice to meet requirements of the State Department of Environmental Conservation, contact DEC's Division of Materials Management at (518) 402-8678.

d Reports and studies covering routine information only, not covered by other item in this Schedule:

RETENTION: 0 after no longer needed

e Automated "scalehouse" data file, containing information on type, weight and

source of waste collected and disposed of, as well as billing information:
RETENTION: 10 years after information is superseded or invalid

457 CO2 266, MU1 234, MI1 192
Proof of liability insurance coverage
(insurance policy, certificate of insurance or equivalent record), and proof of financial assurance for solid waste management facility

a For landfill:
RETENTION: 30 years after closure of landfill

b For solid waste management facility other than landfill:
RETENTION: 6 years after closure of facility

458 CO2 267, MU1 235, MI1 193
Recycling marketing records,
including but not limited to annual, final or summary reports and studies, and background files on markets and materials:

RETENTION: 6 years
NOTE: Routine marketing reports and other records are covered by item no. 454f.

459 CO2 268, MU1 236, MI1 194
Recycling waste collection
annual or summary records and reports, including necessary supporting data:
RETENTION: PERMANENT

460 CO2 836, MU1 882, MI1 709
Records relating to ash, leachate, or other waste byproduct
generated and/or disposed of by solid waste management facility

a Detailed records of waste byproducts generated, including laboratory test results, leaching potential test report and individual load transfer records:
RETENTION: 5 years

b Summary records of waste byproducts generated and/or disposed of by facility:
RETENTION: 10 years
NOTE: Certain records covered by parts "a" and "b" relating to ash, leachate other waste byproduct generated and/or disposed of by solid waste management facility may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

461 CO2 837, MU1 883, MI1 710
Local solid waste management plan,
created pursuant to Section 27-0107, Environmental Conservation Law, covering all updates, and including necessary supporting documentation:

RETENTION: PERMANENT

462 CO2 838, MU1 884, MI1 711
Research, development or demonstration project or program files,

including required permits and related records created pursuant to Section 360-1.13, 6NYCRR, official copy of publications, videotapes, or informational literature prepared as a result of the project, background materials and supporting documentation:

RETENTION: 6 years after project or program ends
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If research, development or demonstration projects or programs deal with significant subjects of a scientific or public improvement nature, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

463 CO2 839, MU1 885, MI1 712
Self-inspection records of solid waste management facility,
created pursuant to Section 360-1.14 (f-3) and (i-2), 6NYCRR, including inspection log:
RETENTION: 7 years from date of inspection

464 CO2 840, MU1 886, MI1 713
Landfill closure records,
including but not limited to site investigation records, conceptual and final closure plans, environmental and facility monitoring records, close and post-closure registration report, closure construction certification report, and periodic inspection reports

a All records, except periodic routine inspection reports, routine notes, memoranda, correspondence and detailed data collected as part of project:
RETENTION: PERMANENT

b Routine notes, memoranda, correspondence and detailed data collected as part of project:
RETENTION: 30 years after date of closure

c Periodic routine inspection reports:
RETENTION: 7 years after date of inspection

ENVIRONMENTAL MANAGEMENT (CONSERVATION ADVISORY COUNCIL)

465 CO2 274, MU1 242, ED1 449, MI1 195

Natural resource inventory

and listing of open areas and wetlands, including official copy of final inventory or report, final maps, surveys, photographs and background materials and supporting documentation:

RETENTION: PERMANENT

466 CO2 275, MU1 243, MI1 196

Environmental quality review records

a Environmental impact statements and related reports:
RETENTION: PERMANENT

b Background materials and supporting documentation used in preparing statements and reports:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. In the case of environmental impact statements prepared for major projects, supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

467 CO2 276, MU1 244, ED1 450, MI1 197

Environmental protection and natural resources management plan

a Final plan and report:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

468 CO2 841, MU1 717, MI1 714

Fish stocking and other fishery records for lakes and streams

a Fishery surveys, including detailed collection records:
RETENTION: PERMANENT

b Records of fish stocking:
RETENTION: 40 years

c Other fishery records, including notes and routine correspondence:
RETENTION: 0 after no longer needed

469 CO2 842, MU1 718, ED1 451, MI1 715

Lake, river, stream or watershed study files

a Final and interim reports and studies, maps, photographs, significant correspondence and essential data collected as part of study:
RETENTION: PERMANENT

b Notes, drafts, routine correspondence and non-essential data:
RETENTION: 0 after no longer needed

470 CO2 240, MU1 887, MI1 716

Flood control and beach erosion records

a Flood insurance maps, including all updates:
RETENTION: PERMANENT

b Other records, such as shoreline and flood hazard boundary maps, flood insurance surveys, and storm damage reports, and including records provided local officials by the State Department of Environmental Conservation, but excluding flood insurance maps:
RETENTION: 0 after superseded or obsolete
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. These records may be valuable for areas in the state where beach erosion and flood control have a major impact. Contact the State Archives for additional advice in this area.

EXECUTIVE

♦ **471** CO2 217, MU1 581, ED1 33, MI1 198

Executive, Supervisor, Mayor, Superintendent, Administrator, Manager, County Sheriff, or Police Chief's office files,

including but not limited to correspondence, memoranda, calendars and schedules, reports, studies, publicity items, contracts, and other legal documents

NOTE: Executives are the chief executive officer of local governments, including but not limited to city or village mayors, town supervisors, county executives, superintendents, managers, or administrators.

a Where file documents a significant subject, or major policy-making or program-development process:

RETENTION: PERMANENT

b Where file documents routine activity:

RETENTION: 6 years

FISCAL

♦ **NOTE:** Chapter 13 of the State Finance Law, known as the "False Claims Act," allows a local government to bring a civil action to recover financial losses from a fraudulent claim. This statute may require that certain records covered by items in the Fiscal and other sections be retained longer than their stated legal minimum retention periods, in some cases up to 10 years. In instances involving potential actions under the "False Claims Act," local government officials may wish to consult with their attorney to verify whether any specific records warrant longer retention.

Audit

472 CO2 293, MU1 260, ED1 310, MI1 214
Report of audit of financial affairs

a Audit filed pursuant to Section 35, General Municipal Law, conducted by New York State Comptroller's Office or by New York City Comptroller or by an outside auditing firm:
RETENTION: PERMANENT

b Other external audits:
RETENTION: 6 years

c Internal audits, conducted by local government officials:
RETENTION: 6 years

473 CO2 294, MU1 261, ED1 311, MI1 215
Audit background documentation,
including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:
RETENTION: 6 years

474 CO2 295, MU1 262, ED1 312, MI1 216
Audit hearing or review file:
RETENTION: 6 years after audit accepted

Banking and Investment

475 CO2 296, MU1 263, ED1 109, MI1 217
Banking communications,
including but not limited to bank statement, reconciliation, notification of voiding or

return of check, cancellation of payment, or other notice for checking or savings account:

RETENTION: 6 years

♦ **476** CO2 297, MU1 264, ED1 110, MI1 218
Canceled check or stop payment notices,
including payroll check or other instrument of payment, or order to fiscal officer to pay when used as a negotiable instrument, including voided check or instances of lost or stolen checks, and misdirected financial institution transactions:

RETENTION: 6 years
NOTE: It is recommended that a list of destroyed unused checks be created and maintained for legal or audit purposes.

♦ **477**
Original check, money order, or similar instrument of payment
received and kept by local government, scanned and deposited to bank account, or retained by the local government for any other reason:

RETENTION: 60 days after deposit and verification of account information or no longer needed for any purpose

NOTE: It is recommended that the process of receipt of payment and subsequent deposit as a part of the standard course of business be documented and maintained for legal or audit purposes.

478 CO2 298, MU1 265, ED1 111, MI1 219
Copy of check or check stub:

RETENTION: 6 years

479 CO2 299, MU1 266, ED1 112, MI1 220
Depository agreement,
including designation of depository, bond or surety, or other record relating to deposition of local government funds:

RETENTION: 6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded

480 CO2 300, MU1 267, ED1 113, MI1 221
Deposit book for checking account:

RETENTION: 6 years after date of most recent entry

481 CO2 301, MU1 268, ED1 114, MI1 222
Deposit book for savings account:

RETENTION: 6 years after cancellation

482 CO2 302, MU1 269, ED1 115, MI1 223
Deposit slip:

RETENTION: 6 years

483 CO2 306, MU1 273, ED1 119, MI1 227
Master summary record of bonds, notes, or securities
purchased by the government for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:

RETENTION: PERMANENT

484 CO2 307, MU1 274, ED1 120, MI1 228
Periodic reports and similar records
of yield received from or status of bonds, notes, securities or other obligations purchased for investment:

RETENTION: 6 years after bond issue retired

Bonds and Notes

NOTE: The following record series provide disposition authority for records related to the issuance of bonds, notes or obligations. However, the actual bonds, notes or obligations are not covered by these items. Instead, bonds, notes or obligations may only be destroyed pursuant to Section 63.10 of the Local Finance Law. Questions should be addressed to the Office of the State Comptroller, Division of Legal Services, 110 State Street, Albany, NY 12236; phone: (518) 474-5586.

485 CO2 303, MU1 270, ED1 116, MI1 224
Bond issue preparation file,
covering bonds issued by local governments

a Master summary record of bonds issued:
RETENTION: PERMANENT

b Other records, including those relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel:

RETENTION: 6 years after bond issue retired

486 CO2 304, MU1 271, ED1 117, MI1 225
Bond or note issue and cancellation register,
including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:

RETENTION: 6 years after cancellation of last bond or note

487 CO2 305, MU1 272, ED1 118, MI1 226
Debt-contracting power statement
filed with Office of the State Comptroller before sale of bonds:

RETENTION: 6 years after bond issue retired

488 CO2 843, MU1 719, ED1 452, MI1 717
Records relating to exclusion of self-liquidating indebtedness
by a local government, including copy of application filed with Office of State Comptroller, notice and proof of publication, and State Comptroller's written certificate:

RETENTION: 6 years after date of certificate

Budget

489 CO2 45, MU1 51, ED1 55, MI1 46
Budget preparation file
for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records:

RETENTION: 6 years

490 CO2 48, MU1 54, ED1 58, MI1 49
Annual budget

a Official copy when not included in minutes:
RETENTION: PERMANENT

b When budget is included in minutes:
RETENTION: 0 after officially recorded in minutes

c Reporting office copy:
RETENTION: 0 after no longer needed

d Copy of town, city or other budget used in determining tax levy:
RETENTION: 6 years

491 CO2 49, MU1 55, ED1 59, MI1 50
Special budget
filed with state or federal agency:

RETENTION: PERMANENT

492 CO2 50, MU1 56, ED1 60, MI1 51
Budget status report
on allocation, receipts, expenditures, encumbrances, and unencumbered funds

a Cumulative report:
RETENTION: 6 years

b Monthly or quarterly report:
RETENTION: 1 year

493 CO2 51, MU1 57, ED1 61, MI1 52
Budgetary change request,

(if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:

RETENTION: 6 years

494 CO2 845, MU1 720, ED1 453, MI1 718
Copies of municipal, special district or other budgets,
received and maintained for informational purposes:

RETENTION: 0 after no longer needed

♦ **1170**
School budget notice (official copy)
mailed to qualified voters and other residents, notifying them of budget to be voted on at annual or special election:

RETENTION: 6 years

Claims and Warrants

495 CO2 308, MU1 275, ED1 121, MI1 229
Claim for payment
(approved or disallowed), including claim, vendor's voucher and bill:

RETENTION: 6 years

496 CO2 310, MU1 277, ED1 123, MI1 231
State or federal-state reimbursement claim file (federal revenue sharing),
including but not limited to annual state aid consolidated funding application, summary and detail of claim, worksheets and other supporting documents:

RETENTION: 6 years

497 CO2 311, MU1 278, ED1 124, MI1 232
Summary record of outstanding or paid warrants or claims:

RETENTION: 6 years

498 CO2 312, MU1 279, ED1 125, MI1 233
Notice of claim record and index
as required by Section 50-f of the General Municipal Law:

RETENTION: 6 years after final disposition of claim

♦ **499** CO2 313, MU1 280, ED1 126, MI1 234
Order or warrant to pay monies:

RETENTION: 6 years

500 CO2 314, MU1 281, ED1 127, MI1 235

Outstanding warrants listing,
including adding machines tapes:

RETENTION: 6 years

501 CO2 846, MU1 888, ED1 128, MI1 236
Assignment of claim:

RETENTION: 6 years after satisfaction or 10 years, whichever is less

General Accounting and Miscellaneous

502 CO2 277, MU1 245, ED1 95, MI1 199
General ledger
showing summary receipts and disbursements from all funds and accounts:

RETENTION: 6 years after last entry
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. General ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government. General ledger of municipal electric or gas utility is covered by item no. 383 in the Electric and Gas Utility section.

503 CO2 278, MU1 246, ED1 96, MI1 200
Subsidiary ledger
providing details of the general ledger accounts:

RETENTION: 6 years after last entry
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Subsidiary ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government, if this detailed information is not contained in general ledgers.

504 CO2 279, MU1 247, ED1 97, MI1 201
Journal
recording chronological entries of all fiscal transactions:

RETENTION: 6 years after last entry
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Journals containing detailed entries that include information on payor, payee and purpose may be valuable in documenting financial transactions involving a local government. Journal voucher of a municipal electric or gas utility is covered by item no. 383 in the Electric and Gas Utility section.

505 CO2 280, MU1 248, ED1 98, MI1 202

Accounting register,
including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims:

RETENTION: 6 years after last entry

506 CO2 281, MU1 249, ED1 99, MI1 203
Cash transaction record
showing cash received from collection of various fees and petty cash disbursed:
NOT COVERED: Record of cash transactions of municipal electric or gas utility is covered by item no. 384 in the Electric and Gas Utility section.

RETENTION: 6 years

507 CO2 282, MU1 250, MI1 204
Tolls or fares collection record,
including but not limited to record of receipts and log of operations:

RETENTION: 6 years

508 CO2 283, MU1 251, ED1 100, MI1 205
Daily cash record,
including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:

RETENTION: 6 years

♦ **509** CO2 284, MU1 252, ED1 101, MI1 206
Notice of encumbrance
indicating funds encumbered and amount remaining unencumbered:

RETENTION: 6 years

♦ **510** CO2 285, MU1 253, ED1 102, MI1 207
Past due account fiscal records and summaries:

RETENTION: 6 years after account satisfied or otherwise closed

♦ **511**
Case file for each account containing court-controlled funds held by the fiscal office,
including but not limited to court order establishing account, investment records, and record of dispersal of funds upon account being closed:

RETENTION: 6 years after account closed

512 CO2 286, MU1 254, ED1 103, MI1 208
Intermediary fiscal record of receipts and disbursements,
including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes:

RETENTION: 6 years

♦♦ **513** CO2 287,605 MU1 255, 567 ED1 104, 265 MI1 209, 504

List or abstract of receipts, disbursements, claims, purchase orders, or contracts:

RETENTION: 6 years

514 CO2 288, MU1 256, ED1 105, MI1 210

Billing records covering services provided by local government,
including utilities

a Customer's individual account, including automatic payment authorization and other ACH records:
RETENTION: 6 years after last entry

b Records used to determine billing and charges including "flat rate" computation record and copies of bills and charge slips:
RETENTION: 6 years

c Billing address records:
RETENTION: 0 after superseded or obsolete

515 CO2 289, MU1 257, ED1 106, MI1 211

Bill of sale
of property owned by local government other than real property:

RETENTION: 6 years

♦ **516** CO2 290, MU1 258, ED1 107, MI1 212

Sales or occupancy tax records,
covering taxes collected by local governments:

RETENTION: 6 years

517 CO2 291, MU1 259, ED1 108, MI1 213

Tax exemption records,
showing that local government is exempt from paying sales, use or other taxes:

RETENTION: 1 year after superseded or obsolete

518 CO2 847, MU1 721, ED1 324, MI1 719

Payment recoupment records,
documenting the process of recovering monies paid erroneously by local government to employee, vendor or other payee:

RETENTION: 6 years after date of most recent entry in record

519 CO2 315, MU1 282, ED1 129, MI1 237

Receipt (received) or copy of receipt (issued)
other than for payment of taxes:

RETENTION: 6 years

520 CO2 848, MU1 722, ED1 454, MI1 720

Grant, award or gift files,
covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals

NOTE: Records of grants received by local governments are covered by item no. 55 in the General Administration section.

a Master summary record or index of grants, awards or gifts used to track awarding, progress, or payments:

RETENTION: PERMANENT

b Detailed records of grants, awards and gifts (awarded or not), excluding master summary record:

RETENTION: 6 years

521 CO2 849, MU1 723, ED1 455, MI1 721

Credit card records

documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:

RETENTION: 6 years

522 CO2 292,

Estate settlement fiscal records,

including but not limited to records of receipt of estate or transfer tax, copies of Surrogate's decrees and Surrogate's orders fixing tax, transmittals between Surrogate Court and county financial officer and estate appraisal records

a Copy of receipt issued for payment of estate or transfer tax, providing receipt of tax payment is recorded in accounting of estate:

RETENTION: 6 years

b All other estate settlement fiscal records:

RETENTION: PERMANENT

♦ 523

Employee reimbursement records,

where local government pays for or reimburses employee for college tuition or job-related training expenses:

RETENTION: 6 years after payment or reimbursement is made to employee

♦ 1171

Records of universal telecommunications and information services (E-rate) program for schools and libraries

a Records related to the application for, receipt, and delivery of supported services, or which demonstrate compliance with statutory or regulatory requirements, including pre-bidding, bidding, contracts, application process, invoices, and FCC certification forms and program integrity assurance review documentation:

RETENTION: 10 years after the last day of the applicable funding year or the service delivery deadline for the funding request, whichever is later

b Asset and inventory records of equipment purchased sufficient to verify the actual location of such equipment:

RETENTION: 10 years after purchase

♦ **1172**
Student financial aid records
including but not limited to applications for assistance, financial aid disbursement records, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income and other tax-related records, and veteran's service information:

RETENTION: 6 years

Payroll

♦ **NOTE:** The copy of payroll, or payroll report, submitted to civil service office for certification or approval, is covered by item no. 685 in the Personnel/Civil Service section, Civil Service subsection. Employee benefit records, including declination statements for insurance plans and retirement systems, are covered by item no. 645 in the Personnel/Civil Service section, Personnel subsection.

NOTE: The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for salary verification for retirement and social security purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary payroll information.

524 CO2 372, MU1 345, ED1 179, MI1 291
Payroll,
including information on gross and net pay, base pay, taxes, and other deductions

a Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:
RETENTION: 55 years

b Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when no year-end payroll is maintained or year-end payroll does not contain this required detailed information:
RETENTION: 55 years

c Periodic payroll, not including detailed information necessary for salary verification for retirement and social security purposes:
RETENTION: 6 years

d Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself:
RETENTION: 6 years

e Preliminary draft of payroll:
RETENTION: 0 after warrant authorizing payment of salaries is signed

f County's information copy of municipal, school, fire or special district payroll:
RETENTION: 0 after no longer needed

525 CO2 373, MU1 346, ED1 180, MI1 292
Payroll, contributions, or related report
covering all employees or an individual employee, and not covered by specific item in this section
NOTE: Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.

a When needed for audit or other fiscal purposes:
RETENTION: 6 years

b When not needed for audit or other fiscal purposes:
RETENTION: 0 after no longer needed

526 CO2 374, MU1 347, ED1 181, MI1 293
Payroll distribution breakdown record
used to distribute or classify labor costs:

RETENTION: 6 years
NOTE: Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.

527 CO2 375, MU1 348, ED1 182, MI1 294
Summary record of employee's payroll changes:

RETENTION: 6 years after termination of employment

528 CO2 376, MU1 349, ED1 183, MI1 295
Employee's time records:

RETENTION: 6 years

529 CO2 377, MU1 350, ED1 184, MI1 296
Record of employee absences or accruals
NOTE: This item does not apply to an employee's time cards or sheets.

a When not posted to periodic cumulative time summary record:
RETENTION: 6 years

b When posted to periodic cumulative time summary record:
RETENTION: 1 year

530 CO2 378, MU1 351, ED1 185, MI1 297
Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime:

RETENTION: 6 years

♦ **531** CO2 379, MU1 352, ED1 186, MI1 298
Record of assignments, attachments, and garnishments of employee's salary,
including pension loan paybacks and time buybacks

a When employment was terminated prior to satisfaction:
RETENTION: 6 years after termination of employment

b When satisfied, cancelled, or withdrawn:
RETENTION: 5 years after satisfaction or withdrawal

♦ **532** CO2 380, MU1 353, ED1 187, MI1 299
Employee's voluntary payroll deduction request form,
including but not limited to deferred compensation or health saving account requests:
RETENTION: 5 years after authorization expires

533 CO2 381, MU1 354, ED1 188, MI1 300
Schedule or other notification from issuing bank
showing savings bond purchased for employee:
RETENTION: 5 years after latest bond issue

534 CO2 382, MU1 355, ED1 189, MI1 301
Employee's personal earnings record
used to prove end-of-year total earnings, retirement or other deductions and taxes withheld:
RETENTION: 6 years
NOTE: Local governments may need to retain these records longer for social security or retirement documentation purposes.

535 CO2 383, MU1 356, ED1 190, MI1 302
Employee's declaration of intention to accept or reject Social Security:
RETENTION: 10 years after employee dies or reaches age 75, whichever is shorter

536 CO2 384, MU1 357, ED1 191, MI1 303
Quarterly or other periodic report of wages paid
prepared for Social Security, and report of any adjustments or corrections:
RETENTION: 6 years after year in which wages were reported

537 CO2 385, MU1 358, ED1 192, MI1 304
Copy of federal determination of error in wage reports
(Form OAR-S30 or equivalent record):
RETENTION: 6 years after determination received

♦ **538** CO2 386, MU1 359, ED1 193, MI1 305
Payroll report
submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, State Teachers Retirement System, or any other official pension system:
RETENTION: 6 years
NOTE: Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.

♦ **539** CO2 387, MU1 360, ED1 194, MI1 306

Employer's copy of federal tax returns,
including annual and quarterly returns, continuation sheets, notices of tax return due, or equivalent forms:

RETENTION: 4 years after tax paid

♦ **540** CO2 388, MU1 361, ED1 195, MI1 307

Employer's copy of U.S. Internal Revenue Service tax forms,
including but not limited to U.S. Information Returns, Withholding Tax Statement (Form W-2), Transmittal of Wages and Tax Statements (Form W-3), Request for Taxpayer Identification Number (TIN) and Certification (Form W-9), or equivalent forms:

RETENTION: 5 years

♦ **541** CO2 389, MU1 362, ED1 196, MI1 308

Employee's Withholding Exemption Certificate (Form W-4),
or equivalent form:

RETENTION: 4 years after a superseding certificate is filed or employment is terminated

♦ **542** CO2 390, MU1 363, ED1 197, MI1 309

Employer's copy of New York State income tax records
relating to employees:

RETENTION: 4 years after tax was paid

♦ **543**

Accounting and financial reporting for post-employment benefits other than pensions (OPEB)

a Final reports:

RETENTION: 6 years

NOTE: Local governments may wish to retain these records longer for retirement documentation purposes.

b All other records, including drafts and working papers:

RETENTION: 6 years

544 CO2 850, MU1 724, ED1 342, MI1 722

Direct deposit records,
covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:

NOT COVERED: Routine payroll logs or reports showing pay to employees, including direct deposit payments, are covered by item no. 524.

RETENTION: 5 years after authorization expires

Purchasing

546 CO2 598, MU1 559, ED1 257, MI1 496
Purchase order, purchase requisition,
or similar record, used to obtain materials, supplies, or services:

RETENTION: 6 years

♦ **547** CO2 599, MU1 561, ED1 259, MI1 498
Purchasing file,
including but not limited to bid (successful, unsuccessful), contract, specifications, requests for proposals, vouchers, bills, and related records, for purchase of materials, equipment, supplies and services not connected with capital construction:

RETENTION: 6 years after completion of purchase or 6 years after final payment under contract, whichever is later

NOTE: For capital construction, see item no. 806 in the Public Property and Equipment section and item no. 1070 in the Transportation and Engineering section.

548 CO2 600, MU1 562, ED1 260, MI1 499
Vendor file,
including but not limited to list of vendors doing business with the local government, vendor evaluation forms, price lists or other information received from vendors:

RETENTION: 0 after obsolete

549 CO2 601, MU1 563, ED1 261, MI1 500
Performance guarantee
or written warranty for products or similar record:

RETENTION: 6 years after expiration

550 CO2 602, MU1 564, ED1 262, MI1 501
Invoice,
packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:

RETENTION: 6 years

551 CO2 603, MU1 565, ED1 263, MI1 502
Invoice register,
or similar record used to list invoices:

RETENTION: 6 years after last entry

552 CO2 606, MU1 568, ED1 266, MI1 505
Standing order file,
used for purchase of materials and supplies which are received on a regular basis:

RETENTION: 6 years

553 CO2 852, MU1 726, ED1 456, MI1 724

Chargeback records,
showing specific fund to be charged for in-house expenditure:

RETENTION: 6 years

554 CO2 1054, ED1 502, MI1 905
Canceled bids file,
including purchase requisitions, vendor solicitations, requests for proposals (RFPs), requests for quotes (RFQs), requests for information (RFIs), requests for comments (RFCs), price quotations and related records concerning bids for goods or services which were canceled without a purchase being completed:

RETENTION: 1 year after subsequent procurement of the same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services

Reports

555 CO2 316, MU1 283, ED1 130, MI1 238
Daily, weekly, monthly, quarterly, or other periodic fiscal reports,
including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports:

RETENTION: 6 years

556 CO2 317, MU1 284, ED1 131, MI1 239
Annual or final fiscal reports

a When report is not included in minutes:
RETENTION: PERMANENT

b When report is included in minutes:
RETENTION: 0 after officially recorded

557 CO2 318, MU1 285, ED1 132, MI1 240
Fiscal reports from state agencies:

RETENTION: 6 years

558 CO2 319, MU1 286, MI1 241
Fiscal report
on management of court funds and of securities or depositories in which court funds are invested or deposited:

RETENTION: 6 years
NOTE: Municipalities must submit to the Office of the State Comptroller reports on moneys paid to a court of record pursuant to Section 70.12, 2NYCCR.

559 CO2 320, MU1 287, ED1 133, MI1 242
Certificate, demand or direction to fiscal officer to pay monies:

RETENTION: 6 years

560 CO2 321, MU1 288, ED1 134, MI1 243
Verification of travel expenses,
including but not limited to certificate of accuracy and receipts:
RETENTION: 6 years

561 CO2 853,
Cash bail records,
covering cash bail deposited with county fiscal officer or sheriff

a Cash bail records, including copy of court order fixing bail, form recording information on principal involved and person posting bail, voucher, receipt and court order directing refunding or forfeiting bail or transferring bail to superior court:
RETENTION: 6 years

b Log or listing of cash bail monies received, held and/or paid out by county fiscal officer or sheriff:
RETENTION: 6 years after date of most recent entry

GAMES OF CHANCE/BINGO/LOTTERY

♦ **NOTE:** Records relating to the operation of bingo or games of chance by local governments are covered under item no. 12 in General Administration section.

562 MU1 289,

Licensing and operation file

for non-profit organization conducting bingo or games of chance

a Application for and copy of license, investigation report, correspondence and all related records, except financial reports:

RETENTION: 3 years after expiration of license or denial of application

b Financial report submitted quarterly, weekly or at the conclusion of each day's games:

RETENTION: 4 years

c Annual financial/operational report submitted to municipality:

RETENTION: 6 years

563 MU1 290,

Authority to license bingo and games of chance

delegated to local official by local governing body:

RETENTION: 0 after superseded or obsolete

564 MU1 291,

Master license register,

summarizing all information on bingo and games of chance operations in municipality:

RETENTION: 6 years after last entry

565 MU1 292,

Lottery, raffle, or other fund-raising game or event records,

except bingo or games of chance:

RETENTION: 3 years

HERITAGE AREA (URBAN CULTURAL PARK)

566 MU1 727, MI1 725

Management plan for heritage area (urban cultural park),
created pursuant to Section 35.05, Parks, Recreation and Historic Preservation Law, including description of boundaries of park area, inventory and designation of cultural resources, statement of goals and objectives, identification of types of park uses, identification of properties for potential acquisition, description of exhibits and programs to be undertaken, economic assessment of the park's cost and benefits, description of techniques for preservation of cultural resources, description of organizational structure and schedule for park planning, development and management and State-issued approval

a Final management plan:
RETENTION: PERMANENT

b Background materials and supporting documentation, including copies of "early action" grant files:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Some of the records within these files may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

567 MU1 728, MI1 726

Application for heritage area (urban cultural park) designation
submitted to State Office of Parks, Recreation and Historic Preservation, including response and related correspondence:

RETENTION: PERMANENT

568 MU1 729, MI1 727

Visitor center records

a Proposals, plans and drawings, feasibility studies and real property records:
RETENTION: PERMANENT

b Visitors registers and patron usage records:
RETENTION: 3 years

569 MU1 730, MI1 728

Walking and other tour files

a Maps, brochures, photographs and background research files:
RETENTION: 6 years after tour discontinued
NOTE: Appraise these records for historical significance prior to disposition. Some maps, brochures and photographs may have continuing value for architectural, historical or other research and should be retained permanently.

Contact the State Archives for additional advice.

b Notes, correspondence, memoranda, lists of participants and other routine records:

RETENTION: 1 year

570 MU1 731, MI1 729

Exhibit file

documenting planning, construction, and use of exhibit, including but not limited to installation photographs and slides, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements and visitor surveys

a Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:

RETENTION: PERMANENT

b All other records:

RETENTION: 6 years after exhibit closed

NOTE: Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

571 MU1 732, MI1 730

Special event file,

including but not limited to official copy of any program or promotional literature, or significant photographs of events, and background materials and supporting documentation:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Some of the records these files may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

HISTORIAN

572 CO2 322, MU1 293,
Local historian's records
collected in the course of official duties pursuant to Section 57.09 of the Arts and Cultural Affairs Law

a Records that document significant aspects of the history of the community and its citizens:
RETENTION: PERMANENT

b Records that are collected and maintained for reference purposes or which do not document significant aspects of the history of the community and its citizens:
RETENTION: 0 after no longer needed
NOTE: This item includes non-government manuscript records collected by the official local government historian. Local government records collected by the historian are covered by other items on this Schedule. Published materials collected by the historian are not considered to be public records.

HUMAN RIGHTS/ECONOMIC OPPORTUNITY

♦ **573** CO2 323, MU1 294, ED1 141, MI1 244

Individual complaint or problem case file

of human rights, economic opportunity, equal employment, community relations or similar function, excluding individual case summary record

NOTE: Agencies may wish to retain records covered by parts "a" and "b" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. For records of affirmative action cases involving local government employees, see item no. 643c in the Personnel/Civil Service section, Personnel subsection.

a For case handled at local level (includes cases referred to New York State Division of Human Rights but returned to local agency for adjudication):

RETENTION: 3 years after last entry

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases handled at the local level. Contact the State Archives for additional advice in this area.

b For case referred to New York State Division of Human Rights:

RETENTION: 2 years after last entry

574 CO2 324, MU1 295, ED1 142, MI1 245

Summary record for individual case and/or master summary record of all cases:

RETENTION: PERMANENT

♦♦**575** CO2 854, MU1 733, ED1 331, MI1 731

Periodic statistical or narrative activity or progress reports

on human rights or economic opportunity office activities:

RETENTION: 3 years

NOTE: Appraise these records for historical significance prior to disposition. Periodic reports containing summary information not found in annual reports may have continuing value for historical or other research and should be retained permanently.

INFORMATION TECHNOLOGY

General Administration

1297 CO2 764, MU1 670, ED1 406, MI1 644
Data processing policies,
records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership:

RETENTION: 3 years after policy is withdrawn, revised, updated, or superseded

1298 CO2 762, MU1 668, ED1 404, MI1 642
Information technology subject files, correspondence, memoranda, reports, publications, and related records
used to support the administration of information technology services. This item does not include local government information technology plans, long-range or strategic plans, IT policies, records that document fiscal transactions, and any records covered by other items in this schedule:

RETENTION: 0 after superseded or obsolete

1299 CO2 763, MU1 669, ED1 405, MI1 643
Information technology and data processing services plans,
local government IT plans, 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

a Master copy of plan and essential background documentation:
RETENTION: Retain for 3 planning cycles after the plan is completed, superseded, or revised

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Some of these records may document the development and advancement of technology used by the local government. Contact the State Archives for additional advice in this area.

b Copies, drafts, and routine material:
RETENTION: 0 after no longer needed

Systems and Application Development

1300 CO2 766, MU1 672, ED1 408, MI1 646
Application development project files,

records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. This item does not cover system or application documentation (see item nos. 1301 and 1302):

RETENTION: 3 years after completion of project
NOTE: In some circumstances, local governments may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see item nos. 1301 and 1302).

1301 CO2 767, MU1 673, ED1 409, MI1 647
Information systems specifications,
user and operational documentation describing how an application system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or workflow records, system specifications, and input and output specifications. This item does not cover data documentation and other records used to explain the meaning, purpose, or origin of data (see item no. 1302):

RETENTION: 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment

1302 CO2 768, MU1 674, ED1 410, MI1 648
Data documentation,
records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements (sometimes known as metadata):

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

NOTE: In some cases, local governments will retain data for extended periods, sometimes offline. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are appraised as archival. Application design documentation and user guides covered by item no. 1301 may also serve to explain how data was interpreted and used. Contact the State Archives for additional advice in this area.

♦ **1303** CO2 769, MU1 675, ED1 411, MI1 649
Program listing/source code,
automated program code which generates the machine-language instructions used to operate an automated information system:

RETENTION: 0 after code is superseded or replaced, or after automated system is no

longer in use or has been deleted, but not before any audit or legal needs have been met

NOTE: This item coincides with item no. 1310, system backup files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice (see item no. 1310).

1304 CO2 770, MU1 676, ED1 412, MI1 650

Technical program documentation,

paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs:

RETENTION: 1 year after replacement, modification, or related programs cease to be used

NOTE: Local governments may consider retaining documentation for critical systems for a longer period. Contact the State Archives for additional advice in this area.

1305 CO2 771, MU1 677, ED1 413, MI1 651

Test database/files,

routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system:

RETENTION: 0 after no longer needed, but not before user accepts and management reviews and approves test results

Network and Technology Services

1306 CO2 772, MU1 678, ED1 414, MI1 652

Data processing operating procedures,

records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data

RETENTION: 3 years after procedure is withdrawn, revised, updated, or superseded

1307 CO2 773, MU1 679, ED1 415, MI1 653

Hardware documentation,

records documenting the use, operation, and maintenance of a local government's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems:

RETENTION: 0 after the local government no longer uses related hardware and all data is transferred to and made useable in new hardware environment

NOTE: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis, using item no. 57 in the General section.

♦ **1308** CO2 774, MU1 680, ED1 416, MI1 654

Data migration, system upgrade, and hardware conversion records,

including those relating to the operational aspects of the replacement of equipment or

the upgrading of computer operating systems, as well as the migration of data between operating systems. Records include schedules and logs, tracking and data migration tests, notes, correspondence, conversion and implementation plans, and related records generated by the operating system software, application server software, and web server software:

RETENTION: 1 year after successful migration, update or conversion

1309 CO2 775, MU1 681, ED1 417, MI1 655

Disaster preparedness and recovery plans,

records related to the protection and reestablishment of data processing services and equipment in case of a disaster, including disaster recovery manuals, business continuity plans, inventories, procedure plans, contact lists, and other records:

RETENTION: 0 after superseded by revised plan

NOTE: The State Archives recommends that local governments store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

♦ **1310** CO2 776, MU1 682, ED1 418, MI1 656

System backup files,

copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction

NOTE: Backup cycles may vary from daily to weekly or other time periods. Backups used to document transactions or retained for purposes other than system security are covered by the relevant sections of this Schedule. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from the Fiscal section of this Schedule. It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.

a. Full backup files:
   RETENTION: 0 after 2 system backup cycles and is verified as successful or when no longer needed for system restoration, whichever is later
b. Incremental backup files:
   RETENTION: 0 when superseded by a full backup or when no longer needed for system restoration, whichever is later

1311 CO2 777, MU1 683, ED1 419, MI1 657

User authorization/access records,

created to control or monitor individual access to a system, system data, the Internet, and email system, including but not limited to user account records, password files, user acknowledgements of policies, and authorization

RETENTION: 0 after the individual no longer has access to the system, but not before audit requirements for the records modified by that individual have been

NOTE: System users access records and computer usage records may also serve some security purposes.

♦ **1312** CO2 1021, MU1 862, ED1 420, MI1 879

Computer system security records,

records used to control or monitor the security of a system and its data, including but not limited to cyber-incident response and investigation records, intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs:

RETENTION: 6 years after date of last entry, or until review of logs is complete, whichever occurs first

NOTE: Appraise these records for historical significance prior to disposition. Records documenting significant security breaches, such as ransomware attacks or other large-scale emergencies, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **1313** CO2 778, MU1 684, ED1 421, MI1 658

System/network usage files,

electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, charge-back files, data entry logs, and records of individual computer program usage:

RETENTION: 0 after 2 system backup cycles

1314 CO2 779, MU1 685, ED1 422, MI1 659

Summary system/network usage reports,

summary reports and other paper records created to document computer usage for reporting or cost recovery purposes:

RETENTION: 1 fiscal year after creation

1315 CO2 780, MU1 686, ED1 423, MI1 660

Computer run scheduling records,

records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run:

RETENTION: 0 after end of current fiscal year

♦ **1316** CO2 781, MU1 687, ED1 424, MI1 661

Input/source documents,

copies of records or forms designed and used solely for data input and control:

RETENTION: 0 after all data has been entered into the system and, if required, verified

NOTE: Input records retained for fiscal audit or legal purposes, or, containing information needed by a local government, are covered by the relevant section of this schedule. Input records that document valid transactions are covered by item no. 1318. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal section of this schedule.

♦ **1317** CO2 782, MU1 688, ED1 425, MI1 662

Work/intermediate files,

records used to facilitate the 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:

RETENTION: 0 after the transaction is completed, except retain as long as principal records for which the file is created are retained when the electronic file is needed to recreate or document a transaction

♦ **1318** CO2 783, MU1 689, ED1 426, MI1 663

Processed transaction files,

records used to update and/or document a transaction in database or master file including valid transaction files, database management system (DBMS) log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes:

RETENTION: 0 after 2 database/master file backup cycles

NOTE: Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, are covered by the relevant sections of this schedule.

1319 CO2 784, MU1 690, ED1 427, MI1 664

Print files

(not used to document a transaction), source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions:

RETENTION: 0 after all print runs are completed, output verified (if required), and local government has no need to reproduce the report

NOTE: Print files needed for fiscal audits or retained to document transactions are covered by the relevant sections of this schedule.

♦ **1320** CO2 785, MU1 691, ED1 428, MI1 665

Audit trail files,

data generated during the creation of a master file or database used to validate a master file or database during a processing cycle:

RETENTION: 0 after 2 database/master file backup cycles

1321 CO2 786, MU1 692, ED1 429, MI1 666

Information technology unit's copies of output reports,

data processing unit's copy of output reports produced for client program units:

RETENTION: 0 after output is distributed

1322 CO2 787, MU1 693, ED1 430, MI1 667

Summary or extracted data files,

summary or aggregate data from a master file or database, including "snapshots" of data, created solely to distribute data to individuals or program units for reference and use,

but not altered or augmented to support program-specific needs:

RETENTION: 0 after data is distributed
NOTE: Appraise these records for historical significance prior to disposition. Some snapshots of data, created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats, may warrant longer retention. Contact the State Archives for additional advice on the creation and maintenance of these records.

1323 CO2 788, MU1 694, ED1 431, MI1 668
Finding aids (indexes) or tracking systems,
electronic indexes, lists, registers, and other finding aids used only to provide access to the hard copy and electronic records in the custody of the information technology unit:

RETENTION: 0 after the related hard copy or electronic records have been destroyed
NOTE: Finding aids and tracking systems of program units other than data processing units are covered by the relevant sections of this schedule and are frequently covered by the same item covering related program records.

1324 CO2 789, MU1 695, ED1 432, MI1 669
Automated tape library system files,
automated records used to control the location, maintenance, and disposition of magnetic media in a tape library:

RETENTION: 0 after related records or media are destroyed or withdrawn from the tape library

1325 CO2 790, MU1 696, ED1 433, MI1 670
Reports on the destruction of files ("scratch reports"),
records containing information on the destruction of files stored on electronic media in a tape library:

RETENTION: 0 after superseded or (if required) management review and approval

1326 CO2 791, MU1 697, ED1 434, MI1 671
Tape library control records,
records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs:

RETENTION: 0 after superseded or related media are destroyed or withdrawn from the tape library

1327 CO2 797, MU1 703, ED1 441, MI1 677
Network site/equipment support files,
records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda

a Site visit reports, trouble reports, and related correspondence:
RETENTION: 3 years after creation

b Service histories and other summary records:

RETENTION: 0 after the related equipment or site is no longer in use

c Routine records that do not contain substantial information on the maintenance history or site:
RETENTION: 1 year

1328 CO2 798, MU1 704, ED1 442, MI1 678
Inventories of network circuits/connections
containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit:

RETENTION: 0 after the circuit is no longer used by the local government

1329 CO2 799, MU1 705, ED1 443, MI1 679
Network or circuit installation and service files,
copies of requests by local governments to service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams:

RETENTION: 1 year after request is filled or repairs are made

1330 CO2 800, MU1 706, ED1 444, MI1 680
Network usage files,
electronic files or automated logs created to monitor network usage including but not limited to login files and system usage files:

RETENTION: 0 after 3 system backup cycles after creation

1331 CO2 801, MU1 707, ED1 445, MI1 681
Network usage reports,
summary reports and other records created to document computer usage for reporting or other purposes:

RETENTION: 1 fiscal year after creation

1332 CO2 802, MU1 708, ED1 446, MI1 682
Network implementation project files,
local government records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams:

RETENTION: 0 after superseded

♦ **1333**
Security breach notifications
that disclose to 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 (if required), logs of notifications, and related records:

RETENTION: 6 years after notification

Data Administration

1334 CO2 792, MU1 698, ED1 435, MI1 672
Data/database dictionary records,
usually in an automated system, used to manage data in a local government's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use,

RETENTION: 0 after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure

1335 CO2 793, MU1 699, ED1 436, MI1 673
Data/database dictionary reports,
periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for

RETENTION: 0 after superseded or obsolete
NOTE: The official copy of essential data documentation is covered by either item no. 1302 or no. 1334.

1336 ED1 437,
Regional information center data,
received from school districts and other BOCES, processed and forwarded to State Education Department (SED), and related records

a Actual data, both as received and as processed:
RETENTION: 0 after no longer needed
NOTE: For schools or districts placed "under corrective action" or "under registration review" by SED, this data may need to be retained until these designations are canceled by SED and no longer apply.

b Background and supplemental information on data processing for school districts and other BOCES, including but not limited to data correction and verification records and correspondence:
RETENTION: 6 years

Information Technology Support

1337 CO2 794, MU1 700, ED1 438, MI1 674
Site/equipment support files,
records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda

a Site visit reports, problem and equipment service reports, and routine correspondence and memoranda:
RETENTION: 3 years after creation

b Service histories and other summary records:
RETENTION: 0 after the related equipment is no longer in use

1338 CO2 795, MU1 701, ED1 439, MI1 675
Help desk telephone logs and reports,
records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes:

RETENTION: 1 year after creation

1339 CO2 796, MU1 702, ED1 440, MI1 676
Hardware and software review files,
records and reference files related to the review and recommendations for software for local government use including vendor information, manuals, software reviews, and related material:

RETENTION: 0 after obsolete

Internet Services

♦ **1340** CO2 803, MU1 709, ED1 447, MI1 683
Internet services logs,
electronic files or automated logs created to monitor access and use of local government services provided via the Internet, including, but not limited to, services provided via FTP (file transfer protocol), or website, or Telnet services:

RETENTION: 0 after 2 backup cycles, but not before relevant audit and documentation requirements have been met

♦ **1341** CO2 804, MU1 710, ED1 448, MI1 684
Employee Internet use logs,
electronic files or automated logs created to monitor and control use of the Internet by employees, including but not limited to proxy server logs:

RETENTION: 0 after 2 backup cycles, but not before any appropriate review and verification

INSURANCE

NOTE: Proof of liability insurance coverage must be retained longer for solid waste management facilities. See item no. 457 in the Environmental Health section.

576 CO2 325, MU1 296, ED1 150, MI1 246

Insurance (including self-insurance) case records, except

workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation:

RETENTION: 6 years after claim closed, but not until any minor reaches age 21, whichever is later

NOTE: The local government may wish to retain the records longer for convenience of reference. Proof of liability insurance coverage must be retained longer to cover claims relating to exposure to asbestos and other toxic substances. For insurance claims relating to exposure to asbestos and other toxic substances and maintained as part of an employer's medical program. Consult your counsel or attorney to ensure that insurance policies and other appropriate documentation are retained as long as needed.

♦ **577** CO2 326, MU1 297, ED1 151, MI1 247

Workers' compensation case records (including Volunteer Firefighters Benefit Law)

a If claim allowed:
RETENTION: 18 years after injury or illness, but not less than 8 years after last payment

b If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice:
RETENTION: 7 years after injury or illness except the employee injury record must be retained for 18 years after date of accident or injury
NOTE: The employee injury record must be retained for 18 years after date of accident or injury, as required by Section 110, Workers' Compensation Law, even for disallowed claims. See item no. 660 in the Personnel/Civil Service Section.

c Financial records, including checks or payment confirmation notices:
RETENTION: 6 years after payment

578 CO2 327, MU1 298, ED1 152, MI1 248

Master summary record

(log or register), of all (including workers' compensation) claims:

RETENTION: 0 after all claims and/or cases listed in master summary record have been disposed of

♦ **579** CO2 328, MU1 299, ED1 153, MI1 249

Insurance policy,
including but not limited to those covering fire, theft, property damage, personal injury liability, general liability, automobile, cyber liability, insurance of life or property, when no outstanding claims are involved:

RETENTION: 6 years after expiration

580 CO2 330, MU1 300, ED1 154, MI1 250
Workers' compensation and employer's liability insurance policy,
when no outstanding claims are involved:

RETENTION: 18 years after expiration

581 CO2 331, MU1 301, ED1 155, MI1 251
Title insurance policy,
when no outstanding claims are involved:

RETENTION: 20 years after expiration

582 CO2 329, MU1 302, ED1 156, MI1 252
Waiver of liability or certificate of insurance
certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when no outstanding claim is involved, except a certificate of insurance certifying as to a security bond or undertaking:

RETENTION: 6 years after expiration
NOTE: For the exceptions mentioned above, see item no. 655 in the Personnel/Civil Service section, item no. 116 in the Building and Property Regulation section, item no. 479 in the Fiscal section, item no. 457 in the Environmental Health section and item no. 806 in the Public Property and Equipment section.

583 CO2 332, MU1 303, ED1 157, MI1 253
Insurance appraisal and/or survey:

RETENTION: 0 after superseded or obsolete

JUVENILE DETENTION FACILITY

584 CO2 333,
Certification records
documenting approval by New York State Office of Children and Family Services for local government to operate juvenile detention facility

a Original application for certification:
RETENTION: PERMANENT

b Renewal application for certification:
RETENTION: 6 years

c Certification:
RETENTION: 6 years after expiration

d Operating certificate revocation or suspension records, including but not limited to hearing proceedings and operating certificate determinations:
RETENTION: 6 years after last entry

585 CO2 334,
Facility establishment,
major alteration, and change of occupancy records, including but not limited to copies of studies, surveys, plans, specifications and approvals by, and correspondence with, New York State Office of Children and Family Services:

RETENTION: PERMANENT

586 CO2 335,
Individual case file
for youth held in juvenile detention facility, including but not limited to detention admission and release notice, educational records and medical records:

RETENTION: 0 after individual concerned reaches age 21

587 CO2 336,
Master name index
of all youths held in juvenile detention facility:

RETENTION: 0 after obsolete

588 CO2 337,
Log of daily activity
at juvenile detention facility:

RETENTION: 10 years after last entry

589 CO2 338,
Log or similar record of visits
to youths held at juvenile detention facility:

RETENTION: 6 years after last entry

590 CO2 339,
Dietary services records
for juvenile detention facility

a Dietary services studies, meal counts and related records:
RETENTION: 3 years

b Menus:
RETENTION: 1 year

LIBRARY/LIBRARY SYSTEM

591 CO2 340, MU1 304, ED1 165, MI1 254
Incorporation, chartering and registration records:

RETENTION: PERMANENT

592 CO2 341, MU1 305, ED1 158, MI1 255
Accession records:

RETENTION: 1 year after accessioning procedure becomes obsolete
NOTE: Some libraries accession manuscripts, rare books and special collections, but not their general library holdings. In these cases, the accession records need to be retained only for the kinds of materials still accessioned.

593 CO2 342, ED1 166, MI1 256
Informational copies of records prepared by and received from public library system,
including but not limited to directories, minutes, budgets and reports:

RETENTION: 0 after superseded or obsolete

594 MU1 306,
Directory of public library system
and member libraries, prepared by public library system (member library's copy):

RETENTION: 0 after superseded or obsolete

♦ **595**
Library card application records:

RETENTION: 3 years after card expires or is inactive

♦ **596** CO2 343, MU1 307, ED1 159, MI1 257
Borrowing or loaning records:

RETENTION: 0 after no longer needed

♦ **597**
Interlibrary loan records,
including requests to borrow or copy materials from other libraries, receipts for materials, copy logs, accounting records, and circulation records

a When no copies of original materials are requested:

RETENTION: 0 after no longer needed

b When copies of original materials are requested:
RETENTION: 5 years after order is completed

598 CO2 344, MU1 308, ED1 160, MI1 258
Catalog of holdings

a Manuscript or published catalog:
RETENTION: PERMANENT

b Continuously updated catalog:
RETENTION: 0 after superseded or obsolete

599 CO2 345, MU1 309, ED1 161, MI1 259
Individual title purchase requisition
which has been filled or found to be unfillable:

RETENTION: 1 year

600 CO2 346, MU1 310, ED1 162, MI1 260
Records documenting selection of books
and other library materials:

RETENTION: 0 after no longer needed

601 CO2 347, MU1 311, ED1 163, MI1 261
Library material censorship and complaint records,
including evaluations by staff, patrons' complaints and record of final decision:

RETENTION: 6 years after last entry
NOTE: Appraise these records for historical significance prior to disposition. Some library censorship records deal with serious constitutional issues and may have value for future research.

602 CO2 348, MU1 312, ED1 164, MI1 262
Patron's registration
for use of rare, valuable or restricted non-circulating materials:

RETENTION: 6 years

♦ 603
Program and exhibit file
documenting planning and implementation of programs, services and exhibits sponsored or co-sponsored by the library, including but not limited to photographs, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements, correspondence, attendance sheets or registration forms, and parental consent forms:

a Parental consent records:
RETENTION: 6 years, or 3 years after child attains age 18, whichever is longer
NOTE: Photo release records are covered under item no. 68 in General Administration section.

b Attendance sheets and registration forms, when no fee is charged:
RETENTION: 0 after no longer needed

c All other records:
RETENTION: 6 years after exhibit closed or program ended
NOTE: Appraise these records for historical significance or value for collections documentation prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

LICENSES AND PERMITS

NOTE: Additional license and permit records may be found in the Environmental Health, Dog Identification and Control, Transportation and Engineering, Public Safety, and Building and Property Regulation sections. Records of licenses and permits, where the local government was not the licensing or permitting authority, are covered in the General Administration and County Clerk sections.

604 MU1 313,
Master summary record
(log or register), of license and permit application and issuance:
RETENTION: 6 years after all licenses or permits listed on records are invalid

605 CO2 358, MU1 314,
Licensing file for person to perform contracting trade
(general contracting, plumbing, electrical or similar work) in municipality

a Original application for license, including performance bond and other records:
RETENTION: 6 years after expiration or denial of license

b Renewal records, including renewal application, performance bond and other records, when a fee is charged:
RETENTION: 6 years after expiration or denial of renewal license

c Renewal records, including renewal application, performance bond and other records, when no fee is charged:
RETENTION: 1 year after expiration or denial of renewal license

♦ **606** CO2 365, MU1 315,
Business or special event license or permit issuance records,
covering home improvement, apartment rentals, vendors, peddlers, trash collectors, junk dealers, flea markets, going-out-of-business sales, yard or garage sales, posting notices, signs, entertainment and recreational events, explosives license records (predating 1971), tree-cutting, waiver of open-container law, or other local legislation, and similar permit applications

NOTE: Junk yard license records are covered under item no. 400 in the Environmental Health section.

a All records in file, excluding detailed inventories submitted for "closing out" or "defunct business" sales:
RETENTION: 3 years after expiration of license or denial of application

b Detailed inventories submitted for "closing out" or "defunct business" sales:
RETENTION: 1 year

607 MU1 316,
Trailer, mobile home or trailer park permit records,

including application, site plan, copy of permit, copies of environmental health records, fire and building inspection reports:

RETENTION: 6 years after denial of application, or expiration or renewal of license

608 MU1 317,

Special franchise files

documenting franchises granted by municipality to public utility, communications, transportation or other corporation (such as electric, telephone, cable, fiber optic, taxi, bus service, or concessions) including application, record of negotiations, franchise bonds, consumer surveys, reports and correspondence

a Special franchise files, other than renewal records:
RETENTION: 6 years after franchise expires
NOTE: Appraise these records for historical significance prior to disposition. Special franchise files for public utilities and transportation companies, for instance, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

b Renewal record in file, such as renewal application, or performance bond:
RETENTION: 6 years after record becomes invalid or obsolete

♦ **609** MU1 318,

Notice of intent to apply for alcoholic beverage license

submitted by license applicant to municipal clerk:

RETENTION: 2 years

♦ **610** CO2 165, MU1 319,

Records relating to issuance and distribution of sporting or marine licenses or permits

a Annual and monthly reports of licenses sold, monthly summary sheet showing licenses sold, detail allotment sheet and similar records:
RETENTION: 6 years

b Stub, copy or abstract of license regulated under the Regulations of the Department of Environmental Conservation and retained by municipality:
RETENTION: 2 years

c Application, stub, copy or abstract of license regulated under local laws, rules, or regulations:
RETENTION: 3 years after expiration of license or denial of application

d Certification of Military Active Service Status form:
RETENTION: 3 years

e Other records created or maintained for administrative convenience, such as lists of license holders and routine correspondence, not necessary to document fiscal transactions:
RETENTION: 0 after no longer needed

611 MU1 734,

Notification of issuance of license to purchase, own, possess, transport, use,

manufacture, sell, or dispose of explosives,

also known as "magazine certificate," issued pursuant to Section 458.9, Labor Law, and sent to municipality:

RETENTION: 0 after date of expiration

LOCAL DEVELOPMENT CORPORATION

612 MI1 263

Business/industry loan case file,
including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:

RETENTION: 6 years after denial of application or 10 years after final payment on loan

613 MI1 264

Master summary record
(log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:

RETENTION: PERMANENT

614 MI1 265

Business/industry Small Business Administration (S.B.A.) loan case file,
including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence with the S.B.A.:

RETENTION: 6 years after denial of application or 10 years after final payment on loan

615 MI1 266

Business consultation services case file,
where no loan is applied for from or through the local development corporation, but other services are provided:

RETENTION: 3 years after date of most recent entry in record

616 MI1 267

Business or other client inquiry and/or referral,
where no substantive services are performed by local development corporation:

RETENTION: 1 year

617 MI1 268

Small Business Administration (S.B.A.) certification records,
including certificate, application for certification and decertification records:

RETENTION: PERMANENT

618 MI1 269

Annual financial and narrative reports
submitted to the Small Business Administration (S.B.A.):

RETENTION: PERMANENT

619 MI1 270

Monthly or other periodic reports on loan status:

RETENTION: 1 year after superseded or obsolete

620 MI1 271

Organizational and establishment records,
including certificate of incorporation, constitution and bylaws:

RETENTION: PERMANENT

621 MI1 272

Election records,
for election of board members and/or officers

a Election results:
RETENTION: PERMANENT

b Ballots, nominations, tabulations and other election records:
RETENTION: 1 year after election

622 MI1 273

Membership records

a Lists of members:
RETENTION: PERMANENT

b Records of dues collection and receipt (if applicable):
RETENTION: 6 years

c Other membership records, including applications for membership, lists of prospective members and membership notices:
RETENTION: 0 after superseded or obsolete

623 MI1 274

Federal and state tax exemption records,
including copy of application:

RETENTION: PERMANENT

624 MI1 275

Dissolution records,
including records of distribution of assets:

RETENTION: PERMANENT

625 MI1 732

Income tax filing and charitable reporting records
of local development corporation

a Copies of federal income tax returns and related records:
RETENTION: 6 years

b Registration as a charity filed with New York State Office of Attorney General:
RETENTION: 6 years after no longer in effect

c Annual reports on the solicitation and collection of funds for charitable purposes,

filed with New York State Office of Attorney General and Department of State:
RETENTION: 6 years

MUSEUM

♦ NOTE: For building security records and video recordings maintained for security purposes, see item nos. 811 and 846 in the Public Property and Equipment section.

♦ **626** CO2 370, MU1 343, ED1 472, MI1 284

Program and exhibit file

documenting planning and implementation of programs, services and exhibits sponsored or co-sponsored by the library, including but not limited to photographs, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements, correspondence, attendance sheets or registration forms, parental consent forms, and visitor surveys

a Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:
RETENTION: PERMANENT

b Parental consent records:
RETENTION: 6 years, or 3 years after child attains age 18, whichever is longer
NOTE: Photo release records are covered under item no. 68 in General Administration section.

c Attendance sheets and registration forms, when no fee is charged:
RETENTION: 0 after no longer needed

d All other records:
RETENTION: 6 years after exhibit closed
NOTE: Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

627 CO2 371, MU1 344, ED1 473, MI1 285

Collections records

documenting acquisition, accession, deaccession, loan, conservation, and use of materials, including but not limited to accession register, loan agreement, inventory of collection and conservation treatment record

a Routine records, including but not limited to notes and internal memoranda:
RETENTION: 1 year

b All other collections records:
RETENTION: PERMANENT

♦ **1295**

Membership records

a Lists of members:
RETENTION: PERMANENT

b Records of dues collection and receipt (if applicable):
RETENTION: 6 years

c Other membership records, including applications for membership, lists of prospective members and membership notices:
RETENTION: 0 after superseded or obsolete

OFF-TRACK BETTING CORPORATION

628 MI1 286

Daily activity folders

a Betting parlor daily folder, including but not limited to daily branch settlement sheet, selling-cashing settlement sheets, worksheets, telephone betting deposit and withdrawal slips, reports of track conditions and report of scratches:

RETENTION: 90 days after release of New York State Gaming Commission's audit report, or 3 years, whichever is shorter

b Corporation headquarters daily folder, including but not limited to daily branch settlement sheets from parlors, worksheets and summary of daily activity:

RETENTION: 90 days after release of State Comptroller's audit report, or 6 years, whichever is shorter

629 MI1 287

Paid or canceled bet tickets:

RETENTION: 90 days after release of New York State Gaming Commission's audit report, or 3 years, whichever is shorter

630 MI1 288

Reports submitted to New York State Gaming Commission

a Annual report:
RETENTION: PERMANENT

b Daily, weekly, monthly or other periodic report, including reports of any variance from normal operations:

RETENTION: 3 years

631 MI1 289

Reports and other records submitted to New York State Department of Taxation and Finance

a Tax returns or tax transmittal reports:
RETENTION: 6 years

b Daily report on total handle and tax payable:
RETENTION: 3 years

c Report and transmittal notice for unclaimed winning tickets:
RETENTION: 6 years

632 MI1 290

Wagering reports and statements

created for internal administrative purposes

a Reports and statements relating to telephone betting:
RETENTION: 90 days after release of State Comptroller's audit report, or 6 years,

whichever is shorter

b Reports and statements not relating to telephone betting, including but not limited to offline ticket report, "settle report," daily activity report and daily terminal activity report:

RETENTION: 90 days after release of New York State Gaming Commission's audit report, or 3 years, whichever is shorter, but not less than 1 year after superseded of obsolete

633 MI1 740

Lottery ticket sales records,
covering sales of state lottery tickets by off-track betting corporations

a Monthly, annual or other summary records of ticket sales:
RETENTION: 6 years

b Daily and weekly cashed ticket validation records:
RETENTION: 2 years

c Cashed winning tickets:
RETENTION: 0
NOTE: The New York State Gaming Commission requests that cashed winning tickets be destroyed immediately upon validation, so that they no longer could be considered negotiable.

634 MI1 908

Report of winnings submitted to Internal Revenue Service
(Form W-2G or equivalent):

RETENTION: 5 years

♦ 635 MI1 909

Video lottery gaming records,
including related Off-Track Betting Corporation (OTB) records which are created, received or maintained by an OTB in its capacity as a video lottery gaming agent

NOTE: The New York State Gaming Commission, in Sections 5101.2 and 5109.3 of 9NYCRR, prescribes minimum retention periods for certain records of video lottery gaming agents as well as procedures that an OTB must follow to receive authorization to destroy those records. An OTB subject to Gaming Commission requirements for its video lottery operations must meet both the minimum retention periods indicated in Sections 5101.2 and 5109.3 as well as minimum retention periods established in this Schedule. Any records for which the Gaming Commission approves destruction after periods shorter than those indicated in Sections 5101.2 and 5109.3 must continue to meet the minimum retention periods established by this Schedule.

The Gaming Commission requires that video lottery gaming agents proposing to destroy records specified in Section 5101.2 must notify the Commission in writing at least 15 days prior to the scheduled destruction of any original record. The Commission may prohibit such destruction within 15 days of receiving that notice of destruction. However, Commission regulations exempt certain records from this requirement for

prior notification of planned records destruction. Consult the Commission's regulations or contact the Commission for specified information on its requirements.

This Schedule authorizes the destruction of any original records which have been duplicated on microfilm or other media, subject to requirements of Section 57.29 of Arts and Cultural Affairs Law and State Archives procedures. The destruction of such original records maintained by an OTB pertinent to video lottery gaming operations also requires written notification to the Gaming Commission as indicated above, and approval from the Commission of the microfilm or other media system used to copy and store records.

Some provisions of Section 5101.2 establish retention periods less than or equal to the periods required by items in this Schedule. Other provisions require certain records to be retained "indefinitely" without a specified retention period, Destruction of both of these categories of records requires approval of the Commission as indicated in the Notes, above. Other provisions of Section 5101.2 authorize destruction of certain records after no required minimum retention period and without prior notification to the Commission of the intended destruction. The Commission is also able to approve requests to destroy additional types of records after no Commission-required minimum retention period and without need for prior notification to the Commission of intended records destruction. However, in all of these circumstances, Schedules users must continue to meet retention requirements established by this Schedule. Schedule users should consult this Schedule for the required minimum retention periods for specific records.

The following parts indicate those records which are not otherwise covered by items in this Schedule or for which Sections 5101.2 and 5109.3 require lengthier retention periods than are required by items in this Schedule. Because some of the following parts cover broad categories of records, Schedule users should refer to the General Administration, Fiscal and other sections of this Schedule to determine if specific records within those broad categories have retention periods greater than that indicated for the part. Records with longer retention periods should be retained for additional periods as specified by the applicable Schedule items. In the event that the Commission approves a request from an OTB to reduce any of the following retention requirements, the OTB must continue to meet any minimum retention requirements for those records as specified by other items in this Schedule.

a Video lottery gaming-related records not specified in part "b", including records concerning gaming-related vendors; and any other original record not otherwise listed in Section 5101.2 or approved for destruction pursuant to its procedures:

RETENTION: 5 years

b Cage documents, documentation supporting the calculation of video lottery terminal win, and records related to tax reporting and withholding:

RETENTION: 4 years after the date of the actual filing of the gross revenue tax return for the tax year in which the record was generated

c Payroll records, marketing department records, credit unions records, copies of arrest reports, and patron gaming records:

RETENTION: 3 years

NOTE: Schedule users should note that the Fiscal section, Payroll subsection of this Schedule covers numerous types of payroll records, including many records with retention requirements greater than 3 years as well as other records with retention requirements less than 3 years. Any payroll records with retention requirements greater than 3 years should be retained for those longer periods.

d Mailroom records, advertising records, video gaming department daily activity logs, and any other records, other than those listed in Section 5101.2(b)(4), which contain information duplicative or less than that recorded on other documents listed in Section 5101.2(b)(1) through (b)(4):

RETENTION: 1 year

PERSONNEL/CIVIL SERVICE

Personnel

♦ ♦**636** CO2 391, MU1 364, ED1 199, MI1 310

Personnel records of local government employees
(includes volunteers, interns, trustees, and board members)

NOTE: The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.

a Master summary record from personnel case file, including but not limited to age, dates of employment, job titles and civil service status:

RETENTION: PERMANENT

b Personnel case file materials, except summary information record and teachers' records, and including but not limited to application for employment, resume, results of criminal background check, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence:

RETENTION: 6 years after termination of employment or appointment
NOTE: Reports of personnel changes may be included in personnel case files, in which case they are subject to the indicated minimum retention period. Other copies of these reports are maintained by other offices and are covered by item no. 688. Records relating to the employee's declaration of intention to decline membership in the retirement system are covered by item no. 645 in the Personnel section.

c Personnel case file materials for teachers, except summary information record, and including but not limited to application for employment, resume, results of criminal background check, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, observation and site visit records (as part of the annual professional performance review (APPR)), and correspondence:

RETENTION: 7 years after termination of employment
NOTE: Reports of personnel changes may be included in personnel case files, in which case they are subject to the indicated minimum retention period. Other copies of these reports are maintained by other offices and are covered by item no. 688. Employers may wish to retain records for lengthier periods (i.e., the duration of preferred eligible lists) when employees are placed on preferred eligible lists at the time of termination. These lists have a duration of seven years under Sections 2510 and 3013 of Education Law. For New York City, preferred eligible lists are established under Section 2588 of Education Law without

specified durations.

d Contract worker background check records for those working in local government facilities, including checks of criminal history backgrounds, driver's licenses, employment, and references:

RETENTION: 6 years after contract or worker is terminated, whichever is sooner

e Employment eligibility verification records (I-9 form):

RETENTION: 3 years from the date of the hire or 1 year after termination of employment, whichever is later

f Security guard application records pursuant to Section 89-g(7) of General Business Law, including copy of application for a registration card, proof of due diligence to verify the information therein contained, photograph, and training records:

RETENTION: 1 year after termination of employment

NOTE: All other security guard personnel records are covered by other subitems.

g Personnel-related records of reports of allegations of child abuse against school employees and volunteers in an "educational setting" (as defined in Section 1125, Education Law), for those reports which do not result in criminal convictions:

RETENTION: 5 years after the date of the report, or after such earlier time as may be determined by the school or district

NOTE: Personnel-related records which do result in criminal convictions are covered by part "b." For related records of child abuse and maltreatment, see item no. 27 in the General Administration section, Incidents subsection.

h Earnings (in-service) credit records, covering teachers, teacher assistants and other personnel:

RETENTION: 75 years after date of birth of employee, 55 years after earliest document in file if date of birth is not known, or 6 years after termination of employment, whichever is later

i Reasonable assurance letters, created pursuant to Section 590(10) and (11) of Labor Law, covering both professional and non-professional employees of educational institutions:

RETENTION: 6 years

637 CO2 392, MU1 365, ED1 200, MI1 311

Investigative records and disciplinary proceedings,

including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence:

RETENTION: 3 years after final decision rendered

NOTE: Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee. Affirmative action and related complaints may be covered by item no. 643c.

638 CO2 393, MU1 366, ED1 201, MI1 312

Employee's time records
covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay:

RETENTION: 6 years
NOTE: Local governments may wish to retain these records longer, perhaps up to 6 years after employee termination, if they are used for that extended period to document time accumulation or usage, disciplinary actions, or for workers' compensation claim purposes. Local governments should note, however, that other records might serve the same purposes, including item no. 636 from the Personnel/Civil Service section, item nos. 524a, 524b and 534. from the Fiscal section, Payroll subsection, and item no. 577 from the Insurance section.

♦ **639** CO2 394, MU1 367, ED1 202, MI1 313
Annual or other periodic financial or ethics disclosure statements,
filed by local government employees or officials, pursuant to Section 812.1 (a), General Municipal Law, or local law:

RETENTION: 7 years

♦ **640** CO2 395, MU1 368, ED1 203, MI1 314
Employee training history records
documenting employee continuing education, training and development, including employee identification, training received, dates of training, and related records:

RETENTION: 6 years after termination of employment, but no less than 7 years for records documenting professional development programs completed by employees in positions requiring teaching certification

NOTE: Additional records providing detailed information on training history can be destroyed when no longer needed, provided that summary records are retained for the indicated retention period. For retention requirements for specific types of employee training history records, see specific items in this Schedule. Detailed fiscal records, such as those covering payment or reimbursement for tuition or other training expenses, are covered by items in the Fiscal section. May include training records for evaluators of teachers and principals as part of the annual professional performance review (APPR).

641 CO2 396, MU1 369, ED1 204, MI1 315
Administrative organization chart and related records
showing administrative and supervisory organization:

RETENTION: 0 after superseded or obsolete
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Contact the State Archives for additional advice.

642 CO2 397, MU1 370, ED1 205, MI1 316
Identification card records,
when card is issued to local public employee:

RETENTION: 6 months after becoming invalid

♦ **643** CO2 398, MU1 371, ED1 206, MI1 317

Equal employment opportunity report and related records

a Annual, long-term or special (narrative or statistical) reports, goals and achievements:
RETENTION: PERMANENT

b Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:
RETENTION: 3 years

c Affirmative action and related complaint investigation records:
RETENTION: 4 years after date of final determination
NOTE: Agencies may wish to retain records covered by part "c" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints.

♦ ♦**644**

Family and Medical Leave Act (FMLA) compliance records,
including but not limited to employee notice of leave, dates and hours of FMLA leave, copy of employer notices, documents describing employee benefits and premium payments, and records of disputes:

RETENTION: 3 years
NOTE: Additional records required under FMLA, including basic payroll and data identifying the employee's compensation, are covered under items in the Fiscal section, Payroll subsection. Records relating to medical certifications, re-certifications or medical histories of employees or employees' family members, created for purposes of FMLA, are required to be maintained as medical records separate from personnel files and are covered under item no. 662b.

♦ ♦**645** CO2 399, 851, MU1 372, 725, ED1 207, 343, MI1 318, 723

Employee benefit records
including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)

a Initial application and any subsequent updates and related records:
RETENTION: 6 years after termination of employee's, dependent survivor's, or beneficiary's coverage, whichever is later

b Beneficiary designation or dependent enrollment records:
RETENTION: 6 years after superseded

c Claim for benefits (copy, where original is submitted directly by employee):
RETENTION: 1 year

d Insurance coverage reports, investment statements, and account balances:
RETENTION: 6 years

e Declination statement filed by employee, including copy of written notification of options provided employee by local government:

RETENTION: 6 years after separation from service

NOTE: Local governments may wish to retain these records that relate to retirement for the life of the employee. State legislation in effect between 1993 and 1996 allowed for retroactive retirement system membership, for employees who were not previously offered membership, and the possibility exists that similar legislation may be passed into law in the future. If this occurs, these declarations of non-membership may be valuable for local governments to document intentions of present or former employees.

f Health insurance buy-out program records, including approval documentation, annual proof of alternate health insurance coverage, and annual waiver forms:
RETENTION: 1 year

NOTE: Excludes original opt-out or declination application which is covered by subitem b. above and incentive payment records which are covered by item no. 647.

g Consolidated Omnibus Budget Reconciliation Act (COBRA) compliance records, including but not limited to correspondence, employee notice of qualifying event, records documenting continuation or termination of coverage, and copy of employer notices:
RETENTION: 6 years

646 CO2 400, MU1 373, ED1 208, MI1 319

Unemployment insurance records

a Claim filed by employee, when claim is approved:
RETENTION: 6 years after final payment

b Claim filed by employee, when claim is disqualified:
RETENTION: 3 years after filing

c Claim payment reports:
RETENTION: 6 years

♦ 647

Retirement incentive records documenting employees who elect for early retirement under government-offered incentive programs,

including agreements with employees for lump sum, monthly, or annual payments; records of actual payments; and related correspondence:

RETENTION: 6 years

648 CO2 401, MU1 374, ED1 209, MI1 320

Labor-management meeting records,

including minutes of meeting, agenda, reports, and correspondence

a Minutes and reports:
RETENTION: PERMANENT

b Meeting agenda, correspondence, and other records:
RETENTION: 6 years

649 CO2 402, MU1 375, ED1 210, MI1 321

Public employee contract negotiations records,
including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, PERB fact-finding report, and correspondence

a All documentation in record, except routine correspondence, routine memoranda and drafts:
RETENTION: PERMANENT

b Routine correspondence, routine memoranda and drafts:
RETENTION: 1 year

650 CO2 403, MU1 376, ED1 211, MI1 322

Job action records
documenting strikes, work stoppages, informational picketing and other job actions conducted by local government employees, including but not limited to correspondence and memoranda, press clippings, copies of notices of violation, detailed and summary records of employees' participation, and penalties levied

a All documentation in record, except detailed listings of all employees present at various events and other records lacking substantive informational value:
RETENTION: PERMANENT

b Detailed listings of all employees present at various events, and other records lacking substantive informational value:
RETENTION: 6 years

651 CO2 404, MU1 377, ED1 212, MI1 323

Public employee grievance records,
including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision, and correspondence:

RETENTION: 3 years after grievance is resolved

♦ 652

Mini-PERB application and petition records filed with Public Employment Relations Board (PERB)
for approval and of local government provisions and procedures pursuant to Section 212, Civil Service Law, including but not limited to application for approval of procedures, petition to review implementation of procedures, correspondence, memoranda, copies of local laws and public notices, and final determination by PERB:

RETENTION: PERMANENT

♦ 653

Mini-PERB case files,
including but not limited to charges, notice of conference and hearing, correspondence, briefs, transcripts, exhibits, withdrawal or stipulation of settlement requests, and final decision

a General representation case files:
RETENTION: PERMANENT

b Declaratory ruling case files:
RETENTION: PERMANENT

c Interest arbitration case files:
RETENTION: PERMANENT

d Grievance arbitration case files:
RETENTION: PERMANENT

e Unit clarification and Management/Confidential (M/C) case files:
RETENTION: 8 years after close of case and any appeals completed

f Conciliation case files:
RETENTION: 9 years after settlement of case

g Labor-Management Committee case files:
RETENTION: 6 years after discontinuance of involvement with the parties

654 CO2 406, MU1 379, ED1 214, MI1 325

Toxic substance exposure records (non-medical)

a Records of exposure or possible exposure of an employee to a toxic substance or other harmful physical agent, including background data to environmental monitoring or measuring, biological monitoring records which are designated as exposure records, material safety data sheets or chemical inventory records indicating use and identity of a toxic substance or harmful physical agent, and related records:

RETENTION: 30 years

NOTE: Environmental monitoring background data may be destroyed after 1 year provided that sampling results, methodology, a description of the analytical method used, and a summary of other background data relevant to the interpretation of results are retained for at least 30 years, as provided in 29CFR 1910.1020 (d-1) (ii-A).

b Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handle those substances:

RETENTION: 40 years after superseded or obsolete

c Material safety data sheet or fact sheet, providing detailed information on specific toxic or other substance at workplace, when not used for parts "a" or "b", above, as the list of toxic substances (as defined in 29CFR 1910, Subpart Z) in the workplace or for substances not defined in 29CFR 1910, Subpart Z as being toxic:

RETENTION: 3 years after substance no longer present at workplace

NOTE: If material safety data sheets or fact sheets are used for parts "a" or "b", above, as the list of toxic substances (as defined in 29CFR 1910, Subpart Z) in the workplace, then those sheets should be maintained for the time periods indicated by parts "a" or "b".

d Training records covering training of individual employee in handling toxic substances:

RETENTION: 3 years after separation from service

e Summary records of toxic substance training, including but not limited to minutes

of meetings and training sessions and summary descriptions of training given employees:

RETENTION: 3 years after separation from service of all employees involved

NOTE: This retention may be difficult to calculate in instances where a number of employees have attended the same training. Local officials may wish to retain these summary training records for 60 years or another period sufficient to ensure that all concerned employees have separated from service.

f Policy statements and procedures issued by local government relative to dealing with toxic substances:

RETENTION: PERMANENT

655 CO2 407, MU1 380, ED1 215, MI1 326

Personal surety bond

or undertaking of public official:

RETENTION: 20 years after coverage expires

656 CO2 408, MU1 381, ED1 216, MI1 327

Listing or roster of local government officials or employees,

including names, addresses, titles and other pertinent information:

RETENTION: PERMANENT

♦ **657** MU1 382, ED1 217, MI1 328

Oath of office or record of official signature

of public employees and officers

a Official copy:

RETENTION: PERMANENT

b Oath of any election official:

RETENTION: 1 year after election

♦ **658**

Annual occupational injuries and illness surveys,

submitted to the New York State Department of Labor under 12NYCRR, 801.41:

RETENTION: 1 year after submission to the Department of Labor

659 CO2 411, MU1 383, ED1 220, MI1 329

Log and summary of occupational injuries and illnesses,

created pursuant to 12NYCRR, 801.33 and 29CFR, 1904.33:

RETENTION: 5 years from the end of the calendar year.

NOTE: If these records are intended to also satisfy the legal requirements of Section 110, Workers' Compensation Law, and no separate records covered by item no. 660, below, are created, then these records must be retained for 18 years after date of injury or illness.

660 CO2 868, MU1 744, ED1 474, MI1 741

Employee injury record,

covering work-related accident or occupational disease, created pursuant to Section 110,

Workers' Compensation Law:

RETENTION: 18 years after date of injury or illness

♦ **661** CO2 412, MU1 384, ED1 221, MI1 330

Employee medical records concerning exposure to toxic substances or harmful physical agents

NOTE: This item does not include health insurance records, which are covered by item no. 645 or non-medical toxic substance exposure records, which are covered by item no. 654.

a First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in 29 CFR 1910.1020 (d-1) (i-B), if made onsite by a non-physician and maintained separately from the employee medical records:

RETENTION: 3 years after completion of treatment and subsequent observation

b Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked one year or longer:

RETENTION: 30 years after termination of employment

c Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked less than one year, provided copies were given to the employee upon termination of employment, pursuant to 29 CFR 1910.1020 (d-1) (i-C):

RETENTION: 3 years after termination of employment

NOTE: If copies are not given to the employee upon termination of employment, the retention specified in part "b," above, must be followed.

♦ **662** CO2 1056, MU1 384, ED1 221, MI1 910

Employee medical records not related to exposure to toxic substances or harmful physical agents

a Medical records:

RETENTION: 3 years after termination of employment

b Records and documents relating to medical certifications, re-certifications or medical histories of employees or employees' family members, created for purposes of Family and Medical Leave Act (FMLA):

RETENTION: 3 years

♦ **663**

Workplace violence prevention program records,
documenting compliance with Section 27-b of Labor Law, including employee complaints, incident reports, inspection reports, and remedial action plans:

RETENTION: 5 years
NOTE: This item excludes school districts and BOCES. Policy and procedure and training records are covered in the General Administration section.

664 CO2 180, MU1 329, ED1 169,
Notification of vacancy in office,
or filling of vacant position:
RETENTION: 0 after position filled or abolished

♦ **665** CO2 869, MU1 745, ED1 345, MI1 742
Drivers' license review records for local government officials, employees or volunteers:

RETENTION: 5 years

666 CO2 870, MU1 746, ED1 344, MI1 743
Employee attestation of knowledge of code of ethics, staff policy manual or other official policies or procedures:

RETENTION: 3 years after superseded or upon termination of employment

♦ **667**
Employee ethics records,
including memoranda to employees of ethics requirements, employee requests to receive honoraria or travel reimbursement, employee request to engage in outside activities or secondary employment, requests to exempt employees or positions from financial disclosure requirements, and related correspondence, reports and other records:

RETENTION: 7 years after end of calendar year or 7 years after records concerning or authorizing ongoing actions have no further validity, whichever is longer

668 CO2 871, MU1 747, ED1 346, MI1 744
Records documenting the specimen collection and testing process,
for commercial motor vehicle driver alcohol and drug testing

a Official copy of all policies and procedures, including documentation of the random selection process:
RETENTION: PERMANENT

b Quality control records, including calibration records for testing equipment, assuring that testing equipment is operating correctly:
RETENTION: 5 years

c Annual statistical and other reports:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

d Other records, including periodic reports and statistics and collection logbooks:
RETENTION: 2 years

669 CO2 872, MU1 748, ED1 347, MI1 745

Drivers' test results and related records

NOTE: Local governments may want to maintain these records concerning employees for an additional period or include them in the employee's personnel files, especially when they affect an employee's job status.

a Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that individual employee's or job applicant's test was conducted and specimen handled properly, records of dispute of test results by driver, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations, correspondence and related records:

RETENTION: 5 years

b Negative or canceled controlled substance test result or alcohol test result indicating a breath or blood alcohol concentration less than 0.02:

RETENTION: 1 year

c Records relating to an individual employee's or job applicant's refusal to take alcohol or substance abuse test:

RETENTION: 5 years

670 CO2 873, MU1 749, ED1 348, MI1 746

Documentation of other violations of alcohol or substance abuse rules,
including results of alcohol or substance abuse tests administered by law enforcement personnel, copies of police reports and medical records:

RETENTION: 6 years after termination of employment

671 CO2 874, MU1 750, ED1 349, MI1 747

Staff training and evaluation records
for commercial motor vehicle driver alcohol and drug testing

a Official copy of course syllabus or any local government produced training or advisory publication or videotape:

RETENTION: 6 years after superseded

b Other training records including lists of attendees, copies of instructors' course or class notes, documentation of instructors' training and proof that employees have received required reading materials:

RETENTION: 6 years

672 CO2 410,

Lifeguard certification records

a Log of certifications granted or test results:
RETENTION: 6 years

b Individual certification records:
RETENTION: 1 year after application disapproved or certification expires

673 CO2 1057, ED1 475, MI1 911

Employment Eligibility Verification Form I-9,
completed by employee and employer for all employees hired after November 6, 1986, verifying that the individual is eligible to work in the United States, including verification documents attached to the form:

RETENTION: 3 years from date of hire or 1 year after employment is terminated, whichever is later

674 CO2 1058, ED1 476, MI1 912
Employee assistance program records

a Reports and statistical compilations:
RETENTION: 6 years after date of most recent entry

b Program (including course and seminar) and literature files:
RETENTION: 1 year after program no longer offered or literature superseded or otherwise obsolete

c Employee consultation records:
RETENTION: 3 years after date of most recent entry in record

♦ 675
Requests for employment or salary verification,
for former or current employees or individuals who are not employees, received internally and externally, including copies of requests, release of information authorization records, and related documentation and correspondence:

RETENTION: 3 years

676 ED1 174,
Teacher certification records,
including copies of applications, transcripts and other records submitted to New York State Education Department:

RETENTION: 5 years
NOTE: This item covers copies of teacher certification records maintained separate from individual teachers' personnel files. Certification records for individual teachers should be retained based on item no. 636b.

677 ED1 350,
List of teachers whose teaching certificates have been revoked:

RETENTION: 1 year

678 ED1 477,
Professional development plan records,
describing how teachers will be provided with substantial professional development opportunities (may relate to annual professional performance review (APPR))

NOTE: If the professional development plan is part of the comprehensive district education (or equivalent) plan, it is covered by item no. 882a in the School District and BOCES section, Administration subsection.

a Professional development plan, including all amendments and updates:
RETENTION: PERMANENT

b Plan development and adoption records, including records of plan development team, and related records:
RETENTION: 6 years

♦ **679** ED1 478,

Annual professional performance review (APPR) plan records

a Professional performance review plan, including all amendments and updates:
RETENTION: PERMANENT

b Plan development, adoption, variance and related records:
RETENTION: 6 years

c Application and related records pertaining to hardship waiver from second observation or school visit by evaluator:
RETENTION: 6 years

♦ **680**

Staff evaluation rating verification report and related statement of confirmation as required as part of the annual professional performance review (APPR) for teachers and principals:

RETENTION: 6 years

681 ED1 479,

Teacher mentoring plan records

a District internship or equivalent plan, including all amendments and updates:
RETENTION: PERMANENT

b Plan development, adoption, variance and related records, including records of plan submission to and approval by the State Education Department:
RETENTION: 6 years

♦ **682**

Documentation of teacher mentoring program,
including but not limited to names and teacher certificate numbers of mentors and teachers served, type of mentoring activities, and the number of hours devoted to mentoring each new teacher

a Records relating to individual teachers mentored:
RETENTION: 7 years from date of completion of the mentoring activity for records documenting professional development programs completed by employees in positions requiring teaching certification

b Records of overall activities not relating to individual teachers mentored:
RETENTION: 6 years

683 ED1 218,

Substitute teacher registry records,
including records of centralized substitute teacher registries

a Registration application and qualification and availability records:
RETENTION: 6 years after individual's registration is discontinued

b Work assignment record:
RETENTION: 55 years

684 ED1 219,

Subversive activity report
submitted to Commissioner of Education, along with statements from public school system employees and related records

a Summary report submitted to Commissioner of Education:
RETENTION: PERMANENT

b Records relating to person charged with subversive activity, or membership in a subversive organization, including hearing records and record of final disposition of case:
RETENTION: PERMANENT

c Declarations by persons claiming no involvement in subversive activities or membership in subversive organizations:
RETENTION: 3 years

Civil Service

NOTE: Records in this section apply to the local government's civil service or similar oversight department or, if none exists, to the appointing department responsible for maintaining these records.

685 CO2 413, MU1 385, ED1 351, MI1 748

Copy of payroll, or payroll report,
submitted to civil service office for certification or approval:

RETENTION: 0 after superseded
NOTE: Official copy of payroll must be retained for 55 years. See item no. 524 in the Fiscal section.

686 CO2 414, MU1 386, MI1 749

Official civil service employee roster card:

RETENTION: PERMANENT

687 CO2 415, MU1 387, ED1 222, MI1 331

Established position record
showing a history of each position and names and other pertinent information about persons who occupied it

a If record contains detailed information about the position and persons who occupied it:
RETENTION: PERMANENT

b If record only provides lists of names of employees:
RETENTION: 1 year after final entry in record
NOTE: The official listing or roster of all local government officials or employees, covered by item no. 656, must be retained permanently.

688 CO2 416, MU1 388, ED1 223, MI1 332
Report of personnel change,
(including employee transfer record), except copy retained in employee's personnel records

a Copy held by office with official civil service function:
RETENTION: 0 after termination of employment, but not less than 6 years

b Copy retained by school or district or fiscal office, where official civil service copy is maintained by other local government having the official civil service function:
RETENTION: 6 years

c Employee transfer record:
RETENTION: 0 after termination of employment, but not less than 6 years
NOTE: Reports of personnel changes may also be found in employee personnel records. When filed in an employee personnel record, such copies are subject to lengthier retention requirements. See item no. 636.

689 CO2 417, MU1 389, ED1 224, MI1 333
Job classification records,
including job classification questionnaire, analysis of job duties and request for reclassification:

RETENTION: 1 year after subsequent classification action completed, but not less than 10 years

NOTE: Appraise these records for historical significance prior to disposition. Local governments with official civil service functions should consider permanent retention of these records. Contact the State Archives for additional advice.

690 CO2 418, MU1 390, ED1 225, MI1 334
Official copy of job posting and position duties statement

a When duties of position are described in detail:
RETENTION: PERMANENT

b When duties of position are not described in detail:
RETENTION: 6 years

691 CO2 419, MU1 391, ED1 226, MI1 335
Personnel requisition
made to civil service or personnel office, requesting that vacancy be filled:

RETENTION: 0 after obsolete

♦ **692** CO2 420, MU1 392, ED1 227, MI1 336
Civil service eligible list records

a Official eligible list and certification of eligible list:
RETENTION: 20 years after expiration of eligible list

b Certification of eligible list sent to and retained by appointing authority:
RETENTION: 4 years after expiration of eligible list

c Request for certification of eligible list:
RETENTION: 1 year after expiration of eligible list, but not less than 4 years

d Individual's request for reinstatement to eligible list and reply:
RETENTION: 1 year after expiration of eligible list, but not less than 4 years

e Eligible list canvass records, including but not limited to precanvass questionnaire and letter of canvass and reply:
RETENTION: 6 months after expiration of eligible list, but not less than 4 years

f Military record of applicant, when applicant was not hired:
RETENTION: 4 years after expiration of eligible list

♦ **693** CO2 421, MU1 393, ED1 228, MI1 337

Application for or inquiry concerning employment,
including resume, I-9 form, and related records, when applicant not hired

a For applicants for posted vacancies:
RETENTION: 4 years after completion of personnel action
NOTE: When the applicant is hired, the application is retained in or as long as the personnel file. See item no. 636 in the Personnel subsection.

b General employment inquiries and resumes which are not related to posted vacancies:
RETENTION: 0 after no longer needed

♦ **694** CO2 875, MU1 893, ED1 480, MI1 750

Recruitment, hiring, interview and selection records,
including but not limited to correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations and other records pertaining to the hiring, promotion, demotion, transfer, layoff and termination of employees:

RETENTION: 4 years after completion of personnel action
NOTE: This item does not cover personnel records of individual employees. See item no. 636 in the Personnel subsection. Local governments may wish to include fingerprint check records and other materials concerning job applicants who are hired in those individuals' personnel records.

♦ **695** CO2 422, MU1 394, MI1 751

Application for examination

a When eligible list is established:
RETENTION: 4 years after expiration of eligible list

b When no eligible list is established:
RETENTION: 4 years after examination date

c Supplemental documentation filed in conjunction with application, including but

not limited to student loan statement, credentials and copies of transcripts:
RETENTION: 1 year

♦ **696** CO2 423, MU1 395, ED1 229, MI1 339

Civil service examination and appointment review records

a Civil service examination and announcement (official copy held by office with official civil service function):
RETENTION: PERMANENT

b Civil service examination and announcement (other than official copy held by office with official civil service function):
RETENTION: 0 after no longer needed

c Candidate identification or admission card:
RETENTION: 4 years after date of examination

d Examination preparation, administration, and rating records:
RETENTION: 5 years after date of examination

e Veteran credit records:
RETENTION: 50 years
NOTE: Veteran credit records of individuals not hired are covered under item no. 692f.

f Qualifying medical, physical fitness or agility examination report, when person is hired, and worked one year or longer:
RETENTION: 30 years after termination of employment

g Qualifying medical, physical fitness or agility examination report, when person is hired, and worked less than one year, provided copies were given to the employee upon termination of employment, pursuant to 29 CFR 1910.1020 (d-1) (i-C):
RETENTION: 4 years after termination of employment

h Qualifying medical, physical fitness or agility examination report, when person is not hired:
RETENTION: 4 years after date of examination

i Summary listing of examination results:
RETENTION: 1 year after date of examination

j Notification of examination results mailed to candidate:
RETENTION: 4 years

k Examination review records including but not limited to employee request, correspondence, and objection:
RETENTION: 4 years after expiration of eligible list

l Appointment review records, documenting review of applicant qualifications for non-competitive, temporary or other positions not requiring examinations:
RETENTION: 5 years

♦ **697** CO2 424, MU1 396, ED1 230, MI1 338

Seniority list

ranking employees by length of service:

RETENTION: 4 years after creation

698 CO2 876, MU1 751, MI1 752
Disclosures related to student loan status,
received as part of civil service examination application, transmitted to New York State Higher Education Services Corporation, along with transmittal documents:

RETENTION: 1 year

699 CO2 877, MU1 752, MI1 753
Local government requests to State Civil Service Commission
for approval of changes to rules or jurisdictional classifications:

RETENTION: 3 years after date of last entry in record

PORT FACILITY

700 MU1 403, MI1 346

Maps, plans, specifications, drawings and photographs
of port facility:

RETENTION: 6 years after facility no longer in use

NOTE: Appraise these records for historical significance prior to disposition. Some of these records will have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

701 MU1 404, MI1 347

Master plan
and all supporting documentation for port facility:

RETENTION: PERMANENT

702 MU1 405, MI1 348

Tenant legal and reference files

a Contract negotiations, contracts, leases and significant correspondence:
RETENTION: 6 years after expiration, revocation or renewal
NOTE: Appraise these records for historical significance prior to disposition. These records may document the important roles these facilities play in the economic development of the community. In such cases, these records may have continuing value for historical or other research meriting their permanent retention. Contact State Archives for additional advice.

b Correspondence, including but not limited to complaints about tenants:
RETENTION: 6 years

c Informational materials, including but not limited to lists of tenant's employees, copies of schedules, brochures and advertising materials:
RETENTION: 0 after obsolete

PROBATION

♦ **1123** CO2 431,

Probation department case files

NOTE: Although the records have a less than permanent retention period, the State Archives urges county probation agencies to retain presentence or predisposition investigation reports, quarterly supervision reports, and termination reports permanently. These reports contain information not available elsewhere, have long-term research value, document the local government's role in the probation process, and may possess long-term legal and administrative value as well.

a Presentence or predisposition investigation reports; quarterly supervision reports, including initial supervision plan; and termination reports, except for adults and juveniles whose cases were adjusted or diverted by the courts in lieu of adjudication:

RETENTION: 10 years after case closed

b All case record material, other than presentence investigation reports or predisposition reports, quarterly supervisory reports, and termination reports:

RETENTION: 6 years after case closed

c All case record material pertaining to adults and juveniles whose cases were adjusted or diverted by the courts in lieu of adjudication or adjudicated outside of court:

RETENTION: 6 years after case closed

d Routine drug tests results, where results are found to be negative and are not filed as part of the case file:

RETENTION: 5 years

e Monitoring records for ignition interlock devices, including notification of installation or de-installation of device, emergency notification program communications/notifications, motor vehicle information, monitoring data, and correspondence:

RETENTION: 1 year or once the probation period has ended, whichever is longer

♦ **1124**

Probation client data system

containing electronic information on probationers and other clients

a Summary data on any individual contained in or produced by an automated system:

RETENTION: PERMANENT

b Detailed data on any individual contained in or produced by an automated system, regardless of duplication of information found in individual case file:

RETENTION: 10 years after case closed

NOTE: Although the data covered by part "b" has a less than permanent retention

period, the State Archives urges county probation agencies to retain information on presentence or predisposition investigations, quarterly supervision, and termination permanently. This information may not be available elsewhere, and documents the county's role in the probation process and may possess long-term legal and administrative value as well. Maintaining the data electronically may be preferable to maintaining the paper case record materials covered by item no. 1123b.

c Macros and queries (including the necessary documentation used in report and query generation) used to generate reports and other output from system data:

RETENTION: Retain as long as resulting report or other data output record

1125 CO2 432,

Master summary record

(index) containing summary information on each case:

RETENTION: PERMANENT

♦ 1126

Probation-related reports, studies or data queries, including their documentation

a Annual summary reports, including those submitted to the New York State Division of Criminal Justice Services and the county legislative body:

RETENTION: PERMANENT

b Quarterly and monthly reports submitted to New York State Division of Criminal Justice Services:

RETENTION: 3 years

c Reports, studies, or queries having legal or fiscal value, such as reports covering personnel resources, reports on socio-economic characteristics of department clients, reports on clients participating in different programs, and assignment and disposition of similar type cases:

RETENTION: 6 years

NOTE: Appraise these records for historical value prior to disposition. Reports and studies analyzing probation department programs and activity may be valuable for long-term planning, analysis of trends in criminal justice, and for historical and other research. Contact the State Archives for additional advice.

d Reports, studies or queries having no legal or fiscal value, such as daily activity, individual staff assignments, or other routine internal reports:

RETENTION: 0 after no longer needed

♦ 1127

Lists of probationers and other clients,

submitted to and received from New York State Division of Criminal Justice Services, including update and correction records:

RETENTION: 0 after superseded or obsolete

♦ 1128

Sex-offender records

maintained in addition to those found in client case file, including but not limited to surveys and information received from law enforcement agencies or the State Division of Criminal Justice Services, or downloaded off the Internet; detailed GPS tracking records; daily individual location logs; and non-official copies of offender registration records:

RETENTION: 6 years

1129 CO2 433,
Certificate of relief from disabilities
issued to probationer:

RETENTION: 1 year

1130 CO2 434,
Probation department case assignment register
and related records showing assignment of cases, establishing and reviewing work scheduling and work load:

RETENTION: 1 year after all cases listed are closed

1131 CO2 435,
Restitution and other similar financial records
covering DWI, court, supervision and other fees, including but not limited to payment change order, cash book showing receipts and disbursements of funds, ledger card or book, and records of collection attempts:

RETENTION: 6 years after last payment

1132 CO2 436,
List of persons in arrears in restitution payments:

RETENTION: 6 years after list is issued or last entry, whichever is shorter

1133 CO2 878,
Conditional release case file,
covering inmate in county correctional facility, created pursuant to Article 12, Correction Law:

RETENTION: 6 years after date of most recent entry in record

PUBLIC ACCESS TO RECORDS

♦ **NOTE:** Records relating to access and disclosure of student education records under Family Educational Rights and Privacy Act of 1974 (FERPA) are covered by items no. 209 (Community College section) and 972 (School District and BOCES: Student Records subsection). Records relating to access and disclosure of private health information under Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH) are covered by item no. 756 (Public Health section).

703 CO2 437, MU1 406, ED1 231, MI1 349
Subject matter list
of records held by local government, required under Freedom of Information Law:
RETENTION: 6 months after superseded

704 CO2 438, MU1 407, ED1 232, MI1 350
Listing of officers or employees
of local government required by Freedom of Information Law:
RETENTION: 6 months after superseded

705 CO2 439, MU1 408, ED1 233, MI1 351
Register or list
of applicants seeking access to public records:
RETENTION: 6 months

706 CO2 440, MU1 409, ED1 234, MI1 352
Freedom of Information records request file

NOTE: Requests for access to special education records, maintained pursuant to Section 300.563 of 34 CFR, are covered by item no. 946, found in the School District and BOCES section, Special Education subsection.

a Request for access to public records, when request is granted:
RETENTION: 6 months

b Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:
RETENTION: 6 months after final determination

c Certificate that record does not exist or cannot be found:
RETENTION: 6 months

♦ **707**
Freedom of Information records exemption file
for pistol license holders per the NYSAFE Act, as well as other possible exemptions, including application and copy of approval or denial notices:
RETENTION: 3 years after exemption is null and void

NOTE: Exemptions under the Family Educational Rights and Privacy Act (FERPA) are covered by item nos. 209 in the Community College section and 972 in the School District and BOCES section, Student Records subsection.

PUBLIC ADMINISTRATOR

♦ **NOTE:** Public administrators are responsible for handling the estates of decedents who have no close relatives or named executors eligible or willing to serve as the fiduciary of their estates. Public administrators serve in the City of New York, and in Erie, Monroe, Onondaga, Nassau, Suffolk, and Westchester Counties. In the counties not served by a public administrator, the public administrator's function is carried out by the Chief Fiscal Officer of each county, usually the county treasurer. Retention periods for records of New York City public administrators are established by the New York City Department of Records and Information Services (DORIS). All other public administrators should follow the retention periods in this section.

708 CO2 441,
Public administrator's case file,
including but not limited to petition to county Surrogate's Court, investigation report and correspondence:

RETENTION: 10 years after case closed

709 CO2 442,
Log of cases:

RETENTION: 10 years

710 CO2 443,
Public administrator's final case report
showing distribution of assets when account is settled:

RETENTION: PERMANENT

711 CO2 444,
Master summary record
(index) containing summary information on each case:

RETENTION: PERMANENT

PUBLIC EMPLOYMENT AND TRAINING

712 CO2 445, MU1 410, ED1 235, MI1 353
Employment and training program file
for Job Training Partnership Act, Comprehensive Employment and Training Act (C.E.T.A.), Manpower Development and Training Act, youth employment training, Work Force Investment Act, Workforce Innovation and Opportunity Act, and other job training programs

a Project application, proposal, narrative, evaluation, and annual report:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

b Background material and supporting documentation:
RETENTION: 6 years

713 CO2 446, MU1 411, ED1 236, MI1 354
Employment and training program individual participant file,
including but not limited to application, work schedule, evaluations, and notice of transition to non-grant employment:

RETENTION: 6 years after last entry

714 CO2 447, MU1 412, ED1 237, MI1 355
Denied employment and training enrollment application:

RETENTION: 3 years

PUBLIC HEALTH

General

715 CO2 448, MU1 413, MI1 356
Certification, licensing, and accreditation records
covering review and approval by state or federal agency or professional review organization, to operate facility or program, to conduct tests, or to perform specified work, including lists of permissible procedures or tests:

RETENTION: 7 years after superseded, revoked, or no longer valid

716 CO2 449, MU1 414, MI1 357
Survey, evaluation, and inspection records
covering review of facilities and programs by state or federal agency or professional review organization, including but not limited to medical care evaluation and similar studies:

RETENTION: PERMANENT

♦ **717**
Hospital credential files for physicians, physical therapists, and other medical professionals:
RETENTION: 6 years after credentials expire or are withdrawn

718 CO2 451, MU1 416, MI1 359
Appointment records,
including slips, return cards, sign-in sheets, and clinic schedules kept by facility or public health program:

RETENTION: 0 after obsolete
NOTE: Appointment records for certain patients may have legal value to supplement patient medical records in documenting services provided to these patients.

♦ **719** CO2 452, MU1 417, MI1 360
Screening and assessment records and referrals

a For persons evaluated but not treated by facility or program, other than early intervention program:

RETENTION: 3 years

b For records of the Physically Handicapped Children's Program (program pays for expenses related to approved medical conditions of children that are not covered by the family's health insurance):

RETENTION: 6 years
NOTE: New York State Department of Health has determined that the records

retained as part of Physically Handicapped Children's Program are not medical records.

720 CO2 879, MU1 753, MI1 754
Advice and referral records,
covering medical, mental health or other information provided to individuals in person or over the telephone, including but not limited to telephone logs and individual call records

a When person involved is or becomes a patient:
RETENTION: Retain as long as patient case record

b When person involved is not or does not become a patient:
RETENTION: 6 months

♦ **721**
Alcoholism, substance abuse, and tobacco use prevention program records
for youth and adults:
RETENTION: 3 years

Fiscal

NOTE: Other fiscal records covered by items on this Schedule can be found in the Fiscal section.

722 CO2 453, MU1 418, MI1 361
Annual expenditure report or budget
submitted to state or federal agency or professional review organization:
RETENTION: PERMANENT

♦ **723** CO2 454, MU1 419, MI1 362
Patient's individual financial case record and account

a Individual case record, account card, or ledger card:
RETENTION: 7 years after account closed, but not less than 9 years

b Individual charge records, posted to case record or card:
RETENTION: 7 years

c Prescription drug claims, for Medicare Part D plan sponsors:
RETENTION: 10 years after end of contract year

♦ **724** CO2 455, MU1 420, MI1 363
Medicare, Medicaid or insurance carrier claim records,
including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:
RETENTION: 10 years

725 CO2 456, MU1 421, MI1 364

Insurance and reimbursement related reports,
including Medicare/Medicaid cost report and certified uniform financial or statistical report, and all necessary supporting documentation:

RETENTION: 9 years

♦ **726**
Preschool special education claim records,
filed with the New York State Education Department for reimbursement of administrative costs related to the Children with Special Health Care Needs Program and the Physically Handicapped Children's Program:

RETENTION: 6 years

727 CO2 457, MU1 422, MI1 365
Patient personal property records,
including log or register of personal property of patients and receipts and related property records of original entry:

RETENTION: 6 years after death or discharge of patient

Facility and Patient Services

728 CO2 458, MU1 423, MI1 366
Establishment, major alteration, or change of occupancy or use records

a Records of review and approval of plans, schedule of costs, feasibility studies, plans, specifications and drawings, final report, and significant correspondence:
RETENTION: PERMANENT

b Memoranda, routine correspondence, and supplemental fiscal documentation:
RETENTION: 6 years after last entry

729 CO2 459, MU1 424, MI1 367
Facility committee records

a Minutes of medical staff committees, including but not limited to utilization review committee, joint conference committee or patient care conference:
RETENTION: PERMANENT

b Records of medical staff committees, excluding minutes, including but not limited to agenda, worksheets and notes:
RETENTION: 6 years

c Minutes and all other records of facility committee other than medical staff committees, such as dietary services committee or activities committee:
RETENTION: 6 years

730 CO2 460, MU1 425, MI1 368
Dietary services records

a Food service records, including meal counts, roster of patients' diet orders, and dietary services studies:
RETENTION: 3 years

b Menus:
RETENTION: 1 year

731 CO2 461, MU1 426, MI1 369
Patient activities records,
including information on courses and activities offered to patients:
RETENTION: 2 years

732 CO2 462, MU1 427, MI1 370
Medical information index,
including but not limited to physician's index, disease index and operative index:
RETENTION: PERMANENT

733 CO2 463, MU1 428, MI1 371
Census record of patients:
RETENTION: 6 years

734 CO2 464, MU1 429, MI1 372
Nursing services report,
including substation, shift and ward report:
RETENTION: 1 year

735 CO2 465, MU1 430, MI1 373
Hospital stay data collection records
covering data collection and review by Statewide Planning and Research Cooperative System (S.P.A.R.C.S.) and Data Protection Review Board (D.P.R.B.)

a Request for data or review of data:
RETENTION: 2 years

b Results of data processing:
RETENTION: 0 after data verified

c Data received from S.P.A.R.C.S.:
RETENTION: 0 after no longer needed for administrative purposes

736 CO2 466, MU1 431, MI1 374
Quality assurance records

a Quality assurance plan, including staff privileges review procedures:
RETENTION: PERMANENT

b Relating to quality of care provided by individual hospital staff members:
RETENTION: 10 years after termination of employment

c Relating to quality of care provided to individual patient, when not duplicated in medical case record:
RETENTION: Retain as long as medical case record

d Relating to more than one patient:
RETENTION: Retain as long as all relevant medical case records are retained

737 CO2 467, MU1 432, MI1 375
Health facility infection control and monitoring records:
RETENTION: 10 years

Patient Case Records and Related Materials

738 CO2 450, MU1 415, MI1 358
Master summary record,
master index file, or principal register giving basic data on individual patients:
RETENTION: PERMANENT

739 CO2 881, MU1 754, MI1 756
Patient data file,
providing summary and/or detailed information on patient:
RETENTION: Maintain as long as patient medical or other case record.
NOTE: Health agencies and facilities should consider permanent or long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files and may create a record which replaces or supplements the master summary record (see item no. 738). Contact the State Archives for additional advice.

740 CO2 468, MU1 433, MI1 376
Patient's leave records,
including leave book or slip, patient's request, physician's consent and record of leave taken:
RETENTION: 6 years

741 CO2 469, MU1 434, MI1 377
Utilization review records
for individual patient, excluding those contained in medical case record:
RETENTION: 6 years

742 CO2 470, MU1 435, MI1 378
Pre-admission screening records
for long-term care health facility

a When person is not admitted:
RETENTION: 0 after obsolete

b When person is admitted, and information is not duplicated in medical case record:
RETENTION: Retain as long as medical case record

♦ **743** CO2 471, MU1 436, MI1 379

Medical case record of hospital patient,

(in-patient and out-patient), excluding film, tracing, or other record of original entry when information contained is posted to or summarized in case record:

RETENTION: 7 years after death or discharge of patient, but not until 3 years after individual attains age 18

NOTE: Appraise these records for historical significance. These records may have continuing value for historical or other research, and the State Archives suggests hospitals consider permanent retention, or if not permanent, for at least 10 years after death or discharge of patient, based on American Medical Records Association guidelines. In addition, records of adoptive children may need to be retained longer for legal and medical reasons. Also, medical records of mothers may, in certain cases, need to be retained longer if needed relative to their children's health. The State Archives recommends that these factors be considered in disposing of medical case records, and that these records be evaluated for disposition on a case-by-case basis.

♦ **744** CO2 472, MU1 437, MI1 380

Medical case record of long-term care health facility patient:

RETENTION: 7 years after death or discharge of patient, but not until 3 years after individual attains age 18

♦ **745** CO2 473, MU1 438, MI1 381

Medical case record of out-patient,

including but not limited to diagnostic or treatment center patient; child health, maternity, family planning, lead poisoning, medical rehabilitation, dental health, Indian reservation health, nutrition or tuberculosis clinic patient; health related social services and home health agency patient, but excluding early intervention program:

RETENTION: 7 years after discharge or last contact, but not until 3 years after youngest patient attains age 18

746 CO2 474, MU1 439, MI1 382

Original entry patient care records

which exist separately from case record, including nurses' notes, operating room record, therapy record, nursery and obstetrics record, emergency room treatment record, triage records, and temperature charts

a When significant information is posted to medical case record:
RETENTION: 6 years

b When significant information is not posted to medical case record:
RETENTION: Retain as long as medical case record

♦ **747** CO2 475, MU1 440, MI1 383

Film or tracing,

including X-ray, EKG tracing, EEG tracing, sonogram, echo cardiogram and holter monitor printout, when report of film or tracing is not incorporated into medical case record:

RETENTION: 6 years, or 3 years after minor patient reaches age 18, whichever is longer

NOTE: Holter monitor tapes need only be retained for one month after printouts ("disclosures") are produced from them. Older X-rays on nitrate-base films, which have deteriorated to the point where they are no longer usable, should not be retained. Retention of older nitrate-base X-rays may pose a serious fire hazard. Based on federal requirements (21 CFR Section 900.12 [c-4]), facilities conducting mammography activities (including operating mammography equipment or providing initial interpretation of the mammogram) must maintain mammograms and associated records of patients for 10 years, unless a subsequent mammogram was performed for that patient at the facility within that time, in which case the earlier mammogram can be destroyed after 6 years; or until the records are permanently transferred at patient request to another medical institution, physician or to the patient.

748 CO2 476, MU1 441, MI1 384

Patient care conference records,

including worksheets and evaluations, but excluding minutes

a When significant information is posted to medical case record:
RETENTION: 0 after posting

b When significant information is not posted to medical case record:
RETENTION: Retain as long as medical case record.

749 CO2 477, MU1 442, MI1 385

Communicable disease individual case records

a Communicable disease case report or equivalent record, including copy of laboratory report:
RETENTION: 6 years after discharge or last contact, or 3 years after individual attains age 18, whichever is longer

b Supplementary reports on communicable diseases:
RETENTION: 2 years

c Typhoid carrier records:
RETENTION: 2 years after death or release of carrier

d Syphilis treatment case record:
RETENTION: 40 years

e Sexually transmitted disease case record, except syphilis:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

750 CO2 882, MU1 755, MI1 757

Mental health incident report:

RETENTION: 20 years

♦ 751

Mental health admission forms, correspondence, and related records for observation, care, and treatment,

including emergency, voluntary, and involuntary admissions, that are not filed as part of a case file:

RETENTION: 10 years after discharge or last contact with patient, or 3 years after individual attains age 18, whichever is longer

♦ **752** CO2 478, MU1 443, MI1 386

Mental health individual case record

a Clinical discharge summary:
RETENTION: 25 years

b Case record materials, except clinical discharge summary:
RETENTION: 6 years after discharge or last contact with patient, or after individual attains age 21, whichever is longer

NOTE: Appraise these records for historical significance. Records covered by item nos. 752 and 753 may have continuing value for historical or other research. Contact the State Archives for additional advice in this area.

753 CO2 479, MU1 444, MI1 387

Alcohol or substance abuse individual case record
including clinical discharge summary:

RETENTION: 6 years after date of discharge or last contact, or 3 years after individual attains age 18, or for the period required by contractual arrangements, whichever is longest

754 CO2 883, MU1 756, MI1 758

Reports, studies or data queries,
including those generated from patient data system (including documentation of macros, queries, and reports)

a Reports, studies or queries relating to individual patient:
RETENTION: Retain as long as or as part of medical or other patient case record

b Reports, studies or queries not relating to individual patient:
RETENTION: 0 after no longer needed

NOTE: Appraise records covered by part "b" for archival value. Reports and studies analyzing specific medical conditions and their treatments may be valuable for long-term planning and for medical, historical and other research. Contact the State Archives for additional advice.

♦ **755** CO2 884,

Early intervention program and preschool special education program records,
including but not limited to case record and screening, assessment and referral records, including referral to preschool special education committee

a Individual case record:
RETENTION: 7 years after discharge or last contact, but not until 3 years after person attains age 18

b Screening, assessment and referral records, not found in individual case record:
RETENTION: 7 years

♦ **756**

Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH) compliance and disclosure records

NOTE: HIPAA does not prescribe how long medical records should be retained. Patient medical records are covered by items no. 743, 744, 745, and 752.

a Record of requests for access to and disclosures of protected health information from patient, student, and employee medical and other records, as required by HIPAA/HITECH regulations:

RETENTION: 6 years from date of request

b Privacy and security policies and procedures, staff designations, privacy practices notices, complaints and resolution records, staff training on policies and procedures, data use agreements, incident and breach notification documentation, and related records as required by HIPAA/HITECH regulations:

RETENTION: 6 years from the date of creation or last effective date, whichever is later

Laboratory

♦ **757** CO2 481, MU1 445, MI1 388

Master summary record,
including accession sheet or register

a Register of laboratory tests performed:
RETENTION: 10 years
NOTE: Appraise these records for archival value. These records may contain detailed information on the subject, nature and results of laboratory tests and may have long-term or permanent scientific or historical research value. Contact the State Archives for additional advice.

b Record of collection of specimens:
RETENTION: 10 years

758 CO2 885, MU1 757, MI1 759

Laboratory test data file,
providing summary and/or detailed information on laboratory tests performed

a For clinical laboratory tests:
RETENTION: Maintain as long as related laboratory tests results

b For forensic or toxicology tests:
RETENTION: 6 years

c For environmental health tests:
RETENTION: Maintain as long as related laboratory tests results
NOTE: Laboratories should consider permanent or long-term retention of the

basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files (such as accession records and laboratory test results) and may create a record which replaces or supplements the master summary record (see item no. 757). Contact the State Archives for additional advice.

♦ **759** CO2 482, MU1 446, MI1 389
Request for laboratory test:

RETENTION: Retain as long as the related test results

760 CO2 886, MU1 758, MI1 760
Referral information for cytogenetic cases:

RETENTION: 6 years

♦ **761** CO2 483, MU1 447, MI1 390
Laboratory worksheet, workslip, history slip, or similar record

a For environmental health, or toxicology or forensic test:
RETENTION: Retain as long as related test results

b For clinical laboratory tests, worksheets:
RETENTION: 2 years

c For clinical laboratory tests, history slips:
RETENTION: 7 years

♦ **762** CO2 484, MU1 448, MI1 391
Preventive maintenance, service, or repair record
for laboratory equipment or instrument:

RETENTION: Retain as long as the equipment or instrument remains in use, but no less than 2 years, and also as long as test results using this equipment are retained

NOTE: If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these preventive maintenance records must be retained as long as the longest period of time these laboratory test results need to be retained.

♦ **763** CO2 485, MU1 449, MI1 392
Quality control records
covering laboratory equipment and procedures:

RETENTION: Retain as long as test results using this equipment are retained

NOTE: If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these quality control records must be retained as long as the longest period of time these laboratory test results need to be retained.

764 CO2 486, MU1 450, MI1 393
Laboratory protocol
detailing procedures for conducting tests, disposing of specimens, samples and supplies, or other activity, including superseded or obsolete procedures:

RETENTION: PERMANENT

765 CO2 487, MU1 451, MI1 394

Laboratory reports, studies or data queries,
including those generated from automated data system

a Forensic and other related investigation reports:
RETENTION: 6 years

b All other reports, studies or queries:
RETENTION: 0 after no longer needed
NOTE: Appraise these records for archival value. Reports and studies analyzing specific types of tests, test results and the population being tested may be valuable for long-term planning and for medical, historical and other research. Because these records will vary greatly as to content, subject and detail, they should be appraised for archival value. Contact the State Archives for additional advice.

♦ **766** CO2 489, MU1 453, MI1 396

Blood, including blood components and blood derivatives, collection, release, transfusion and related records:

RETENTION: 10 years, or 6 months after the expiration date of the individual product, whichever is later

767 CO2 490, MU1 454, MI1 397

Biologics receipt and distribution record

a Detailed delivery record:
RETENTION: 2 years

b Summary record of receipt and distribution:
RETENTION: 5 years

768 CO2 491, MU1 455, MI1 398

District laboratory supply station records

a Notification of establishment or discontinuance of station or of appointment or termination of its caretaker:
RETENTION: PERMANENT

b Certificate of approval of station maintenance:
RETENTION: 2 years

c Periodic inventory of station supplies:
RETENTION: 6 years

769 CO2 492, MU1 456, MI1 399

Laboratory examination test results (clinical)

a Positive report of syphilis serology:
RETENTION: 7 years

b Negative report of syphilis serology:
RETENTION: 2 years

c Tissue pathology (including exfoliate cytology) report:

RETENTION: 20 years

d Cytogenetics report:
RETENTION: 25 years

e Clinical, except those listed above:
RETENTION: 7 years

770 CO2 887, MU1 759, MI1 761
Forensic and toxicology test results:

RETENTION: 6 years
NOTE: These records may need to be retained as long as related case investigation records. Consult the appropriate law enforcement or investigative agency to determine if these records may be needed longer for legal purposes.

♦ **771** CO2 493, MU1 457, MI1 400
Laboratory examination test results (environmental health)

a Chemical analysis of potable water supply and testing for critical agents:
RETENTION: 10 years

b Routine analysis of water at pool or beach (non-potable water testing):
RETENTION: 0 after posted to summary record, or 5 years if not posted

c All other environmental health test results:
RETENTION: 5 years

d Sampling data and other test results maintained by laboratory of public water supply facility, created pursuant to Section 5-1.49, 10NYCRR:
RETENTION: 12 years

e Local health agency copy of any environmental analysis received from laboratory:
RETENTION: 1 year

Radiological Health

772 CO2 251, MU1 219, MI1 177
Approvals
and registrations relating to radiological equipment and materials

a Approval to possess or use radioactive materials, received from New York State Department of Health, and related records:
RETENTION: 3 years after local government, facility or program no longer possesses or uses radiological materials

b Registration of radiation-producing equipment with New York State Department of Health, and related records:
RETENTION: 2 years after expiration or renewal

♦ **773** CO2 252, MU1 220, MI1 178
Radiation-exposure records

for an individual

a Records of diagnostic misadministrations:
RETENTION: 3 years

b Records of therapeutic misadministrations:
RETENTION: 6 years

c Radiation-exposure data for an individual, including records of radioactive material deposited or retained in body:
RETENTION: 90 years after individual's date of birth

♦ **774** CO2 888, MU1 760, MI1 762
Records of occupational doses
for an individual using radiation-producing equipment or radiological materials

a Annual or other summary occupational dose records:
RETENTION: 90 years after individual's date of birth

b Detailed occupational dose records:
RETENTION: 0 after annual or other summary record containing this information is produced

c Records of prior occupational dose:
RETENTION: 90 years after individual's date of birth

d Records of planned special exposures:
RETENTION: 90 years after individual's date of birth

775 CO2 253, MU1 221, MI1 179
Radiation equipment testing and inspection records

a Regulatory inspection and audit records, including master summary record and "index card":
RETENTION: 6 years after equipment no longer in use

b Equipment accuracy testing records, including surveys, calibrations, measurements, and quality control tests:
RETENTION: 3 years

776 CO2 254, MU1 222, MI1 180
Records of disposal, theft, loss, or excessive release of radiation

a Records concerning theft or loss of radiation source, excessive release of radiation, or excessive exposure of individual to radiation, including documentation of notification:
RETENTION: PERMANENT

b Record of disposal by burial in soil:
RETENTION: PERMANENT

c Records of authorized transfer or receipt, or issue and return of radiation source or radioactive materials, or disposition by incineration or release into sanitary sewer system:
RETENTION: 6 years

777 CO2 889, MU1 761, MI1 763

Radiation program safety records

a Records documenting provisions of program:
RETENTION: 3 years after program ceases to exist

b Audits and other reviews of program content and implementation:
RETENTION: 3 years

c Records documenting specific instructions given to workers:
RETENTION: 3 years

Miscellaneous

778 CO2 494, MU1 458, MI1 401

Birth and death records held by health agency or facility,
including copies of birth and death certificates, and related electronic records:

RETENTION: 0 after no longer needed

NOTE: The New York State Department of Health requires these records be destroyed as soon as no longer needed. Paper copies of birth and death certificates shall be destroyed within one year of the date of their receipt. Copies of fetal death certificates must be destroyed by the end of each month, pursuant to Section 4160, Public Health Law. This item does not cover official copies of birth and death certificates held by the health departments of Chemung, Monroe, Onondaga and Tompkins counties, which serve as registrars of vital statistics.

779 CO2 495, MU1 459, MI1 402

Medical rehabilitation service card:

RETENTION: 6 months after completion of annual report

780 CO2 496, MU1 460, MI1 704

Dental clinic records

a Dental hygienist's clinic record:
RETENTION: 0 after youngest person on record attains age 21

b Dental referral card, notifying clinic of work done by private dentist:
RETENTION: 2 years

c Individual dental treatment summary record:
RETENTION: 6 years after dental work completed, or 3 years after individual attains age 18, whichever is longer

781 CO2 497, MU1 461,

Nutrition program eligibility and certification records (including W.I.C. program),
including but not limited to copy of blood test results, record of advice given patient, and records of fair hearing procedure:

RETENTION: 6 years after last entry

782 CO2 498, MU1 462, MI1 403
Maternal and child health reports

a Clinic service report, including but not limited to school health service report, and report of poisoning case, except lead poisoning:
RETENTION: 1 year

b Individual newborn infant metabolic defects screening report:
RETENTION: 0 after individual attains age 21

783 CO2 499, MU1 463,
Housing investigation case record for lead poisoning:

RETENTION: 7 years after case closed

784 CO2 500, MU1 464,
Master summary record
(index, log, register or similar record) of lead poisoning cases and investigations:
RETENTION: PERMANENT

♦ **785** CO2 501, MU1 465, MI1 406
Lead poisoning reports and screening results

a Positive results of screening, when not duplicated in case record:
RETENTION: Retain as long as case record.

b Positive results of screening, when duplicated in case record:
RETENTION: 0

c Negative results of screening, when posted to summary record:
RETENTION: 0 after posting

d Negative results of screening, when not posted to summary record:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

e Blood level determination report:
RETENTION: 10 years

f Summary report of screening program:
RETENTION: PERMANENT

♦ **786** CO2 502, MU1 466, MI1 765
Cancer study and control program records

a Cancer case report for individual, received and used for statistical purposes:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

b Cancer summary record for individual:
RETENTION: 2 years after individual dies or 90 years after individual's date of birth

787 CO2 503, MU1 467,
Tuberculosis case and contact register or record card,

and related materials

a When individual has died:
RETENTION: 3 years after death

b When individual's diagnosis has been changed to nontubercular:
RETENTION: 6 years after diagnosis changed

c For other tubercular individual:
RETENTION: 20 years after last entry

d For nontubercular contact:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

e Source or intermediary documents used in reporting, tracking or posting information on tubercular cases:
RETENTION: 0 after obsolete

788 CO2 504, MU1 468,
Tuberculosis case listing by geographical area:

RETENTION: 0 after superseded or obsolete

789 CO2 505, MU1 469, MI1 766
Negative tuberculosis X-ray films or interpretive reports
resulting from screening program:

RETENTION: 3 years

790 CO2 506, MU1 470, MI1 407
Individual immunization record,
including authorization and/or parental consent:

RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

♦ **791** CO2 507, MU1 471, MI1 408
Vaccine distribution and usage records

a Official record of distribution and usage:
RETENTION: 25 years

b Statistical or similar record of vaccines administered:
RETENTION: 5 years

c Standing orders (written protocols approved by a physician or other authorized practitioner that allow qualified health care professionals including nurses or pharmacists to administer vaccinations):
RETENTION: 1 year after expiration of order

♦♦**792** CO2 508, MU1 472, MI1 409
Results of screening programs, except
lead poisoning

a Summary reports on screening results:
RETENTION: PERMANENT

b Master index or listing of participants:
RETENTION: 50 years

c Positive report of individual screened, including statement of consent or participation and authorization for release of information:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

d Negative report of individual screened, including statement of consent or participation and authorization for release of information:
RETENTION: 30 days

e Log or other working record of screening and testing, used to compile statistics and other data:
RETENTION: 30 days

f Anonymous H.I.V. test results and related records:
RETENTION: 7 years
NOTE: Identifiable H.I.V. related records are covered by item nos. 743 and 745, and related laboratory records are covered by items in the Laboratory subsection.

793 CO2 509, MU1 473, MI1 410
Receipt and storage records
for controlled substances (or other drugs or medication), including inventory, authorized requisition, receipt and vendor record:

RETENTION: 5 years

794 CO2 510, MU1 474, MI1 411
Usage and distribution records
for controlled substances (or other drugs or medication)

NOTE: Prescription drug claims are covered under Fiscal subsection.

a Record of withdrawal from stock, distribution and administration to patients:
RETENTION: 5 years

b Order or prescription form used for administering to patients:
RETENTION: 6 years

c List of narcotic registrants (persons registered to possess or prescribe controlled substances):
RETENTION: 0 after obsolete

d Report on habitual user of narcotics:
RETENTION: 6 years

♦ **795** CO2 890, MU1 762, MI1 767
Tissue donation and transfer records

a Master summary record (index or log) of all tissue donations and transfers:
RETENTION: PERMANENT

b Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use

(other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which result in a live birth:

RETENTION: 25 years

c Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which do not result in a live birth:

RETENTION: 7 years after release or discard of tissue

d Other tissue donation and transfer records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), for tissue intended for transplantation:

RETENTION: 7 years after transplantation or 6 months after expiration date of the tissue, whichever is longer

e Records of release of tissue or nontransplant anatomic parts for research or educational purposes:

RETENTION: 5 years after release

796 CO2 891, MU1 763, MI1 768

Organ procurement and transplant records

a Master summary record (index or log) of all organ donations and transplants:
RETENTION: PERMANENT

b Other organ donation and transplant records, including but not limited to information on donor and donation, referral records, documentation of delivery or receipt, information on recipient and records of use (other than those contained in patient medical records), when organ is procured:

RETENTION: 7 years after date of procurement

c Other organ donation and transplant records, including but not limited to information on donor and donation, referral records and explanation of why organ is not procured (other than those contained in patient medical records), when organ is not procured:

RETENTION: 7 years after date of most recent entry in record

797 CO2 892, MU1 764,

Copies of laboratory reports,
submitted to health department by hospitals for informational purposes:

RETENTION: 0

798 CO2 880, MU1 894, MI1 755

Medical waste disposal records,
relating to generation, transportation and disposal of regulated medical waste

a Medical waste tracking records, including exception reports:
RETENTION: 3 years after waste accepted for transport

b Records created by generators who destroy regulated medical waste on site:
RETENTION: 3 years after date waste destroyed

c Annual reports prepared by waste generator or transporter:
RETENTION: 3 years

799 CO2 511,
Individual patient utilization review or long-term care placement records,
where county health agency either conducts or monitors utilization review or placement in facilities within county:

RETENTION: 6 years

800 CO2 893,
Tobacco product regulation records

a Permit issued by county to sell or distribute tobacco products, including application and related records:

RETENTION: 6 years after renewal, denial or expiration

b Tobacco product distribution, sale or use violation records, including but not limited to notice of violation or hearing, appointment of hearing officer, records of fine levy and collection, appeal records, and correspondence, but excluding summary record and resulting order or agreement:

RETENTION: 6 years after date of last entry

c Summary record of violations, and resulting order or agreement:
RETENTION: 0 after business no longer exists, but not less than 6 years after date of last entry

d Waiver granted from application of specific provisions of state or local law or ordinance:

RETENTION: 3 years after expiration of waiver or after business no longer exists

e Tobacco distribution or sales inspection report or equivalent record, when no violation is identified:

RETENTION: 3 years

f Tobacco distribution, sales or use complaints, received by enforcement officer, when no violation is identified:

RETENTION: 3 years

g Periodic report submitted to State Department of Health:
RETENTION: 6 years

801 CO2 1059,
Contact notification records relative to HIV and AIDS,
maintained by county health agency pursuant to Sect. 63.8 of 10NYCRR

a Records relating to individual persons, including but not limited to reports received from physicians and other mandated reporters, records documenting efforts to identify contacts, summary records that identify individual persons, and

other contact notification activity records:

RETENTION: 0 after no longer needed

NOTE: Records identifying contacts collected in the course of notification activities by authorized public health officials shall not be maintained for more than one year following completion of such activity, pursuant to Sect. 63.8(j) of 10NYCRR. For records of HIV screening programs, see item no. 792f in the Public Health section, Miscellaneous subsection. For patient treatment records, see item nos. 743 and 745 in the Public Health section, Patient Case Records and Related Materials subsection.

b Summary data, statistics, reports and program activity records that do not identify individual persons:

RETENTION: 3 years after date of most recent entry

♦ **802**

Public health incident files,

including records related to public health emergencies, communicable disease occurrences, and epidemics

a Surveillance, investigation, and response records:

RETENTION: 3 years after outbreak has abated

NOTE: Appraise these records for historical significance prior to disposition. Records of unusual disease occurrences or epidemics may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

b Public health preparedness plans:

RETENTION: PERMANENT

PUBLIC PROPERTY AND EQUIPMENT

803 CO2 512, MU1 475, ED1 238, MI1 412
Real property acquisition or sale file
for property owned by local government including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence

a Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale:
RETENTION: PERMANENT

b Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence:
RETENTION: 6 years after property no longer owned by local government
NOTE: This does not apply to a sale of real property tax liens conducted by the local government. See the Taxation and Assessment section.

804 CO2 513, MU1 476, ED1 239, MI1 413
Master summary record
(book, log or register) recording acquisition or sale of property by local government:
RETENTION: PERMANENT

805 CO2 514, MU1 477, ED1 240, MI1 414
Official copy of sale or auction list, and notice or advertisement of sale of real property by local government:
RETENTION: PERMANENT

806 CO2 515, MU1 478, ED1 241, MI1 415
Capital construction or public improvement project file,
including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements

NOTE: "Capital projects" are defined in Section 2.00, Local Finance Law; Section 99-g, General Municipal Law; Section 351, County Law; Section 103, Town Law; and Section 5-522, Village Law.

a Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence:
RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

NOTE: Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact the State Archives for additional advice.

b Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, performance guarantees, non-significant change orders; routine correspondence and detailed construction specifications:

RETENTION: 6 years after last entry in project file

c Unsuccessful bids, to which contract is not awarded:

RETENTION: 6 years

d All records, when project is proposed but not undertaken:

RETENTION: 6 years after last entry

NOTE: For plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item no. 807, below.

807 CO2 516, MU1 479, ED1 242, MI1 416

Official plans, maps, designs, architectural drawings, and photographs

for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project

a Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant building or other facility:

RETENTION: PERMANENT

b Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant building or other facility:

RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

c Mechanical, electric and other detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:

RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

d Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the building or other facility no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

e Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained

f Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of

808 CO2 517, MU1 480, ED1 243, MI1 417

Draft or intermediary plans, maps, designs, sketches or architectural drawings, including explanatory textual files, tracings and other than final or "as built" automated design files:

RETENTION: 0 after no longer needed

NOTE: Some of these design documents may need to be retained for 6 years or longer, possibly as long as the building or other facility exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

809 CO2 894, MU1 895, ED1 481, MI1 769

Maintenance, testing, service, operational and repair records for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure

a Cumulative summary records:
RETENTION: 6 years after building or other facility no longer in use

b Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when posted to cumulative summary record:
RETENTION: 6 years

c Individual report or related record, such as work request, work order, personnel deployment record and records of work completed, when not posted to cumulative summary record:
RETENTION: 6 years after building or other facility no longer in use

d Log, maintenance schedule or similar record of ongoing activity:
RETENTION: 6 years after last entry

e Descriptive information on specific equipment or component parts:
RETENTION: 6 years after equipment or part no longer in use

f Descriptive information on maintenance personnel, vendors or contractors:
RETENTION: 1 year after superseded or obsolete

g Inventories of parts, materials and supplies needed for maintenance and repairs:
RETENTION: 6 years

h Requests for inspection, repair or service, when no work is performed and no funds expended:
RETENTION: 1 year
NOTE: For plans, designs and schematic drawings of buildings and facilities, including their systems and component parts, see item no. 807.

810 CO2 895, MU1 896, ED1 482, MI1 770

Reports and studies relating to maintenance, testing, service, operation and repairs for buildings and other facilities or their mechanical, electrical systems or other infrastructure:

RETENTION: 6 years

NOTE: Some of these reports may need to be retained longer for long-term facility management purposes, such as for 6 years after building or other facility no longer in use. Some may even have permanent historical or other research value. Contact the State Archives for additional information.

♦ **811** CO2 518, MU1 481, ED1 244, MI1 418

Building or facility security records,

including but not limited to visitor's register and watchman's or automated security system or false alarm reports, and records of issuance and cancellation of building or room keys or passes:

RETENTION: 3 years or, for records documenting issuance or cancellation of keys or passes, 3 years after keys or passes are cancelled or revoked

NOTE: This item does not cover airport security records, which are covered by item no. 1061 in the Transportation and Engineering section, Airport subsection.

812 CO2 519, MU1 482, ED1 245, MI1 419

Public facility use file,

including but not limited to requests, correspondence, fiscal records and authorizations:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. In some cases, facility use files may document significant attempts by the local government to broaden its support base by reaching out to community groups.

813 CO2 520, MU1 483, MI1 420

Fire safety records,

including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports and fire investigation reports

NOTE: Records maintained by the public safety agency which performs official fire safety functions are covered by item nos. 1208, 1211 and 1212 in the Public Safety section, Fire Fighting and Prevention subsection.

a Fire safety inspection reports:
RETENTION: 3 years, or until all violations noted on report are corrected, whichever is later

b Records other than fire safety inspection reports:
RETENTION: 3 years

♦ **814** CO2 521, MU1 484, ED1 247, MI1 421

Property inventory records,

covering buildings, facilities, vehicles, machinery and equipment, including "fixed assets" records:

RETENTION: 6 years after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is sooner

815 CO2 522, MU1 485, ED1 248, MI1 422

Inventory of supplies:

RETENTION: 6 years

816 CO2 523, MU1 486, ED1 249, MI1 423

Public property sale or discard records,

except real property, including but not limited to description of property, bids or offers, and receipt of deed of gift:

RETENTION: 6 years

♦ **817** CO2 524, MU1 487, ED1 250, MI1 424

Maintenance, testing, service, operational and repair records

for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure

NOTE: Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.

a Cumulative summary record for vehicle or equipment:
RETENTION: 6 years after vehicle or equipment no longer in use

b Individual report when posted to cumulative summary record:
RETENTION: 6 years

c Individual report when not posted to cumulative summary record:
RETENTION: 6 years after vehicle or equipment no longer in use

d Maintenance or repair log or similar record:
RETENTION: 6 years after last entry

e Reports and studies relating to maintenance, testing, service, operation and repairs for equipment or vehicles:
RETENTION: 6 years

f Requests for inspection, repair or service, when no work is performed and no funds expended:
RETENTION: 1 year

g Permits issued to allow vehicles to be used for various purposes, such as waste transport, hazardous materials transport, and oversized loads:
RETENTION: 0 after expiration of permit

h Vehicle registration records:
RETENTION: 0 after superseded

818 CO2 525, MU1 488, ED1 251, MI1 425

Specifications, warranty and descriptive information

received from vendor for vehicle or equipment:

RETENTION: 6 years after vehicle or equipment no longer in use

819 CO2 526, MU1 489, ED1 252, MI1 426

Vehicle routing, scheduling and usage records,

including automated system used to schedule and assign routes of service and maintenance vehicles

NOTE: This does not apply to emergency use of law-enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection. This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.

a Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that local officials store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 6 years

c Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:

RETENTION: 6 years

d Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which do not contain information of legal or fiscal value:

RETENTION: 0 after no longer needed

e Geographic Information System (G.I.S.) street/road data file used for vehicle routing scheduling, derived from official G.I.S. data maintained by other unit of local government:

RETENTION: 0 after no longer needed

820 CO2 527, MU1 490, ED1 253, MI1 427

Consumption and dispensing records

for fuel, oil, or similar products used by publicly owned vehicles or equipment:

RETENTION: 6 years

NOTE: This item does not cover fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records for airports, which are covered by item no. 1066 in the Transportation and Engineering section, Airport subsection.

821 CO2 528, MU1 491, ED1 254, MI1 428

Request for services or supplies,

including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment

a When a chargeback or fee is involved:
RETENTION: 6 years

b When no chargeback or fee is involved:
RETENTION: 0 after no longer needed

822 CO2 529, MU1 492, ED1 255, MI1 429

Federal Communications Commission (F.C.C.) private radio licensing records

a Original application and other related records not created for renewal applications:
RETENTION: 5 years after final termination of license or denial of application

b Renewal application and related records, including copy of license:
RETENTION: 5 years after renewal or termination of license or denial of application

c Request for frequency data research:
RETENTION: 1 year

d Listing of locations of radios using local government private radio frequency:
RETENTION: 0 after superseded or obsolete

♦ **823** CO2 530, MU1 493, ED1 256, MI1 430

Petroleum bulk storage records

a Registration, including approved application and related records:
RETENTION: 7 years after expiration or termination of registration or 3 years after removal of storage tanks and piping, whichever is later

b Monthly and ten-year mandatory inspection reports:
RETENTION: 10 years

c Daily and other periodic inspection reports:
RETENTION: 3 years

d Test certification for underground storage tank:
RETENTION: 7 years

e Site assessment and related records, required when an underground storage tank is abandoned:
RETENTION: PERMANENT

f Records relating to leakage and spillage:
RETENTION: PERMANENT

g Inventory monitoring records:
RETENTION: 5 years

h Denied registration application and related records:
RETENTION: 7 years after denial of application

i Records demonstrating compliance with the compatibility requirement if storing regulated substances containing greater than 10 percent ethanol, greater than 20 percent biodiesel or any other regulated substance:
RETENTION: Maintain for the life of the storage tank

824 CO2 896, MU1 765, ED1 483, MI1 771

Aquatic weed harvesting and/or control records
(covers harvesting by mechanical or manual means or control by use of herbicides):

RETENTION: 3 years

♦ **825**

Annual environmental audit reports submitted to the New York State Department of Environmental Conservation,

including descriptions of environmental problems; records of remedial investigations, plans, and actions; estimates of resources needed to remedy violations; projected remedial time schedules; internal assessments of remedial plans; lists of violations and rankings; and related correspondence and other materials:

RETENTION: 3 years after submission of report

♦ **826** CO2 405, MU1 378, ED1 213, MI1 324

Facility health and safety inspection records,

including notices of inspection, inspection reports, descriptions of violations, remedial action plans, correspondence, and memoranda documenting local government cooperation with the NYS Department of Labor in facility inspections mandated by Sect. 802 of 12NYCRR and local government efforts to comply with Department of Labor findings and determinations:

RETENTION: 3 years after completion of inspection or after any violations are remedied, whichever is longer

♦ **827** ED1 490,

School facility report card,

prepared for each occupied school building, as required by Sect. 155.6 of 8NYCRR between 2001 and 2011:

RETENTION: 0 after no longer needed

828 ED1 86,

Asbestos management plans

required pursuant to the federal Asbestos Hazard Emergency Response Act and 40CFR Part 763, Subpart E, including plans required for each school listing all buildings leased, owned or otherwise used as a school building and whether they contain asbestos; dates of asbestos inspections; reinspections and surveillances; copies of analyses; descriptions of responses or preventive measures taken; and related records, including equivalent records previously created under the New York State School Asbestos Safety Act (Article 9-A, Education Law):

RETENTION: 3 years after next required reinspection or equivalent period after all asbestos-containing building material has been removed from a homogenous area

NOTE: Records of building projects involving asbestos are covered by item no. 830.

829 CO2 1060, MU1 918, ED1 91, MI1 913

Hazardous waste generation records

a Individual load delivery and other detailed records, including manifest form:

RETENTION: 3 years after waste accepted by transporter

b Annual and exception reports:
RETENTION: 3 years after due date of report

c Test results and waste analyses:
RETENTION: 3 years after date waste was removed
NOTE: This item covers records of local governments which generate hazardous waste but do not operate programs to collect and dispose of hazardous waste. For governments that operate such programs, item no. 455 in the Environmental Health section, Environmental Facilities: Solid Waste Management Facilities subsection, covers records of the generation, collection and disposal of hazardous waste.

♦ **830** CO2 898, MU1 767, ED1 87, MI1 773
Building rehabilitation and reconstruction project files

a When asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:
RETENTION: 30 years

b When lead is removed, encapsulated or otherwise involved:
RETENTION: 30 years

831 CO2 899, MU1 768, ED1 323, MI1 774
Lead or copper content testing and remediation files
covering lead or copper content in drinking water of public facilities

a Water sample test results and related records, when lead or copper level exceeds the action level as defined in Section 5-1.41, State Sanitary Code:
RETENTION: 50 years

b Water sample test results and related records, when lead or copper level does not exceed the action level as defined in Section 5-1.41, State Sanitary Code:
RETENTION: 10 years

c Records of remediation by replacement of lead or copper plumbing:
RETENTION: 6 years after building no longer exists

d Records of remediation by elimination or replacement of water cooler not connected to plumbing:
RETENTION: 6 years after cooler eliminated or replaced

832 CO2 900, MU1 769, ED1 353, MI1 775
Pesticide (including herbicide, rodenticide and disinfectant) application record
(showing kind and quantity used, dosage rate, method of application, target organism, area and time of application):

RETENTION: 3 years
NOTE: Records of incidents of possible exposure to pesticides (including herbicides, rodenticides and disinfectants), and other records created because pesticides are considered "toxic substances," are covered by item no. 654 in the Personnel/Civil Service section.

833 ED1 484,

School pesticide neighbor notification records

prepared and maintained pursuant to 8NYCRR Section 155.24, including annual, summer school, emergency, forty-eight hour and other notifications, lists of persons receiving notifications, summary reports on pesticide applications, and related records:

RETENTION: 3 years

834 CO2 901, MU1 770, ED1 354, MI1 776

Inventory of pesticides

(including herbicides, rodenticides and disinfectants) maintained by local government:

RETENTION: 40 years after superseded or obsolete

835 CO2 902, MU1 771, ED1 355, MI1 777

Annual report of pesticides

(including herbicides, rodenticides and disinfectants) used, submitted to New York State Department of Environmental Conservation:

RETENTION: 2 years

836 CO2 903, MU1 772, ED1 356, MI1 778

Application for business/agency pesticide registration,

including all related records:

RETENTION: 1 year after superseded or invalid

837 CO2 904, MU1 773, ED1 357, MI1 779

Records relating to certification for individual certified commercial applicator,

including copy of application, records of training in use of pesticides, examination results, copy of certificate and recertification records:

RETENTION: 6 years

838 CO2 905, MU1 774, ED1 358, MI1 780

Permits and approvals

from state or county health department to operate pool or beach:

RETENTION: 3 years after denial or expiration

839 CO2 906, MU1 775, ED1 359, MI1 781

Reports of pool or beach operation and inspection:

RETENTION: 21 years

840 ED1 92,

Laboratory examination test results for pool (school)

a Routine analysis (i.e., indicating water is within accepted standards) of water at pool:

RETENTION: 1 year

b Non-routine analysis (i.e., indicating water is not within accepted standards) of water at pool:

RETENTION: 3 years

841 CO2 907, MU1 776, ED1 360, MI1 782
Facility inmate work crew records,
covering crews from state or county correctional facilities performing work outside the facilities for local government or not-for-profit organization, including but not limited to request for work crew and site visit report:

RETENTION: 2 years

842 CO2 908, MU1 777, ED1 361, MI1 783
Self-evaluation records,
required under Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements

a Voluntary compliance plan for facility, including list of persons consulted, description of areas examined, transition plan, list of problems identified and description of modifications anticipated and made:
RETENTION: PERMANENT

b Copies of work orders, progress notes and other supporting documentation:
RETENTION: 1 year after modifications completed

843 CO2 909, MU1 778, ED1 362, MI1 784
Inspection reports, reviews and audits
(internal and external) created relative to the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:

RETENTION: 6 years after building or facility involved is no longer in use

844 CO2 910, MU1 779, ED1 363, MI1 785
Individual case records,
filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution

a When complaint or request is filed by officer or employee of the local government involved:
RETENTION: 3 years after resolution of case and termination of any reasonable accommodation provided

b When complaint or request is filed by person other than officer or employee of the local government involved:
RETENTION: 3 years after date of final entry in record, but not less than 3 years after person involved attains age 18

845 CO2 911, MU1 780, ED1 364, MI1 786

Master summary record of all cases
under the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:

RETENTION: PERMANENT

846 CO2 912, MU1 781, ED1 352, MI1 787
Video or audio recordings maintained for security purposes

a Recording containing incidents warranting retention for administrative or other potential legal uses:

RETENTION: 3 years, but not until any minor has attained age 21

b Recording not containing incidents warranting retention for administrative or potential legal uses:

RETENTION: 0 after no longer needed

847 CO2 913, MU1 782, ED1 485, MI1 788
Records relating to protection of underground facilities

a Notice of or request for excavation, received by local government from excavator, pursuant to 16NYCRR, Section 753-5.2 (Dig Safely NY), including notice of postponement or cancellation and notice of discovery of unknown facility:

RETENTION: 4 years

b Master list or central registry of operators of underground facilities located within borders of county or municipality:

RETENTION: 0 after superseded or obsolete

♦ **848** CO2 914, MU1 783, ED1 486, MI1 789
Records filed by contractor or sub-contractor with local government related to public works project,
pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:

RETENTION: 5 years after contract completion

849 CO2 915, MU1 897, ED1 487, MI1 790
Water supply system records,
covering water supply system (such as private well) maintained by local government for its own use

NOTE: Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.

a Permits and approvals necessary to establish or operate system, including supporting data and other related records:

RETENTION: PERMANENT

b Original entry and intermediary charts, graphs and other data collected relating to water usage, water levels and water quality:

RETENTION: 10 years

c Reports and related data collection and other summary records showing long-term trends and developments:

RETENTION: PERMANENT

d Reports and related records not showing long-term trends and developments:

RETENTION: 10 years

e Reports and test results on unsatisfactory water supply samples:

RETENTION: 20 years

f Log recording summary information collected at periodic intervals such as changes in pressure and level, proportion of chemicals present, operational changes and problems:

RETENTION: PERMANENT

g Log recording all or routine information such as changes in pressure and level, proportion of chemicals present, operational changes and problems:

RETENTION: 5 years

NOTE: If no logs containing summary information are generated, local governments may wish to retain all or some records covered by part "g" of this item longer, for both long-term administrative use and for potential research purposes.

850 CO2 916, MU1 898, ED1 85, MI1 878

Energy consumption monitoring records

showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility

a Detailed data collected from sensors or monitors, and detailed reports generated from such data:

RETENTION: 0 after no longer needed

NOTE: Some of this data and these detailed reports may need to be retained for 6 years for energy consumption trending analysis or energy consumption audit purposes. The State Archives recommends that local governments consult the Office of the State Comptroller or their own auditor to determine which data may have long-term value.

b Equipment maintenance, testing and service records, except detailed records of routine activities:

RETENTION: 6 years after equipment no longer in use

c Detailed records of routine maintenance, testing and service:

RETENTION: 6 years

d Reports relating to energy consumption and environmental conditions, including reports of problems and corrective actions taken, summary reports of environmental conditions, and reports showing long-term energy consumption trends, along with accompanying charts, graphs and data tables:

RETENTION: 6 years

NOTE: Appraise these records for historical or other long-term significance prior

to disposition. Records showing long-term trends in energy use may need to be retained permanently, or at least 6 years after the building or other facility is no longer in use. Contact the State Archives for additional advice.

851 CO2 917, MU1 899, ED1 488, MI1 791

Records relating to mines owned or operated by local government

a Plans, maps and environmental impact statements generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal:

RETENTION: PERMANENT

b Other records generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal, including but not limited to original and renewal application, actual permit, reports and correspondence:

RETENTION: 3 years after mine closed and land reclaimed

c Mine registration with the United States Department of Labor, Mine Safety and Health Administration (MSHA) known as "Legal Identity Report":

RETENTION: 3 years after mine closed and land reclaimed

d Listing of employment, accident and injury data, submitted annually by MSHA to local government:

RETENTION: 5 years

e Quarterly mine employment and coal production report, submitted to MSHA, as required by 30 CFR, Section 50.30:

RETENTION: 5 years

f Basic information on employees working at mine, known as "population survey," submitted to MSHA, as required by 30 CFR, Section 45.4:

RETENTION: 0 after no persons listed on report still work at mine

NOTE: The annual training plan for employees who work at a mine is covered by item no. 81 in the General Administration section. Accident and personal injury reports are covered by item no. 660 in the Personnel/Civil Service section, Personnel subsection. The rescue plan is covered by item no. 1212 in the Public Safety section, Fire Fighting and Prevention subsection. Training certification records for each employee working at a mine are covered by item no. 640 in the Personnel/Civil Service section, Personnel subsection.

852 ED1 489,

Comprehensive long-range plan for educational facilities

and five-year capital facilities plan created under 8NYCRR Section 155.1, or equivalents, and related records

a Final copy of plan:

RETENTION: PERMANENT

b Background materials and supporting documentation, including plan development records:

RETENTION: 10 years

PUBLIC SAFETY

E-911 and Related Records

1173 CO2 918, MU1 784, MI1 792

Master Street Address Guide (MSAG) and related records

a MSAG database, containing such information as road/street names, address ranges, addresses, community names, telephone numbers, and information on properties, structure and individuals:

RETENTION: Maintain as perpetual data file, and 1 year after replaced by superseding MSAG data file

NOTE: Appraise these records, which may contain valuable information on properties, structures and residents, for secondary uses as well as historical significance prior to disposition. Periodic "snapshots" of this data may be created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats. Contact the State Archives for additional advice on the creation and maintenance of these records.

b Street alias file, containing alternative road or street names:

RETENTION: Maintain as perpetual data file, and 3 years after replaced by superseding street alias file

c Records of updates, corrections and confirmations to MSAG database, including assignments of new or revised street addresses:

RETENTION: 3 years

d Non-permanent road/street related information, such as relating to temporary closure of road or street:

RETENTION: 3 years after information becomes invalid

♦ **1174**

Supplemental information on persons and places used in conjunction with E-911 data maintenance or computer-aided dispatch (CAD)

a Information on handicapped persons in residence, including CAD special needs notification form; building access or hazards relating to specific structures; presence of dangerous animals; location of firearms, ammunition, and hazardous materials:

RETENTION: 1 year or when superseded

b Routine information of no potential legal value, such as name spelling corrections and information verification records:

RETENTION: 0 after no longer needed

NOTE: Street and address information is covered by item no. 1173.

1175 CO2 919, MU1 785, MI1 793

Telephone utility address records

a Copy of database or printout received from telephone utility:
RETENTION: 0 after no longer needed

b Updates, corrections, trouble reports and Automatic Location Information (ALI) discrepancy reports, submitted to and received from telephone utility:
RETENTION: 1 year

1176 CO2 920, MU1 786, MI1 794

Non-emergency call receipt and response records,
such as those contained in E-311 system, E-911 system module, or other electronic or manual system by which non-emergency calls are handled:

RETENTION: 1 year
NOTE: Emergency 911 calls are covered by item nos. 1180 and 1183 of this section.

1177 CO2 921, MU1 787, MI1 795

Automatic Number Information (ANI) and Automatic Location Information (ALI) records

a ALI database, containing street address information on each telephone number:
RETENTION: 0 after no longer needed
NOTE: Local governments which do not maintain MSAG data files may wish to retain this record as a perpetual data file, and for 1 year after replaced by a superseding data file.

b ANI and ALI reports, such as printouts of ANI or ALI screen displays and similar records, but not including ALI discrepancy reports:
RETENTION: 0 after no longer needed
NOTE: Local governments should consult their attorney or counsel before these records are disposed of regarding any potential legal value.

1178 CO2 922, MU1 788, MI1 796

E-911 system development and implementation records

a Feasibility and implementation reports and studies:
RETENTION: 6 years after completion of project
NOTE: Appraise these records for historical significance prior to disposition. Because of the costs involved and significance of implementing E-911 and related systems, these records may be important in documenting the system itself as well as the implementation process. Contact the State Archives for additional advice.

b Background materials used in preparing feasibility and implementation reports and studies, preliminary maps, and detailed statistical and other supplementary data accompanying reports and studies:
RETENTION: 6 years after completion of project

c Records relating to establishment of road/street names, address ranges and addresses, including changes in names of roads/streets and address range changes, including standards followed for naming, addressing and address conversions:
RETENTION: PERMANENT

d Aerial photographs and final maps created in conjunction with system implementation:
RETENTION: PERMANENT

Computer-Aided Dispatch (CAD)

1179 CO2 923, MU1 789, MI1 797
Computer-aided dispatch (CAD) or incident data file,
containing data on each call received and equipment dispatch or other resulting action taken:

RETENTION: 3 years
NOTE: In some automated systems no MSAG data file exists, and the CAD or incident data file assumes this function. In these cases local governments should consider maintaining this record as a perpetual data file, and 1 year after replaced by superseding data file. Incidents involving minors, casualties, serious injuries, homicides, fires which are incendiary in nature or under investigation, or unsolved law enforcement cases, may necessitate retention of data relating to these incidents longer for potential or ongoing legal needs. Contact the State Archives for additional advice.

1180 CO2 531, MU1 494, MI1 431
Emergency call receipt and/or equipment dispatch record,
including but not limited to police or fire incident report or alarm report, generated each time an alarm or call is received and equipment is dispatched or other resulting action taken

a When record contains no information on emergency medical treatment of an individual:
RETENTION: 3 years
NOTE: Incidents involving minors, casualties, serious injuries, homicides, fires which are incendiary in nature or under investigation, or unsolved law enforcement cases, may necessitate retention of data relating to these incidents longer for potential or ongoing legal needs. Records custodians may wish consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential longer legal value. Contact the State Archives for additional advice.

b When record contains information on emergency medical treatment of an individual:
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

1181 CO2 924, MU1 790, MI1 798
Geographic Information System (G.I.S.) records used in emergency dispatch process

a Street, road right-of-way, road centerline, hydrant, tax parcel or other data layer

(official copies maintained and/or updated by dispatching unit):

RETENTION: Maintain as perpetual data files, and 1 year after superseded

b Street, road right-of-way, road centerline, hydrant, tax parcel or other data layers (other than official copies, where official copy is maintained by other unit of local government which maintains the G.I.S.):

RETENTION: 0 after no longer needed

c G.I.S. file and process documentation records, covering G.I.S. operations where dispatch unit creates, revises or performs analyses on data layers and related files:

RETENTION: Maintain until G.I.S. system used in dispatch is superseded or no longer used.

1182 CO2 532, MU1 495, MI1 432

Communications log

(radio, telephone, alarm or other) recording each communication between caller and receiving unit or between dispatch unit and mobile unit or field personnel, for law enforcement agency, fire department or district, emergency medical or central emergency dispatch unit:

RETENTION: 3 years after last entry

NOTE: Local governments should consult their attorney or counsel before these records are disposed of regarding any potential legal value.

1183 CO2 533, MU1 496, MI1 433

Recording of communications

kept by dispatch unit of law-enforcement agency, fire department or district, emergency medical service or central emergency dispatch unit:

RETENTION: 0 after information posted to emergency call receipt and/or equipment dispatch record

NOTE: Records custodians may wish to consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential legal value. The State Police suggests that these tapes be retained for at least 30 days if economically feasible. Recordings of serious incidents may warrant longer retention for legal reasons. These tapes should be retained until legal action is resolved, or the relevant specific communications should be transferred onto a separate tape. Contact the State Archives for additional advice.

1184 CO2 925, MU1 791, MI1 799

Call receipt and dispatch related reports,

other than individual incident reports

a Incident data files submitted to New York Department of State:

RETENTION: 2 years

b Summary data reports and detailed reports containing information of potential legal or fiscal value:

RETENTION: 6 years

c Internal information reports of no legal or fiscal value, such as daily activity reports:

RETENTION: 0 after no longer needed

Public Safety: General

NOTE: Software and software manuals and documentation are not considered "records" under the Local Government Records Law. Local governments may need, however, to retain older versions of software, as well as relevant manuals and documentation, to document the operation of public safety related systems for legal purposes, such as defending the integrity of systems in court actions. Contact your counsel or attorney for advice in this area prior to destroying outdated software and related documentation.

♦ **NOTE:** Child seat inspection records are covered by item no. 1091 in the Transportation and Engineering section.

♦ **1185** CO2 572, MU1 534, MI1 471

Accreditation records for law enforcement, fire fighting or prevention or emergency medical services agency or unit

a Assessment reports, annual compliance surveys (compliance reports), standard compliance reports, and other correspondence:
RETENTION: 10 years

b Contents of file folders used to demonstrate compliance with the program, provided they are copies:
RETENTION: 0 after accreditation period ends or is renewed

1186 CO2 926, MU1 792, MI1 800

Emergency vehicle, apparatus and equipment records

NOTE: Items covering purchase, warranty, repair, fuel use, and replacement are found in the Public Property and Equipment section.

a Vehicle upkeep and use records, including records of incidents where vehicle responded and equipment was used:
RETENTION: 3 years

b Vehicle readiness checklist, or equivalent record, for any emergency vehicle, needed to ensure that necessary equipment and material is in place and in proper order:
RETENTION: 3 years

c Record of equipment (other than firearms) issued to public safety personnel:
RETENTION: 1 year after equipment returned or otherwise disposed of

♦ **1187** CO2 535, MU1 498, MI1 435

Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,
but excluding emergency medical personnel

a Individual's record of courses attended and/or completed, including basic information on course content:
RETENTION: 6 years after individual leaves service
NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

b Training materials, which address core law enforcement, firefighting, or dispatch activities:
RETENTION: 40 years

c Training materials, which address general public safety issues or non-core law enforcement activities:
RETENTION: 1 year

d Division of Criminal Justice Services training materials:
RETENTION: 0 after no longer needed

e Attendance lists:
RETENTION: 1 year

1188 CO2 927, MU1 793, MI1 801

Alarm records

a Permit files for connecting fire, water or burglar alarm to public safety agency emergency telephone system, including applications, copies of permits, inspection reports and related records:
RETENTION: 6 years after denial, expiration or renewal

b Alarm or fire alarm box call record containing basic information on each alarm transmitted:
RETENTION: 3 years

c False alarm records, including but not limited to lists of false alarms, notices sent to property owners and records of assessing and collecting fines for responses to false alarms:
RETENTION: 6 years

d Alarm location records, including maps and listing and descriptions of alarms:
RETENTION: 3 years after superseded or obsolete

1189 CO2 928, MU1 794, MI1 802

Public safety personnel service data file

or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities

NOTE: This item does not cover the personnel records of officer, employee or volunteer. See the Personnel/Civil Service section of this schedule.

a Summary data on an individual:
RETENTION: 3 years

b Detailed data on an individual, when posted to or listed on summary data file or other record:

RETENTION: 1 year

c Detailed data on an individual, when not posted to or listed on summary data file or other record:

RETENTION: 3 years

1190 CO2 929, MU1 795, MI1 803

Public safety real property data file,

containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties

a Basic or "history file" data:

RETENTION: Maintain as updated perpetual data file, for as long as system remains in use and property covered comes under service area

NOTE: Local governments should consider permanent retention of the basic data elements of these property "history" files for all parcels of property, or the creation and permanent retention of "snapshots" of this data. This information may be useful for long-range planning purposes, and for community, urban planning, public safety issues, and other research. Contact the State Archives for additional advice.

b Detailed data, including plans and computer-assisted design records:

RETENTION: 0 after superseded or obsolete

c Records of updates and corrections to property data:

RETENTION: 3 years after update or correction made

1191 CO2 1061, MU1 919,

Wild animal notification records,

consisting of annual notifications as defined pursuant to Section 209-cc of General Municipal Law

a Notifications received by municipal clerks from persons owning, harboring, or possessing wild animals:

RETENTION: 4 years

b Notifications sent from municipal clerks to public safety agencies:

RETENTION: 1 year or when superseded

1192 CO2 930, MU1 796, MI1 804

Documentation of macros, queries, and reports

a Relating to specific case investigation or subject file:

RETENTION: Retain as long as the case investigation or subject file for which the documentation is created is retained

b Not relating to specific case investigation or subject file:

RETENTION: 0 after no longer needed

NOTE: Depending on the results obtained from generating these macros, queries and reports, local officials may wish to retain these records for potential legal and other uses.

1193 CO2 931, MU1 797, MI1 805

Hazardous materials records

a Hazardous materials location report or exemption filed with fire department or district, or equivalent record:

RETENTION: 3 years after hazardous materials no longer stored at site

NOTE: Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, 29 CFR (federal O.S.H.A. Regulations).

b Textual reference information containing medical, chemical or other information used to assist dispatchers and responding personnel, and maps of agency/service coverages:

RETENTION: 3 years after superseded or obsolete

c Reports on hazardous materials found in the service area in its entirety, or at specific locations:

RETENTION: 3 years after hazardous materials listed in report are no longer present at listed sites

NOTE: Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, 29 CFR (federal O.S.H.A. Regulations). In addition, if these reports document the presence of hazardous materials in a community at a given time, they should be appraised for historical significance. These records may have immediate significance for fire fighting and disaster prevention and long-term research value in situations where the hazardous materials found in the area had a significant impact on the community. Contact the State Archives for additional advice.

1194 CO2 932, MU1 798, MI1 806

Standard Operating Procedures

for call receipt and dispatch, including codes, abbreviations and authority file:

RETENTION: PERMANENT

NOTE: Detailed routine procedures are covered by item no. 52 in the General Administration section.

1195 CO2 933, MU1 799, MI1 807

Reference files on municipalities, districts and volunteer entities

in service or neighboring areas:

RETENTION: 0 after superseded or obsolete

NOTE: Appraise these records for historical significance prior to disposition. These records may have long-term historical value in documenting emergency services in a given area. Contact the State Archives for additional advice.

♦ 1196

Community outreach and education program records,

including but not limited to those for drug and alcohol prevention, citizen/youth police academy, neighborhood watch and other crime prevention, and youths. Records include official copy of publications, recordings, or informational literature prepared for public

distribution, training materials, participant applications and supporting documentation:

RETENTION: 6 years

♦ **1197**

Ride-along program records,
including applications to participate, waivers of liability, and criminal background check results:

RETENTION: 3 years

Emergency Medical Services

1198 CO2 934, MU1 800, MI1 808

Patient care records

a Ambulance run or prehospital care record created each time a patient is transported by emergency vehicle and/or administered medical treatment:

RETENTION: 6 years, or 3 years after individual treated and/or transported reaches age 18, whichever is longer

b Patient care data file, containing medical treatment and/or billing information on individual treated by emergency medical personnel:

RETENTION: 6 years, or 3 years after individual treated and/or transported reaches age 18, whichever is longer

c Summary record of all patients treated and/or transported:

RETENTION: 3 years

1199 CO2 540, MU1 503, MI1 440

Ambulance run or emergency medical treatment chronological log,
or equivalent record:

RETENTION: 6 years after last entry

1200 CO2 541, MU1 504, MI1 441

Emergency medical training records,
covering local government employees who receive training

a Application for training or certification filed by individual:
RETENTION: 6 months

b Original entry training records, when posted to summary record:
RETENTION: 1 year

c Original entry training records, when not posted to summary record:
RETENTION: 7 years

d Summary record of training:
RETENTION: 7 years
NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

e Course materials, except final or annual reports:
RETENTION: 7 years after course completed

1201 CO2 935, MU1 900, MI1 809
Emergency medical training records,
covering local governments which are course sponsors, including but not limited to information on individuals, course files, and information on instructors, as required by Section 800.20, 10NYCRR

a Information on individuals and course files:
RETENTION: 5 years

b Information on instructors:
RETENTION: 5 years after working association of each instructor cease

1202 CO2 936, MU1 801, MI1 810
Rescue and disaster response reports
and related records, covering specific incidents:

RETENTION: 3 years, but not until 3 years after any minor involved attains age 18

NOTE: Specific rescue and disaster response records should be appraised for historical value, and may warrant permanent retention, based on the serious nature of the incident involved. These records may not be duplicated in disaster response files, covered by item no. 146 in the Civil Defense/Disaster Preparedness section. Contact the State Archives for additional advice.

1203 CO2 937, MU1 802, MI1 811
Emergency medical services reports,
containing information on such subjects as specific types of medical emergencies, types of supplies used, and call frequency

a Reports containing billing information:
RETENTION: 7 years

b Reports not containing billing information:
RETENTION: 1 year

c Summary data received from New York State Department of Health:
RETENTION: 0 after no longer needed

Fire Fighting and Prevention

1204 CO2 542, MU1 505, MI1 442
Blotter
or equivalent record providing summary information on all significant activities of a fire department or district:

RETENTION: PERMANENT

1205 CO2 543, MU1 506, MI1 443

Log,
journal, or similar chronological record of all activity at a fire station:
RETENTION: 3 years after date of most recent entry

1206 CO2 544, MU1 507, MI1 444
Fire department or district incident listing or report,
received from or sent to New York State Division of Homeland Security and Emergency Services (Office of Fire Prevention and Control)

a When blotter or equivalent record is not kept by department or district:
RETENTION: PERMANENT

b When incidents listed on printout are also shown on blotter or log:
RETENTION: 0 after no longer needed

c County fire coordinator's, marshal's or emergency services director's information copy:
RETENTION: 0 after no longer needed

1207 CO2 545, MU1 508, MI1 445
Reports on fire-fighting activity,
not including incident reports

a Reports dealing with serious incidents or problems, or major issues with long-term implications, such as covering overall status of fire-fighting apparatus, equipment and facilities, fire-fighting readiness capability and personnel performance evaluation, and fire casualty reports:
RETENTION: PERMANENT

b Reports on routine activities, including but not limited to daily activity report, daily communications report, false alarm investigation report, and other periodic report, which contain information of legal or fiscal value:
RETENTION: 6 years

c Reports on routine activities, which do not contain information of legal or fiscal value, and reports which contain information duplicated in reports covered by part "a" or part "b," above:
RETENTION: 0 after no longer needed

d Informational reports received from county fire coordinator:
RETENTION: 0 after no longer needed

1208 CO2 546, MU1 509, MI1 446
Fire investigation records

a First, second or third degree arson investigation records, disaster or casualty investigation records, or records of investigations of major fires or significant fires of suspicious origin:
RETENTION: PERMANENT

b Fourth degree arson investigation records:
RETENTION: 10 years

c Routine fire investigation records, not covered by parts "a" or "b," above,

including fifth degree arson investigation records:
RETENTION: 3 years

d Master summary record of all fire investigations:
RETENTION: PERMANENT

♦ **1209**

Burn injury reports
(cases of victims that sustain substantial 2nd and 3rd degree burns) that medical officials submit to the New York State Office of Fire Prevention and Control:

RETENTION: 0 after no longer needed

1210 CO2 547, MU1 510, MI1 447

Fire mutual aid plan

a Final plan, including maps and other attachments:
RETENTION: PERMANENT

b Background materials and supporting documentation used in producing final plan:
RETENTION: 3 years after final plan completed

1211 CO2 548, MU1 511, MI1 448

Fire safety inspection records

a Master summary record of inspections performed:
RETENTION: PERMANENT

b Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:
RETENTION: 21 years

c Report on inspection of single family dwelling and notice of violation:
RETENTION: 6 years

1212 CO2 549, MU1 512, MI1 449

Fire evacuation plan, disaster response plan, fire drill report, fire safety survey, but not including mutual aid plan:

RETENTION: 3 years after superseded or obsolete

1213 CO2 550, MU1 513, MI1 450

Fire hydrant records

a Master record of hydrant locations:
RETENTION: 0 after superseded

b Installation, repair, location, maintenance, inspection and replacement records:
RETENTION: 3 years after hydrant replaced, removed or use discontinued

1214 CO2 553, MU1 516, MI1 453

Copies of volunteer department or organization fund-raising records, maintained by municipality or fire district:

RETENTION: 6 years

1215 CO2 938, MU1 803, MI1 812

Controlled burn records,
covering legally approved burning of leaves and debris permitted by fire department or district:

RETENTION: 3 years

♦ Length of Service Award Program for Volunteer Firefighters and Volunteer Ambulance Workers

NOTE: Annual reports of the Length of Service Award Program are covered by item 23 in the General Administration section.

♦ **1216** CO2 555, MU1 517, MI1 454

Length of Service Award Program (LOSAP),
including plan document, trust document, summary of provisions, adoption agreement, point system, and similar documents

a Benefit plan (including all revisions and amendments):
RETENTION: 0 after superseded and no longer needed to determine benefits

b Drafts and supporting documentation used in producing and updating plan:
RETENTION: 1 year

♦ **1217** CO2 556, MU1 518, MI1 455

Annual list of volunteers
who qualify for a year of service credit under Length of Service Award Program (LOSAP) received from third party administrator:

RETENTION: 0 after superseding report received

1218 CO2 557, MU1 519, MI1 456

Summary records of volunteers
listing points earned and providing breakdown of types of services and how points earned under Length of Service Award Program (LOSAP)

a Annual summary report or listing:
RETENTION: 55 years

b Monthly or other periodic reports or listings:
RETENTION: 3 years

♦ **1219** CO2 558, MU1 520, MI1 457

Length of Service Award Program (LOSAP) records relating to individual volunteer

a Records showing points earned and providing breakdown of types of services and how individual earned points:

RETENTION: 6 years after individual leaves service or program terminated

b Copy of individual participant statements received from third party administrator:
RETENTION: 6 years after individual leaves service or program terminated

c Copy of forms completed for participation including applications, enrollment forms, or similar documents and related records:
RETENTION: 6 years after individual leaves service or program terminated

d Beneficiary designation records:
RETENTION: 0 after superseded or obsolete or contributions paid

e Records relating to individual's challenge to plan's, department's or district's assignment or of number of points earned:
RETENTION: 3 years after appeal concluded or other disagreement otherwise resolved

Law Enforcement: General

♦ **1220** CO2 559, MU1 521, MI1 458
Incident, complaint, or arrest summary record or log
containing a summary of activities, when records or data are not submitted to the New York State Division of Criminal Justice Services (DCJS):
RETENTION: PERMANENT
NOTE: Copies of records or data submitted to DCJS are covered under item no. 1221 below. Most pre-1950 records have historical value.

1221 CO2 567, MU1 529, MI1 466
Law enforcement reports, studies or data queries,
including their documentation

a Reports, studies or queries having legal or fiscal value, such as reports covering use of equipment and personnel resources, reports on crime in specific neighborhoods, reports based on the Clery Act, or on specific kinds of criminal activity:
RETENTION: 6 years
NOTE: Appraise records covered by part "a" for archival value. Reports and studies analyzing law enforcement activity within a municipality for specific kind of criminal activity or a given area may be valuable for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

b Reports, studies or queries having no legal or fiscal value, such as daily communications or other routine internal reports:
RETENTION: 0 after no longer needed

c Uniform Crime Reports submitted to State Division of Criminal Justice:
RETENTION: 1 year

d Incident-based reports or queries:
RETENTION: 3 years

e Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (local law enforcement agency copy):

RETENTION: 0 after no longer needed

NOTE: Appraise records covered by parts "e" and "f" for archival value. Reports and studies analyzing law enforcement activity within a municipality or specific area may be valuable for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

f Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (copy retained by county or regional creating agency):

RETENTION: 3 years

♦ **1222** CO2 561, MU1 523, MI1 460

Case investigation record

for adult, juvenile offender, youthful offender or juvenile delinquent, including but not limited to complaint, investigation report, arrest report, property record, court order, and disposition of the case

NOTE: Classification of a case investigation record should be based on the case's final disposition (the crime or offense an individual is convicted of or pleads to). A case may be closed if it results in prosecution and appeals are exhausted, it results in a settlement, it results in no arrest, or when restitution is no longer sought.

a For homicides, suicides, arson (first, second or third degree), missing persons (until located), aggravated sexual assault (first degree), course of sexual conduct against a child (first degree), active warrants, and stolen or missing firearms (until recovered or destroyed):

RETENTION: PERMANENT

b For all felonies except those covered by parts "a" and "c", and fatalities other than homicides:

RETENTION: 25 years after case closed

NOTE: Appraise case investigation files for these felonies for historical and other research value, as well as for analysis of long-term trends. Contact the State Archives for additional advice.

c For fourth degree arson and non-fatal (including vehicular) accidents:

RETENTION: 10 years after case closed

d For misdemeanor:

RETENTION: 5 years after case closed

e When offense involved was a violation or traffic infraction:

RETENTION: 1 year after case closed

f When investigation reveals no offense has been committed by adult:

RETENTION: 5 years

g When individual involved was a juvenile and no arrest was made, or no offense was committed:

RETENTION: 1 year after individual attains age 18

h Domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when case investigation record is created:

RETENTION: Retain for 4 years or as long as rest of case investigation report, whichever is longer.

i For sexual offenses against a child as defined by the Child Victims Act, excluding sexual offenses in part "a" above:

RETENTION: 0 after child attains age 55

1223 CO2 939, MU1 804, MI1 813

Master summary record of case investigation information:

RETENTION: 0 after no longer needed to access case investigation records

NOTE: Appraise this record for archival value. This record may supplement the incident data summary record in providing summary information on all case investigations conducted by the law enforcement agency. Contact the State Archives for additional advice.

♦ **1224** CO2 562, MU1 524, MI1 461

Individual identification file,

except jail or penitentiary prisoner case record, including but not limited to fingerprint cards, photographs, record sheets from other agencies, local arrest and disposition records, and miscellaneous reports

NOTE: Section 160 of the Criminal Procedure Law requires that individual identification records be returned to the individual involved or destroyed when criminal actions are terminated in favor of the accused or by conviction for a noncriminal offense.

a When offense involved was a crime (misdemeanor or felony):

RETENTION: 5 years after death of individual, or 90 years after individual's date of birth, whichever is shorter, provided no arrest in the last 5 years

NOTE: Records created before establishment of the D.C.J.S. statewide automated identification system in 1966 are not duplicated at the state level and should be appraised for both archival value and ongoing legal and administrative purposes. Contact the State Archives for additional advice.

b When offense involved was a violation or traffic infraction:

RETENTION: 5 years

c Digital "mug shot" file, containing digital photos and relevant accompanying data on an individual, when official copies of photos are retained in hard copy as part of part "a" or "b," above:

RETENTION: 0 after no longer needed

NOTE: Digital "mug shot" file, containing digital photos and relevant accompanying data on an individual, when official copies of photos are not retained in hard copy, must be retained as specified in part "a" or "b," above. Appraise these digital files for archival, legal and administrative value. They may have long term value in criminal investigation. Contact the State Archives and the

Division of Criminal Justice Services for additional advice.

d Fingerprint records, born-digital or scanned, transmitted to the Division of Criminal Justice Services:

RETENTION: 0 after no longer needed

e Photo arrays, created by combining identification photos for identification and investigative purposes:

RETENTION: Retain as long as relevant case investigation record.

f Criminal record summaries ("rap sheets"), received from Federal Bureau of Investigation or other law enforcement agency:

RETENTION: Retain most current copy as long as relevant case investigation, or 0 after superseded or obsolete if unrelated to case investigation

g Authorized requests for criminal information contained in local government law enforcement agency records, along with response and record of action taken:

RETENTION: 6 years

h When offense involved was a crime committed by a juvenile, other than a Class A or B felony, and no subsequent crime committed:

RETENTION: 0 after individual attains age 21 or 3 years after discharge, whichever is later

♦ **1225** CO2 940, MU1 805, MI1 814

Personal information data file

a Data on criminals and suspects:

RETENTION: Retain data for 5 years after death of individual, or 90 years after individual's date of birth, whichever is shorter, provided no arrest in the last 5 years

b Data on associated persons, such as victims, relatives and witnesses:

RETENTION: Retain data as long as, or information as part of, relevant case investigation record.

c Documentation of updates and changes to data:

RETENTION: Retain as long as data which has been changed or updated.

d Trouble and discrepancy reports regarding personal information data:

RETENTION: 3 years

1226

Request for personal information from New York State Department of Motor Vehicles (DMV),

including driver's license photo:

RETENTION: 5 years

♦ **1227** CO2 941, MU1 806, MI1 815

County- or region-wide arrest information cumulative data file,

covering county- or region-wide area:

RETENTION: Maintain as perpetual data file, and 3 years after replaced by superseding file

1228 CO2 942, MU1 807, MI1 816

Profiling reports and related records,

including macros, workspaces or other files (including all documentation) created in profiling process

a Relating to specific case investigation:
RETENTION: Retain as long as relevant case investigation record

b Not relating to specific case investigation:
RETENTION: 0 after obsolete

1229 CO2 1062, MI1 914

Confidential informant records,

maintained separately from confidential informant information contained in case investigation records

a Master index or listing of confidential informants:
RETENTION: PERMANENT

b Detailed information on confidential informant:
RETENTION: 0 after individual is deceased or 90 years after individual's date of birth

Law Enforcement: Personal Property

1230 CO2 563, MU1 525, MI1 462

Personal property record

a For dangerous weapon, including but not limited to receipt, identification tag, and report of destruction:
RETENTION: 6 years after disposition of property, or 0 after disposition of any related case investigation records, whichever is longer
NOTE: Local law enforcement officials may wish to retain these records longer for investigative or other long-term administrative purposes. See also item no. 1236, below.

b For other property, including but not limited to receipt, confiscated currency report, identification tag, and report of public auction or destruction:
RETENTION: 6 years after disposition of property

1231 CO2 566, MU1 528, MI1 465

Identification records for an individual person or for number-engraved property

a Personal identification card for an individual, including Sheriff ID, copies of child fingerprint records and records of distribution of child identification kits:
RETENTION: 0 after no longer needed
NOTE: Local governments should consult with their legal counsel to determine if these records merit continuing retention due to their legal value or for law enforcements purposes, such as in locating and identifying missing children.

b Property number assignment register:
RETENTION: 0 after obsolete

c Identification/validation records for missing or stolen property, license plates, licenses, registrations or ID cards (if not part of case investigation records):
RETENTION: 0 after no longer needed

1232 CO2 570, MU1 532, MI1 469
Pawn shop records,
including lists of pawn shops, purchase and sale reports and reports on stolen
RETENTION: 5 years

1233 CO2 589, MU1 550, MI1 487
Bicycle licensing or registration record

a When a fee is charged:
RETENTION: 6 years after expiration or renewal

b When no fee is charged:
RETENTION: 1 year after expiration or renewal

Law Enforcement: Firearms

♦ **1234** CO2 592, MU1 553, MI1 490
Firearm licensing (pistol permit) file,
including application for license to sell, carry, possess, repair and dispose of firearms, amendments, transfers, and supporting records such as affidavit of character reference, criminal history and mental health check, fingerprint record, and verification of reason for license.

a When application is approved:
RETENTION: 6 years after license was renewed, recertified, canceled, revoked, or expired, or after individual is known to have deceased or reached age 90
NOTE: Freedom of Information exemption requests are covered by item no. 707 in Public Access to Records section.

b When application is disapproved, after any litigation is completed:
RETENTION: 6 months

c When application is incomplete:
RETENTION: 90 days

1235 CO2 593, MU1 554, MI1 491
Individual firearm purchase record:
RETENTION: 6 years

1236 CO2 594, MU1 555, MI1 492
Certificate of nondestruction of, or notice of intent to destroy, weapon or dangerous instrument, appliance, or substance,

including results of New York State Police files search:

RETENTION: 6 years after disposition of property, or 0 after disposition of any related case investigation records, whichever is longer

NOTE: See also item no. 1230, above.

1237 CO2 596, MU1 557, MI1 494
Records of issuance of firearms or other weapons to law enforcement personnel:

RETENTION: 3 years after return or other disposition of weapon

1238 CO2 597, MU1 558, MI1 495
Repair and maintenance records for firearms or other weapons used by law enforcement personnel:

RETENTION: 3 years after weapon no longer in use

1239 CO2 943, MU1 808, MI1 817
Record of stolen or missing firearms:

RETENTION: 0 after all firearms are located or destroyed

Law Enforcement: Motor Vehicles (including watercraft)

♦ **NOTE:** A case may be closed if it results in prosecution and appeals are exhausted, it results in a settlement, it results in no arrest, or when restitution is no longer sought.

♦ **1240** CO2 583, MU1 544, MI1 481
Traffic and parking violation records,
including parking, speeding or other appearance ticket (other than court's copy); officer's supporting deposition; parking violation hearing records; "boot and tow" records; and related records:

RETENTION: 3 years after case closed

♦♦ **1241** CO2 587, MU1 548, MI1 485
Traffic enforcement camera and speed-timing records

a Original record produced by camera, radar or other speed-timing device, except license plate reader records:
RETENTION: 2 years after case closed

b License plate reader data:
RETENTION: 1 year

c License plate reader hits on hot list data from the eJusticeNY Integrated Justice Portal:
RETENTION: Retain as long as the case investigation to which the hit relates is retained

d Records of use of camera or speed-timing, such as radar activity log and reports

of speed or traffic enforcement monitoring:

RETENTION: 3 years

NOTE: These records may have long-term value in transportation planning, in providing information on average and excessive speeds for specific road segments.

e Calibration and other quality control and testing records for speed-timing devices and traffic enforcement cameras:

RETENTION: 3 years after device no longer in use

♦ **1242** CO2 584, MU1 545, MI1 482

Vehicle accident case record,

including vehicle accident report and related records, after case closed:

RETENTION: 6 years, or 3 years after youngest individual involved attains age 18, whichever is longer

NOTE: This item does not cover the case investigation record. See item no. 1222, above.

1243 CO2 585, MU1 546, MI1 483

Vehicle history files,

including information on specific vehicles or vehicle models, including those which have been involved in accidents or used in the commission of crimes:

RETENTION: 0 after no longer needed

1244 CO2 586, MU1 547, MI1 484

Individual's driving and accident records

a Order, report, or notice concerning vehicle operator's license or registration, including but not limited to order of suspension or revocation of license, notice of compliance with order of suspension or revocation, notice of noncompliance, notice of restoration of license, and report of lost or stolen plates:

RETENTION: 3 years

b Driver's summary record of accidents, violations and other activities:

RETENTION: 0 after death of individual, or 90 years after date of birth, if death not verified

1245 CO2 588, MU1 549, MI1 486

Impounded or abandoned vehicle record,

including but not limited to impound report, tow-away notice to owner, request for information to determine the last owner, notice to owner and lien holders that vehicle has been taken into custody as abandoned, affidavit stating how ownership was acquired by municipality, transfer of ownership document, and bill of sale:

RETENTION: 6 years after disposition of vehicle by local government

1246 CO2 590, MU1 551, MI1 488

Reports or other records of repossessed vehicles, not impounded by law enforcement agency:

RETENTION: 1 year

1247 CO2 591, MU1 552, MI1 489
Vehicle towing records

a Lists of companies available for towing vehicles:
RETENTION: 0 after superseded or obsolete

b Contract or agreement with towing firm:
RETENTION: 6 years after expiration or termination

1248 CO2 944, MU1 809, MI1 818
Driver-vehicle examination report or equivalent record,
created when local law enforcement agency conducts motor carrier safety inspection:
RETENTION: 7 years

1249 CO2 945, MU1 810, MI1 819
Motor vehicle accident and other summary data,
reports and other records:
RETENTION: 6 years
NOTE: Appraise these records for archival value. These records may be useful in providing summary information on all motor vehicle accidents, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.

Law Enforcement: Incarceration

♦ **NOTE:** Video and audio recordings used for security purposes are covered by item 846 in the Public Property and Equipment section.

1250 CO2 576, MU1 537, MI1 474
Master summary record of all prisoners,
including "daily record of the commitments and discharges of all prisoners," including date of entrance, name, offense, term of sentence and other information required by Section 500-f, Correction Law:
RETENTION: PERMANENT

1251 CO2 946, MU1 811, MI1 820
Prisoner data file:
RETENTION: Maintain data for each prisoner 15 years after death or discharge of that prisoner
NOTE: If this record takes the place of the master summary record (item no. 1250, above) then it must be retained permanently.

1252 CO2 577, MU1 538, MI1 475
Prisoner case record

a Case records, including but not limited to commitment, general information history, presentence investigation reports, record sheets from other agencies, record of personal property taken from prisoner upon commitment, record of letters written and received, copies of general correspondence concerning prisoner, reports of infractions of rules, prisoner's health records, and suicide prevention screening records, but not including commissary records:

RETENTION: 15 years after death or discharge of prisoner

b Commissary records, including listing of items requested by prisoner, and prisoner transaction record:

RETENTION: 3 years

1253 CO2 578, MU1 539, MI1 476

Facility housing supervision records, including prisoners' activities log,
including such information as identities of visitors, prisoners' phone calls and mail, and records of visits to cells by officers checking on condition of prisoners:

RETENTION: 3 years

1254 CO2 579, MU1 540, MI1 477

Prisoners' periodic work report
listing names of prisoners by work assignments:

RETENTION: 3 years after all prisoners listed have been discharged

1255 CO2 580, MU1 541, MI1 478

Complaint or incident report involving alleged prisoner abuse, injury, or similar occurrence
showing description of the problem, identifying the individuals involved and stating the action taken, after any litigation has been completed:

RETENTION: 6 years, or 0 after individual involved attains age 21, whichever is longer

1256 CO2 581, MU1 542, MI1 479

Inspection, audit and other reports or studies,
conducted by New York State Commission of Correction or other state or local agency, covering such subjects as jail conditions, compliance with state standards, and prisoner fatalities:

RETENTION: 6 years

NOTE: Appraise these records for archival value. Local officials should retain permanently any reports or studies documenting serious incidents or problems. Contact the State Archives for additional advice.

1257 CO2 582, MU1 543, MI1 480

Reports relating to local correctional facility or lock-up

a Reports containing legal and fiscal information:

RETENTION: 6 years

NOTE: Appraise these records for archival value. Reports and studies analyzing facility prisoners, occupancy or conditions may be useful for long-term planning,

analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.

b Reports of short-term internal administrative value:
RETENTION: 0 after no longer needed

1258 CO2 947, MU1 812, MI1 821
Population counts, including daily census of prisoners:

RETENTION: 3 years

1259 CO2 948, MU1 813, MI1 822
Visitation records,
including schedule of visits and visitor identification information:

RETENTION: 3 years

1260 CO2 949, MU1 814, MI1 823
Dietary services records

a Food service records, including meal counts, roster of prisoners' diet orders, and dietary services studies:
RETENTION: 3 years

b Menus:
RETENTION: 1 year

1261 CO2 950, MU1 815, MI1 824
Health and sanitation inspection and related records,
including records of action taken to correct any problems:

RETENTION: 6 years

1262 CO2 951, MU1 816, MI1 825
Review and censorship records for incoming printed materials and publications,
including evaluations by staff and suitability determinations:

RETENTION: 3 years

1263 CO2 952, MU1 817, MI1 826
Prisoner exercise records,
including schedule of exercise periods, results of exercise area searches and explanation of any limitations of exercise:

RETENTION: 3 years

1264 CO2 953, MU1 818, MI1 827
Application of change in maximum facility capacity,
including determination from New York State Commission of Correction, facility staffing determinations, and related records:

RETENTION: 3 years after superseded by subsequent change in capacity

1265 CO2 954, MU1 819, MI1 828
Substitute jail order

issued by New York State Commission of Correction, authorizing the confinement of some or all prisoners in another correctional facility, and related records:

RETENTION: 3 years
NOTE: Appraise these records for archival value. These records may provide important information on conditions at the correctional facility which warrant the moving of prisoners to another facility. Contact the State Archives for additional advice.

Law Enforcement: Miscellaneous

1266 CO2 560, MU1 522, MI1 459

Warrant execution and subpoena or summons service records

a Original signature copies of arrest and other warrants executed by law enforcement agency:

RETENTION: 5 years after warrant executed or recalled

b Other warrant related records, including copies without original signatures and warrant control records:

RETENTION: 5 years after date of most recent entry in record

c Copies of subpoenas and summonses, and records of their service:
RETENTION: 2 years

d Warrant information file:
RETENTION: Maintain data on each warrant as long as that warrant is valid

1267 CO2 955, MU1 820, MI1 829

Domestic violence records,
covering single or multiple incidents, not relating to specific case investigation records, including domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when no case investigation record is created:

RETENTION: 4 years

♦ **1268** CO2 573, MU1 535, MI1 472

Alcohol and drug testing records

a Results of tests administered by law enforcement personnel, when not included in case investigation records:

RETENTION: 5 years

b Records pertaining to the verification and maintenance (including calibration) of breath analysis instruments and standards, including but not limited to operator's form, testing data, solution sample certifications, and operational checklist:

RETENTION: 3 years after device no longer in use

c Calibration, quality control, and testing records for other types of equipment:
RETENTION: 3 years after device no longer in use

1269 CO2 564, MU1 526, MI1 463

Escort service record,
including activities such as funeral, parade, military escort, escorting prisoner to and from court or jail, and delivery of blood to hospital:

RETENTION: 3 years

1270 CO2 565, MU1 527, MI1 464
Vacant place check record,
including vacant houses and other places to be checked during patrols:

RETENTION: 0 after obsolete

♦ **1271**
Criminal background check records
for checks performed at the request of another agency or business for volunteer or employment purposes:

RETENTION: 3 years

♦ **1272**
Bicycle helmet inspection records,
including checklists:

RETENTION: 3 years

1273 CO2 568, MU1 530, MI1 467
Alcoholic beverage establishment sale and use reports,
including checks of New York State Division of Alcoholic Beverage Control (ABC) violations:

RETENTION: 5 years

1274 CO2 569, MU1 531, MI1 468
Parolee and sex offender records

a Lists of parolees or sex offenders living within a jurisdiction:
RETENTION: 0 after superseded or obsolete

b Detailed records on individual parolee or sex offender:
RETENTION: 0 after person's parole terminated
NOTE: This does not include records created pursuant to the Sex Offender Registration Act, which are covered by item nos. 1275 and 1276, immediately below.

1275 CO2 956, MU1 821, MI1 830
Subdirectory of High-Risk (Level 3) Sex offenders:

RETENTION: 0 after superseded
NOTE: The Division of Criminal Justice Services (DCJS) strongly recommends the destruction of superseded information as soon as superseding information is received.

1276 CO2 957, MU1 822, MI1 831
Sex offender registration records,

including but not limited to official notification upon registration, change of address information, determination of final risk level, notification of error or change in jurisdiction, notification that offender is no longer registerable, annual address verification, 90-day personal verification (for level 3 offenders), and community notification information

a For level 1 or 2 offender, when offender remains in local law enforcement agency's jurisdiction:

RETENTION: 0 after death of individual, or 5 years after completion of registration period, whichever is earlier

b For level 1 or 2 offender, when offender has left local law enforcement agency's jurisdiction:

RETENTION: 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier

c For level 3 offender, when offender remains in local law enforcement agency's jurisdiction:

RETENTION: 0 after death of individual, or individual attains age 100

d For level 3 offender, when offender has left local law enforcement agency's jurisdiction:

RETENTION: 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier

♦ **1277** CO2 571, MU1 533, MI1 470

Missing person records

where another has jurisdiction in the case:

NOTE: Records of lead agency are covered by the case investigation records item

a When person not found:
RETENTION: 0 after individual attains age 90

b When person is found:
RETENTION: 1 year

c Validation records, received from and submitted to Division of Criminal Justice Services:

RETENTION: 6 months

1278 CO2 958, MU1 823, MI1 832

Video or audio recordings of booking or arrest processing

a When litigation and/or criminal proceedings have commenced:
RETENTION: 3 years, but not until any individual has attained age 21, and not until 1 year after any litigation or criminal proceedings have concluded

b When litigation and/or criminal proceedings have not commenced:
RETENTION: 3 years, but not until any individual has attained age 21

1279 CO2 959, MU1 824, MI1 833

Copy of order of protection,

filed with local law enforcement agency having jurisdiction, pursuant to Article 530,

Criminal Procedure Law, and related records

a Copy of order of protection:
RETENTION: 6 months after order expires or otherwise becomes invalid

b List or similar record of orders of protection in effect in local jurisdiction:
RETENTION: Maintain data on each order as long as that order is valid

♦ **1280** CO2 960, MU1 825, MI1 834

Recordings taken from mobile and stationary units,
including but not limited to vehicle cameras, body-worn cameras, and video surveillance

a When recording relates to specific case investigation:
RETENTION: Retain as long as the case investigation to which the recording relates is retained

b When recording does not relate to specific case investigation, such as routine traffic stop:
RETENTION: 6 months
NOTE: Recordings of potentially important incidents may warrant longer retention for legal reasons, even if no case investigation has been initiated. Local law enforcement agencies should carefully review these recordings before destroying or reusing them. In addition, recordings of specific pursuits, arrests and other serious incidents should be appraised for archival or long-term administrative value. Contact the State Archives for advice.

♦ **1281** CO2 575, MU1 536, MI1 473

Child abuse or maltreatment reports
and related records, reporting law enforcement agency copy, when not included in case investigation record

NOTE: This item covers copies of child abuse and maltreatment reports and related records retained by law enforcement agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. If these records are included in case investigation records, see item no. 1222.

a For sexual offenses against a child as defined by the Child Victims Act:
RETENTION: 0 after child attains age 55

b All other offenses:
RETENTION: 3 years

♦ **1282**

Confidential information received, including from tip hotline:

RETENTION: 1 year

1283 CO2 574,

Sheriff's civil action case record,
including but not limited to record of service, collections and disbursements, correspondence, copy of court order and related records

a When money has been paid, when no payment is involved, or when money judgment has not been fully satisfied:
RETENTION: 6 years after date of last entry in record

b Listing or index of cases which have been destroyed:
RETENTION: PERMANENT

c Index or finding aid used in identifying or locating existing cases:
RETENTION: Retain so that all existing cases can be identified and located.

1284 CO2 961,
Facility inmate work crew records,
covering crews from state or county correctional facilities performing work outside the facilities for local government or not-for-profit organization, including but not limited to request for work crew and site visit report

a County correctional facility's copies of records relating to work performed by its prisoners:
RETENTION: 6 years after all prisoners involved were discharged

b County agency copies of records of work performed for them by prisoners from state facilities:
RETENTION: 2 years

1285 CO2 595,
Gun dealer or gunsmith record book
(transaction book):
RETENTION: PERMANENT

1296
Transportation records
for mental health admissions (emergency, voluntary, and involuntary), including notifications to county or municipal health offices:
RETENTION: 3 years

♦ Law Enforcement: NYS Integrated Justice Portal and Related Records

♦ **NOTE:** The New York State Integrated Justice Portal replaced the New York Statewide Police Information Network (NYSPIN).

1286 CO2 962, MU1 826, MI1 835
Lists and posters showing "most wanted" persons, homeland security advisories, and all points bulletins (APBs):
RETENTION: 0 after superseded or no longer needed

1287 CO2 963, MU1 827, MI1 836
Integrated Justice Portal validation records,

including monthly print-out received from New York State Police and related system entry validation records:

RETENTION: 13 months from date report received

1288 CO2 964, MU1 828, MI1 837

Integrated Justice Portal system purging records,

including "purge reports" received from New York State Police and records relating to data reentry:

RETENTION: 0 after any necessary data reentry completed

1289 CO2 965, MU1 829, MI1 838

Integrated Justice Portal message records,

covering any messages sent or received over Integrated Justice Portal:

RETENTION: 0 after no longer needed

NOTE: The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining significant messages as part of case investigation records.

1290 CO2 966, MU1 830, MI1 839

Daily "archive" information

retained in electronic format (on removable electronic media) from Integrated Justice Portal:

RETENTION: 0 after no longer needed

NOTE: The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining archive data as long as may be needed for convenience of reference.

1291 CO2 967, MU1 831, MI1 840

Log of all transactions,

covering all data entry into Integrated Justice Portal:

RETENTION: 0 after no longer needed

NOTE: The State Archives and the State Police strongly recommend that local law enforcement agencies consider retaining electronic logs as long as may be needed for convenience of reference.

1292 CO2 968, MU1 832, MI1 841

Individual person's authorization

to use the Integrated Justice Portal

a Records created by local law enforcement agency, including records of individual's training and acknowledgment of test results:
RETENTION: 0 after individual no longer authorized to use the system

b Listing of authorized individuals, received from State Police:
RETENTION: 0 after no longer needed

1293 CO2 969, MU1 833, MI1 842

Miscellaneous paper records created from predecessor systems:

RETENTION: 0 after no longer needed

RECREATION

Parks, Recreational Programs and Civic Centers

853 CO2 609, MU1 569, MI1 506
Participation, attendance, or enrollment records
for park, recreational facility, camp, civic center, or club

a Summary record or report:
RETENTION: 6 years

b Records of original entry, including worksheets, used admission tickets and ticket stubs:
RETENTION: 6 years, or 1 year after posting to summary record or report, whichever is shorter

c Statement of disposition of unused tickets, when a fee is charged:
RETENTION: 6 years

854 CO2 610, MU1 570, MI1 507
Park, recreational facility, marina, civic center, or club permits,
granted to individual, family, or organization, including but not limited to application, affidavit, and copy of stub or license

a Permit records, when a fee is charged:
RETENTION: 0 after invalid, but not less than 6 years

b Permit records, when no fee is charged:
RETENTION: 0 after invalid, but not less than 1 year

c Lease or rental agreement for marina slip:
RETENTION: 6 years after expiration, termination or denial

d Records of dispensing of fuel or other goods or services at marina:
RETENTION: 6 years

855 CO2 611, MU1 571, MI1 508
Parental consent records
allowing child's participation in recreational activities, including authorization for medical treatment:

RETENTION: 6 years, or 3 years after child attains age 18, whichever is longer

856 CO2 612, MU1 572, MI1 509
Planning and development records
covering such topics as facility construction, improvement and usage:

RETENTION: 6 years
NOTE: Construction records for recreation facilities are covered by item no. 806 in the Public Property and Equipment section. Appraise these records for historical

significance prior to disposition. Final reports and studies, especially for major facilities and significant programs, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

857 CO2 613, MU1 573, MI1 510
Special event file,
including but not limited to official copy of any program or promotional literature, or photographs of events or performances, background materials and supporting documentation:

RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Official copies of programs or promotional literature, or photographs of significant events or performances, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

858 CO2 614, MU1 574, MI1 511
Athletic program records

a Lists of athletes or participants, records of competitions, and other records except scouting records and scouting and training videos:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videotapes of and programs for significant competitions may have historical value in documenting community-based amateur athletics. Records with historical value should be retained permanently. Parental consents are covered by item no. 855.

b Scouting reports and videotapes used for scouting and training purposes:
RETENTION: 0 after no longer needed

859 CO2 970, MU1 834, MI1 843
Field trip records,
including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:

RETENTION: 6 years after date of most recent entry

860 CO2 971, MU1 835, MI1 844
Bus or other vehicle use file,
covering school bus or other vehicle used for transporting persons involved in recreational activities, including but not limited to copies of contracts, certificates of insurance, driver information, daily logs or other reports, and copies of applicable rules and regulations:

RETENTION: 6 years

861 CO2 972, MU1 836, MI1 845
Applications for individual acceptance to camp,
or participation in specific recreational programs and activities

a If applicant is accepted or allowed to participate, and a fee is charged:
RETENTION: 6 years after attendance or participation ends

b If applicant is accepted or allowed to participate, and no fee is charged:
RETENTION: 3 years after attendance or participation ends

c If applicant is not accepted:
RETENTION: 3 years

People With Developmental Disabilities Recreational Programs

862 CO2 615, MU1 575, MI1 512
Master summary record
of participants in People With Developmental Disabilities recreation program:
RETENTION: 6 years after last entry

863 CO2 616, MU1 576, MI1 513
Case record of participant in People With Developmental Disabilities recreational program,
including individual registration, medical evaluation, social development evaluation, intake/screening report and discharge evaluation:
RETENTION: 6 years after participation ends, or 3 years after individual attains age 18, whichever is longer

Camps

864 CO2 973, MU1 837, MI1 846
Facility information data record
containing basic data on camp facilities:
RETENTION: 6 years after facility no longer exists

865 CO2 974, MU1 838, MI1 847
Permits and approvals
to operate camp, covering pool, beach, food service and all related permits, including applications and related materials:
RETENTION: 3 years after approval, denial, withdrawal or expiration

866 CO2 975, MU1 839, MI1 848
Reports of camp operation and inspection,
including facility safety, health and food service reports:
RETENTION: 21 years

867 CO2 976, MU1 840, MI1 849

Routine reports,
including analysis of pool or beach water samples:
RETENTION: 1 year

868 CO2 977, MU1 841, MI1 850
Health records for individual camper:

RETENTION: 6 years, but not less 3 years after than camper attains age 18

869 CO2 978, MU1 842, MI1 851
Log or list of illnesses, accidents, injuries
or other health and safety related incidents

a When information is also contained in individual health records files:
RETENTION: 1 year

b When information is not contained in individual health records files:
RETENTION: 6 years, but not less than 3 years after youngest person listed in record attains age 18

870 CO2 979, MU1 843, MI1 852
Food management records

a Program participation agreement, including attachments and amendments:
RETENTION: 6 years after termination of agreement

b Other program records, including but not limited to application to participate as a sponsor, individual child participation application records, requisition and approval of requisition for donated commodities, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:
RETENTION: 6 years

c Free and reduced meal policy statement, with attachments and certificate of acceptance:
RETENTION: 3 years after policy superseded

d Meal counts and dietary services studies:
RETENTION: 3 years

e Menus:
RETENTION: 1 year

871 CO2 980, MU1 844, MI1 853
Food inspection and investigation records,
including inspection report for preparation or serving area and food sanitation complaint investigation records

a When any significant problem is encountered:
RETENTION: 21 years

b When no significant problem is encountered:
RETENTION: 3 years

872 CO2 981, MU1 845, MI1 854

Scholarship records
including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, list of scholarships awarded campers, and correspondence:

RETENTION: 6 years

REGIONAL MARKET AUTHORITY

873 MI1 514

Produce delivery records,
including but not limited to daily load delivery tickets and weigh scale records:
RETENTION: 2 years

SCHOOL DISTRICT AND BOCES

Administration

♦ **NOTE:** Superintendent's records are covered under item no. 471 in the Executive section. Youth court case files are covered under Youth Services section.

874 ED1 167,

School district records

created prior to consolidation of municipal school districts into centralized districts

NOTE: For attendance and school census records of predecessor school districts, see the Student Records section. Other series of school records created prior to consolidation should be treated as a discrete series for each of the consolidated districts. Appropriate retention periods for these records are addressed elsewhere.

a Basic records including but not limited to school district trustees' minutes; school commissioners' reports; school district "record books;" records of formation, alteration or consolidation of districts; teacher hiring and salary records; school fund and other accounting ledgers; district tax rolls or lists; school library reports and book lists; certificates of apportionment and annual and special reports:

RETENTION: PERMANENT

b Supporting fiscal and administrative documentation, including but not limited to receipts, warrants and orders to pay, canceled checks, bank statements, and routine correspondence:

RETENTION: 6 years

875 ED1 466,

Non-public school discontinuance records,

including but not limited to notification of transfer of discontinued non-public school student records to other school or agency, and non-public school student records transferred from discontinued non-public school to public school district:

RETENTION: PERMANENT

876 ED1 168,

District organization file

covering school districts and BOCES

a Records documenting the establishment, extension, alteration, consolidation, or dissolution of district including but not limited to petition, records of public hearing, correspondence with New York State agencies, maps, surveys, special reports and studies, and photographs:

RETENTION: PERMANENT

b Background materials and supporting documentation, including but not limited to

periodic reports, routine correspondence, memoranda, and copies of district budgets:

RETENTION: 6 years

877 ED1 171,

School district/BOCES registration and accreditation records,
including but not limited to application for and registration from State Education Department (SED), results of review of registration status, accreditation by private evaluating agency and award received from federal Department of Education, SED and other agencies and organizations:

RETENTION: PERMANENT

878 ED1 48,

Basic Educational Data System (BEDS) records,
including School Data Form, School District Summary Form, personnel master summary data and related reports used to report summary data on instructional programs to the State Education Department:

RETENTION: 5 years

♦ 879

Questionnaire on student race and ethnicity
responsive to state and federal statistical data requirements:

RETENTION: 3 years or 3 years after audit, review, or investigation is completed, whichever is later

880 ED1 401,

School district, individual school, or BOCES improvement records,
covering review by State Education Department (SED) of academic performance, aptitude test scores, school safety or violence, fiscal management, or overall administration

a Official notifications from SED, final versions of corrective action and school improvement plans, results of SED progress reviews, summary of corrective actions taken, and significant correspondence:

RETENTION: PERMANENT

b Other records, including but not limited to draft corrective action and school improvement plans, results of data analyses, notes and correspondence:

RETENTION: 6 years after date of most recent entry in record

NOTE: Appraise these records for historical significance prior to disposition. Records documenting schools or districts "in need of improvement" or "in need of corrective action" or placed "under registration review" by SED may have continuing value for historical or other research and should be considered for permanent retention unless the information they contain is duplicated or summarized in records covered by part "a" of this item. Contact the State Archives for additional information.

881 ED1 148,

Administrative reports

covering grades, test scores, staffing, fiscal matters, complaints about use of corporal punishment, school prayer certification, annual professional performance reviews (APPR) and other activities and performance of school district or BOCES, including reports prepared for inclusion with annual State aid consolidated funding application

a Significant reports, including public school performance report, covering academic performance, attendance, suspension and drop-out rates for the previous year; school district and BOCES report cards, covering expenditures for administration and improvement, student academic performance indicators, and measures of fiscal performance; district progress report, providing annual summary data on standardized achievement and aptitude test results, Regents and other examination test results, and analyses of test data, as well as other information on such subjects as enrollment and attendance, staffing, class size, graduating classes and ethnicity; and similar administrative reports:

RETENTION: PERMANENT

b School progress report, when information can be readily extracted from district progress report:

RETENTION: 5 years

c School progress report, when information cannot be readily extracted from district progress report:

RETENTION: PERMANENT

d Final version of comprehensive assessment report (CAR), received from State Education Department, and returned upon verification, when report is created instead of a district progress report, and it contains annual summary data on standardized achievement and aptitude test results, Regents and other examination test results, and analyses of test data, as well as other information on such subjects as enrollment and attendance, staffing, class size, graduating classes and ethnicity, and/or it constitutes a report published by the school district:

RETENTION: PERMANENT

e Final version of comprehensive assessment report (if not covered by part d):

RETENTION: 5 years

f Routine reports and background files and supporting documentation used in creating, verifying, or correcting any reports covered by this item:

RETENTION: 6 years

882 ED1 402,

Administrative plans

covering grades, test scores, staffing, pupil attendance, fiscal matters, and overall activities and performance of school district or BOCES, including plans prepared for inclusion with annual State aid consolidated funding application, not covered by specific items found elsewhere in this schedule, including comprehensive district education (or equivalent) plan; district plan for participation by teachers and parents in school-based planning and shared decision-making; attendance plan, including proposed strategies for attendance improvement and dropout prevention; and similar administrative plans

a Final versions of significant plans, including all amendments:
RETENTION: PERMANENT

b Other plans and background files and supporting documentation for all plans, including results of data analysis, along with plan submission records:
RETENTION: 6 years

c Data created or modified specifically for creation of comprehensive district education (or equivalent) plan or copy of data submitted to the State Education Department (SED):
RETENTION: 5 years
NOTE: This data may come from a student information system (see item no. 953 in the Student Records section) and may also relate to data collected relative to Local Education Agency Programs (see item no. 979 in the Supplemental Education Services section). If identical data serves more than one function, the longest applicable minimum retention period must be followed.

883 ED1 394,

Records of auxiliary organizations or activities,
including but not limited to parent support organizations, such as PTA, employee unions, parent sponsored clubs, after-school activities which are not officially sanctioned by the school, and other miscellaneous records in the custody or possession of the school district or BOCES:

RETENTION: 0 after no longer needed
NOTE: Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **884**

Commencement records

a Official copy of commencement program or other publication:
RETENTION: PERMANENT

b Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning and logistics records:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records such as speeches and photographs may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

♦ **885**

Alumni directory
or other master summary record of alumni and all other degree recipients, such as published alumni catalog, providing names of alumni, years of graduation, and other information such as degrees granted and place of residence:

RETENTION: PERMANENT

886 ED1 341,

Pre-K and/or "Head Start" records

covering children enrolled in program operated by school district

NOTE: Schools may prefer to maintain these records as part of a student cumulative education record file. See item no. 948 in the Student Records subsection.

a Individual child's folder, including but not limited to application from parent/guardian, individual service plan, conference notes, year-end or other reports, health records, family profile and social information:
RETENTION: 0 after child attains age 21

b Applications from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
RETENTION: 3 years

c Annual or other master listing of students enrolled in program:
RETENTION: 20 years

887 ED1 471,

Family literacy program records

a Family folder, including but not limited to application from parent/guardian, testing records, service plan, records of home visits, conference notes, year-end progress or other reports, health records, family profile and social information:
RETENTION: 0 after youngest child attains age 21

b Applications (including related testing records) from parent/guardian for enrollment of child in program, where child is not accepted or is not enrolled in program:
RETENTION: 3 years

c Annual or other master listing of students and families enrolled in program:
RETENTION: 20 years

d Performance indicators used to monitor, evaluate and improve program:
RETENTION: 6 years after superseded or obsolete

♦ 888 ED1 462,

Residency determination records

for student, other than information contained in cumulative education record file, and including hearing record

a For cases where determination is decided through a hearing:
RETENTION: 1 year after date of final determination or 1 year after student no longer enrolled in district, whichever is longer

b For cases where residency is verified without a hearing:
RETENTION: 1 year after date of final determination

♦ 889 ED1 469,

Appeal or petition to the Commissioner of Education,

along with related records, when not related to a specific series of records listed on this Schedule:

RETENTION: 3 years after resolution of appeal or petition
NOTE: This item includes, but is not limited to, appeals filed pursuant to Sects. 310 and 3012-c and -d, Education Law (latter relates to annual professional performance reviews (APPR)). Appeals or petitions relating to specific series of records listed on this Schedule should be retained as part of or as long as that respective series.

890 ED1 467,
Copies of custody orders and other miscellaneous social services records relating to individual students, maintained by school districts and BOCES:
RETENTION: 0 after student attains age 18

891 ED1 465,
Parolee and sex offender records,
including lists of parolees or sex offenders living within a jurisdiction:
RETENTION: 0 after superseded or obsolete

892 ED1 170,
Non-public school student text book loan records,
including request for text books and record of loan and return:
RETENTION: 5 years

Food Management and Child Nutrition

893 ED1 135,
Food management and child nutrition records

a Program participation agreement, including attachments and amendments:
RETENTION: 6 years after termination of agreement

b Other program records, including but not limited to application to participate as a sponsor, individual child participation application, records including meal counts, requisition and approval of requisition for donated commodities, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:
RETENTION: 3 years after end of school fiscal year
NOTE: Fiscal records relating to food management and child nutrition do not need to be retained for 6 years as similar fiscal records found in the Fiscal section of this Schedule must be retained.

c Free and reduced meal policy statement, with attachments and certificate of acceptance:
RETENTION: 3 years after policy superseded

894 ED1 136,
Food inspection and investigation records

a Inspection report for preparation or serving area:
RETENTION: 3 years

b Food sanitation complaint investigation or food embargo records, for investigations other than food- or water-borne disease investigations:
RETENTION: 6 years after last entry

c Food sanitation complaint investigation or food embargo records, when a food- or water-borne disease investigation is conducted:
RETENTION: 21 years
NOTE: Appraise these records for long-term uses, warranting longer, if not permanent, retention prior to disposition. Records covered by this subitem may be useful in the future in documenting cases of serious food poisoning, such as where death or serious illness occurs from E. coli contamination. Contact the State Archives for additional advice.

Gifted and Talented Programs

895 ED1 325,
Student folder for student enrolled in gifted and talented program,
including but not limited to application or offer for participation, testing or eligibility determination records, progress reports, product assessment, samples of student's work, notes and correspondence:
RETENTION: 6 years after student participation in program terminates
NOTE: Schools may prefer to maintain these records as part of a student cumulative education record file. See item no. 948 in the Student Records subsection.

896 ED1 326,
Lists of students applying for participating and/or enrolled in gifted and talented program(s)

a Annual list of students enrolled in gifted and talented program(s):
RETENTION: 20 years

b List of students who applied for and/or were denied placement:
RETENTION: 3 years

c Other lists of students, created for internal administrative purposes:
RETENTION: 0 after no longer needed

897 ED1 327,
Application and/or offer for participation in gifted and talented program,
including eligibility identification and testing records, when student is not enrolled or does not participate in program:
RETENTION: 3 years

898 ED1 328,
Documentation of the process for selection and placement
for students in gifted and talented program, including explanation and justification of acceptance criteria, and district program plan:

RETENTION: PERMANENT

Health

♦ **899** ED1 137,

Student's health record,

including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments

a Summary record or individual records when not posted to summary record:
RETENTION: 0 after individual attains age 27

b Individual records when posted to summary record, except blood and body fluids incident report:
RETENTION: 1 year after end of school year

c Individual immunization record, including authorization and/or parental
RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

NOTE: These records may be requested beyond their minimum legal retention period by persons needing proof of certain immunizations for college admission or other purposes. The State Archives recommends that school districts and BOCES evaluate the need to retain immunization records longer than the stated minimum retention period for these purposes.

d Blood and body fluids incident report, even when posted to summary record:
RETENTION: 0 after individual attains age 27

e Physician authorization to resume athletic activity after a traumatic brain injury:
RETENTION: PERMANENT

900 ED1 138,

Log of students' accidents and illnesses

during school day:

RETENTION: 1 year after end of school year

NOTE: This retention period presumes that information contained in the log is also contained in the individual and/or summary health records covered by parts a. and/or b. of item no. 899. If this information is not posted to the student's individual and/or summary health records, then the log must be retained until the youngest student listed in it attains age 27.

901 ED1 139,

Student's psychological or social assessment record file

NOTE: Institutional school districts should retain all these records until the student attains age 27.

a Report regarding student's ability, personality, family, and environmental influences:

RETENTION: 6 years after report written

b Source materials used in preparing report, including "protocols," tests and notes, for students not classified as special education:

RETENTION: 1 year after report written

c Source materials used in preparing report, including "protocols," tests and notes, for students classified as special education:

RETENTION: 6 years

902 ED1 329,

Inventory, storage, receipt and distribution records
for vaccines and controlled substances (or other drugs or medication) administered to students and/or employees:

RETENTION: 5 years

903 ED1 330,

Student health summary reports,
covering all or groups of students, including school immunization survey summary and communicable disease summary report:

RETENTION: 3 years

904 ED1 457,

Early intervention program records,
including but not limited to case record and screening, assessment and referral

a Individual case record:
RETENTION: 7 years after discharge or last contact, but no less than 3 years after person attains age 18

b Screening, assessment and referral records, not found in individual case
RETENTION: 7 years

Instruction

905 ED1 143,

Curriculum records

NOTE: This also includes high school equivalency, alternative learning and adult education courses offered by a school district or BOCES.

a Course curriculum and related records describing course of instruction and course content:

RETENTION: PERMANENT

b Approved curriculum variance application:
RETENTION: 10 years after variance approved

c Approved application for occupational education (work-study) curriculum:
RETENTION: 4 years after curriculum discontinued

d Approved application for curriculum other than occupational education (work-study):
RETENTION: 1 year after curriculum discontinued

e Denied application for curriculum approval or variance:
RETENTION: 1 year after end of school year

f Individualized home instruction plan (IHIP), worksheets, and other related home schooling records:
RETENTION: 6 years after student graduates or would normally have graduated from high school

g Curriculum planning records:
RETENTION: 0 after no longer needed
NOTE: Reports and studies prepared as part of curriculum planning may have long-term value meriting continued preservation. Local officials should evaluate these records for continued, or permanent, preservation. Contact the State Archives for additional advice.

906 ED1 144,
Teacher's lesson plan:

RETENTION: 0 after no longer needed by school district or BOCES

907 ED1 145,
Instructor's grade records, test scores, and marking sheets,
including records documenting the evaluation of scientific models, biological specimens, chemical compounds or other objects or materials produced in lab or shop settings:

RETENTION: 2 years

♦♦ 908 ED1 146,
Examinations,
including test answer papers, examination scoring certificates and Regents examinations:

RETENTION: 1 year after end of school year

NOTE: Scores may be used in annual professional performance reviews (APPR).

909 ED1 147,
Records of hypodermic syringes and needles
acquired for educational use or for administration of vaccines and other controlled substances to students and/or employees

a Certificate of need for educational use:
RETENTION: 6 years after certificate expires

b Other records, including records of purchase, inventory, destruction, loss or theft:
RETENTION: 6 years

♦♦910 ED1 149,
Training records for law-enforcement officers, E-911, dispatch or fire-fighting

personnel

NOTE: This item covers official records of public safety training conducted by county vocational education and extension boards or school districts or BOCES.

a Individual's record of courses attended and/or completed, including basic information on course content:

RETENTION: 6 years after individual leaves service

NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

b Official copy of training manual or bulletin:

RETENTION: 50 years

c Course instruction records, including attendance lists and lesson plan:

RETENTION: 1 year

911 ED1 333,

Application for and approval to offer high school equivalency preparation program,

physical education program, occupational education program, instructional programs for incarcerated students, adult education, alternative learning program, foreign exchange visitor program, or similar programs, including application by school district or BOCES, letter of determination, information on participating staff, State Education Department (SED) program review records, service plans, reports submitted to SED and correspondence:

RETENTION: 6 years

912 ED1 334,

Regents examination and competency test report:

RETENTION: 5 years

914 ED1 335,

Summary records of standardized aptitude and achievement tests,

including but not limited to test result summaries, copies of tests, eligibility determination records, and records describing testing programs:

RETENTION: 1 year after end of school year

NOTE: For schools or districts placed "under corrective action" or "under registration review" by SED, these records may need to be retained until these designations are canceled by SED and no longer apply. Scores may be used in annual professional performance reviews (APPR).

♦♦915 ED1 458,

Emergency medical training records,
covering local governments which are course sponsors, including but not limited to information on individuals, course files, and information on instructors, as required by Section 800.20, 10NYCRR

NOTE: This item covers records of emergency medical training for which school districts or BOCES are course sponsors. See item no. 930 in the School Safety subsection for records of training received by school personnel or students

a Information on individuals and course files:
RETENTION: 5 years

b Information on instructors:
RETENTION: 5 years after working association of each instructor ceases

Magnet Schools

916 ED1 336,
Documentation of process used for application, selection and placement
of students in magnet school program, including explanation and justification of acceptance criteria:

RETENTION: PERMANENT

917 ED1 337,
Lists of students applying for placement and/or placed in magnet schools

a Annual list of students placed in magnet schools:
RETENTION: 20 years

b List of students who applied for and/or were denied placement:
RETENTION: 3 years

c Other lists of students, created for internal administrative purposes:
RETENTION: 0 after no longer needed

918 ED1 338,
Individual student application for placement in magnet school

a When application is approved:
RETENTION: 6 years or student participation in program terminates, whichever is later

b When application is not approved or student does not enroll in program:
RETENTION: 3 years

919 ED1 339,
Application to New York State Education Department to operate magnet school(s),
including district plan and related records

a Original application, including district plan for operating magnet school(s):
RETENTION: PERMANENT

b Renewal application and all other related records:
RETENTION: 6 years

920 ED1 340,
Records of magnet school program monitoring by New York State Education Department,

including but not limited to monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record

Nursing Education

921 ED1 175,
Program operation authorization records,
including but not limited to application, inspection reports, authorization, and registration:

RETENTION: PERMANENT

922 ED1 176,
Program catalog,
including but not limited to course of instruction, course content, and rules and regulations:

RETENTION: PERMANENT

923 ED1 178,
State Education Department licensing examination eligible list:

RETENTION: 3 years after the end of the school year

School Safety

♦ **NOTE:** For building security records and video recordings maintained for security purposes, see item nos. 811 and 846 in the Public Property and Equipment section. Other items previously in this subsection may be found in the General Administration section.

924 ED1 62,
Disaster preparedness or crisis relocation records

NOTE: See item no. 926, below, for district-wide and school safety plans.

a Copies of plans held by local government, including supporting maps, when official copies prepared under Section 23, Executive Law, are maintained by

county or other local government which created them, along with other disaster preparedness plans, not prepared under Section 23, Executive Law, intended for specific buildings or for use by specific local government units:

RETENTION: 3 years after superseded

b Background materials and supporting documentation used in preparation of plans:

RETENTION: 3 years

925 ED1 66,

Rescue and disaster response reports

and related records, including responses to threats or hazards to the public, school facilities or vehicles due to natural, technological, or human-made circumstances and/or the discovery of possible explosives, pathogens or other hazardous substances, covering specific incidents

a Records of major disasters, including information on the response of all agencies to the disaster, including such records as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:

RETENTION: PERMANENT

b Records of other than "major" disasters:

RETENTION: 3 years, but not until 3 years after any minor involved attains age 18

NOTE: Specific records should be appraised for historical value and may warrant permanent retention based on the serious nature of the incident involved. These would include actual discovery of explosives, pathogens or hazardous materials, and major facility evacuations and quarantines. Contact the State Archives for additional advice in this area.

♦ **926** ED1 491,

District-wide school safety and building-level emergency response plans

a Final approved copies of plans, along with all revisions and amendments:

RETENTION: PERMANENT

b Plan development, adoption and related records, including records of school safety teams:

RETENTION: 6 years

♦ **927** ED1 492,

School violence and dangerous school records

NOTE: Requests for transfer and related records of individual students are covered by item no. 948b in the Student Records: Academic Records subsection.

a Violent and disruptive incident (VADIR) and Dignity for All Students Act (DASA) reports and summary records, including copies of summary information submitted to the State Education Department (SED):

RETENTION: 0 after youngest person involved attains age 27

NOTE: Summary records may need to be retained longer, even permanently, if they document school violence, or if a school has been designated a persistently dangerous school. Contact the State Archives for additional advice.

b Violent and disruptive incident data received back from SED:
RETENTION: 0 after data verified and any necessary corrections completed

c Persistently dangerous school designation records, including SED citation, plan for corrective action, results of audits and monitoring, student transfer protocol and lists of transferring students, and documentation of removal of designation:
RETENTION: PERMANENT

928 ED1 493,

Sexual molestation and sexual harassment records,
maintained separately from student health records or employee personnel records, and not including child abuse or maltreatment reports, covered by item no. 27 in the General Administration section:

RETENTION: 0 after youngest person involved attains age 27

929 ED1 246,

Fire and building condition records,
including but not limited to fire safety inspection reports, fire drill reports, fire alarm records, fire inspection reports, fire investigation reports, structural safety inspection reports, building condition surveys and visual inspection reports

a Fire safety inspection reports prepared pursuant to Section 807-a, Education Law:
RETENTION: 3 years
NOTE: Although Section 807-a of Education Law authorizes school authorities to destroy these reports after 3 years, the State Archives strongly urges that school authorities holding the "official" or "record" copies of these reports retain these records for 21 years to meet possible legal needs, including for use in personal injury litigation involving minors.

b Structural safety inspection reports and building condition surveys, required by Section 409-d, Education Law and 8NYCRR 155.4:
RETENTION: 21 years

c Visual inspection reports, required by 8NYCRR 155.4:
RETENTION: 5 years

d Records other than reports and surveys covered by parts "a," "b" and "c," above:
RETENTION: 3 years

930 ED1 35,

Emergency medical training records
including defibrillator training, covering local government employees and students who receive training

NOTE: This item covers records of emergency medical training received by school personnel and students. For records of emergency medical training courses for which schools, BOCES or other ED-1 users are course sponsors, see item no. 915 in the Instruction subsection.

a Training and certification applications and lists of persons who have taken or need to take training:
RETENTION: 0 after superseded or obsolete

b Original entry training records, when posted to summary record:
RETENTION: 1 year

c Original entry training records, when not posted to summary record:
RETENTION: 7 years

d Summary record of training:
RETENTION: 6 years after individual leaves service or student graduates or would normally have graduated from high school, but no less than 7 years
NOTE: Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.

e Course materials, except final or annual reports:
RETENTION: 7 years after course completed

Special Education: Individual Student Records

NOTE: Section 300.624(b) of 34 CFR requires school districts and BOCES to destroy, at the parent's request pursuant to Section 300.624(a), "personally identifiable information" contained in these records, when this information "is no longer needed to provide educational services to the child." However, pursuant to Section 300.624(b), "a permanent record of the student's name, address, and phone number, his or her grades, attendance record, classes attended, grade level completed, and year completed may be maintained without time limitation." (See item no. 934, below, and item no. 948, in the Student Records subsection.) Such destruction may occur before the legal minimum retention period stated above has arrived, **if it is conducted strictly according to the procedures outlined in federal regulations and guidelines provided by the federal Department of Education and the New York State Education Department's Office for Special Education Services.**

School districts and BOCES should carefully determine what educational needs warrant retention of any records which parents might request be destroyed. In informing parents of their rights, school districts and BOCES may also wish to remind parents that certain records with personally identifiable information may be useful in the future to the parents or children for other purposes, such as for social security benefits or to qualify for future services from the New York State Office for People With Developmental Disabilities. To protect the school district or BOCES in the case of a future request for records destroyed at parental request, school officials should consider maintaining a record of any such destruction done at parental request with remaining records in the applicable set of records. For additional information, contact the State Education Department, Office of Special Education, Special Education Quality Assurance.

♦ **931** ED1 267,
Special education file
of student (including both school-age students and preschool children) with a disability

NOTE: This does not cover summary data found in the student's cumulative education

record which are covered under item no. 948. Records documenting students' Career Development and Occupational Studies (CDOS) commencement credentials and Skills and Achievement Commencement Credentials for Students with Severe Disabilities are covered by item 948a in the Student Records subsection.

a Student information sheet, most recent year's IEP (Individualized Education Program), evaluation record, student exit summary, and summary record (if created):

RETENTION: 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter

NOTE: These records may be needed more than 6 years beyond the student's graduation or 21st birthday to verify previous disability, especially in connection with applications by former students for social security or other benefits. At the same time, unnecessarily long retention of these records may jeopardize the personal privacy safeguards contained in Section 300 of Title 34 of the Code of Federal Regulations. School districts and BOCES should weigh these concerns carefully and consult their attorney or counsel before establishing policy concerning retention of these records beyond their legal minimum retention periods.

b Other special education records including but not limited to attendance record, copy of high school transcript or student progress reports, referral form, individual evaluations, IEP's (except most recent), behavior intervention plan (except most recent) parent communication, agency communication, and attendance/staff reports, behavior/staff changes records, test papers, psychologists' notes and "protocols," regardless of whether or not student is declassified from special education:

RETENTION: 6 years

NOTE: Health records should be filed in the student's health record in the Health subsection.

c Federal Medical Assistance records for Special Education and Case Management Services, including but not limited to all documentation, logs, surveys, reports, remittance statements and memoranda of advisements pursuant to the School Supportive Health Services Program (SSHSP) and the Preschool Supportive Health Services Program (PSHSP):

RETENTION: 6 years after date of payment to school district or BOCES

932 ED1 365,

Records of special education "committee minutes,"

where needs of various students and their progress and problems are discussed, when significant information is transferred or posted to individual student special education records:

RETENTION: 6 years

NOTE: If significant information is not transferred or posted to the special education file for each individual student, then these records must be retained for 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter, as per item no. 931a. Committees covered by this

item include committees on special education, and subcommittees on special education.

933 ED1 271,

Referral service records of preschool student with a disability,

including but not limited to intake information record, record of referral for services, follow-up review record, and correspondence:

RETENTION: 6 years

934 ED1 366,

Basic record listing special education student's name, address, phone number, grades, attendance record, classes attended, grade level completed, and year completed,

created pursuant to Section 300.624(b) of 34 CFR:

RETENTION: 6 years after student graduates/would normally have graduated from high school or 6 years after student attains age 21, whichever is shorter

NOTE: This item covers the "basic record" for special education students which some schools maintain separate from the student's "permanent record card" (see item no. 948 in the Student Records subsection). If information from this separate "basic record" is included in the student's "permanent record card", which must be retained permanently, then the retention period for this record is 0 after no longer needed. If the student's "permanent record card" does not, however, contain any reference to specific education status, then school districts and BOCES should consider retaining this record permanently. Federal regulations permit the maintenance of a "permanent record" containing this information "without time limitation." Schools which maintain a single "permanent record" for all students, including special education students, should use item no. 948, from the Student Records subsection, to authorize records disposition.

935 ED1 367,

Basic data on any student contained in an automated special education records system,

including name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class, type of disability, referral date, date service initiated, date of declassification, and level of service:

RETENTION: 0 after no longer needed

NOTE: School districts and BOCES should consider permanent retention of the basic data elements of these special education records systems on an annual or biannual basis, such as at the beginning and/or end of the school year. This information may be useful for long-range planning purposes, such as projecting trends in special education needs and services. Contact the State Archives for additional advice in this area.

936 ED1 376,

Documentation of regular updates made to basic data contained in special education data file,

such as covering corrections, deletions or additions to data:

RETENTION: 1 year

Special Education: Financial Tracking and Reporting

937 ED1 268,

State agency notification to school district identifying student with a disability placed in residential facility,

(State Education Department STAC [System for Tracking and Accounting for Children] 200 Form or equivalent) prepared by state agency other than State Education Department:

RETENTION: 6 years after notice superseded, or student attains age 21, whichever is shorter

938 ED1 269,

Commissioner of Education approval for providing and funding special education services,

(State Education Department STAC [System for Tracking and Accounting for Children] 3 Form or equivalent), identifying child, services provider, and type, duration and cost of services:

RETENTION: 6 years

939 ED1 270,

Federal assistance records for special education,

including but not limited to application, advisement, eligible student survey form, reports, statement of payment and memorandum of instruction:

RETENTION: 6 years

Special Education: Program Administration

940 ED1 368,

Plans prepared in relation to providing special education services

a School district annual or biennial plan outlining special program and education services, required by Section 200.2(c) of 8NYCRR:

RETENTION: PERMANENT

b Special education space requirement plan developed by BOCES, including related correspondence and any amendments:

RETENTION: 6 years after superseded

941 ED1 369,

Reports relating to special education program

(not covered by other items in this Schedule)

a Summary reports of student data:

RETENTION: 6 years

b Annual and other reports covering the evaluation, referral, placement and review processes, and IEP (Individualized Education Program) development:
RETENTION: 6 years

942 ED1 370,
Waivers permitting a school district or BOCES to implement an innovative special education program,
along with applications, correspondence, reports and all related records

a Waiver granted on an annual basis:
RETENTION: 6 years

b Waiver granted on a permanent basis:
RETENTION: 6 years after expiration

c Annual or other reports submitted to New York State Education Department (SED) regarding operation and evaluation of the program:
RETENTION: 6 years

943 ED1 371,
Records of special education program monitoring by New York State Education Department (SED),
including but not limited to monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record, or until the next program review is completed, whichever is later

Special Education: Miscellaneous

944 ED1 372,
Census and register of students with disabilities
residing in school district, eligible to attend school or pre-school special education program:

RETENTION: 6 years
NOTE: This item does not cover the school census listing all persons of school age residing in the district which is covered by item no. 956, found in the Student Records section, Student Information Systems and Related Records subsection. If the general school census and the census and register of students with disabilities are one and the same record, follow the instructions given under item no. 956.

945 ED1 373,
Lists maintained in relation to providing special education services,
including but not limited to list of names and resumes of impartial hearing officers, list of free or low-cost legal and other relevant services, list of public and private agencies and other professional resources where independent evaluations may be obtained, list of potential surrogate parents, and list of preschool programs:

RETENTION: 6 years
NOTE: This does not cover the register, census or list of students with disabilities, which is covered by item no. 944.

946 ED1 374,
Requests for access to special education records

a Requests for access by parents and authorized employees:
RETENTION: 1 year

b All other requests, maintained pursuant to Section 300.563 of 34 CFR, including name of party requesting access, date access denied or granted, and purpose for which access is requested:
RETENTION: 5 years

947 ED1 375,
Records of special education testing of students,
where students are not classified as requiring special education

a Lists of students tested but not classified:
RETENTION: 6 years

b Records relating to individual student not classified, including but not limited to referral, results of testing and evaluation report:
RETENTION: 0 after student attains age 21, but not less than 6 years

Student Records: Academic Records

♦ **NOTE:** Provisions of the Common Core Implementation Reform Act (Chapter 56 of the Laws of 2014, Part AA, Subpart B), NYS Education Law § 305(45) and (46)), and SED's implementing regulations (Section 104.3 of the Regulations of the Commissioner of Education), prohibit school districts and BOCES from including a student's individual scores on a State administered standardized English language arts (ELA) or mathematics assessment for grades 3 through 8 on the student's transcript, and from maintaining these scores in the student's permanent record.

♦♦ **948** ED1 275,
Student cumulative education record file (including "permanent record card")

NOTE: This covers resident full-time students, including those receiving home instruction and non-resident full-time students paying tuition. The birth names of transgender and gender nonconforming students should be stored in a separate folder from the student's permanent academic record in part "a" and kept confidential, but maintained permanently.

a Cumulative achievement record equivalent (sometimes known as "Permanent Record Card") for elementary and secondary school, New York State career development and occupational studies (CDOS) commencement credential, and skills and achievement commencement credential, including but not limited to information on school entry, withdrawal and graduation, subjects taken, grades

received from examinations, career plan in effect during the school year in which the student exits high school, and work skills employability profile:

RETENTION: PERMANENT

b Other student records, including but not limited to registration record; screening evaluation reports; home language questionnaire, English language proficiency identification assessment results, and related records; remedial program participation record; Section 504 evaluations, accommodation plans and related records; state assessment opt out records; counselor notes; teacher comments; correspondence; and transfer or discharge notice:

RETENTION: 6 years after student graduates or would normally have graduated from high school

c Examination (including Regents examination) test results, local proficiency test results, papers and answer sheets, homework, and duplicate copies of report cards when information regarding subjects taken and final grades received is posted to the pupil's cumulative achievement record:

RETENTION: 1 year after end of school year

d Program admission application, when application is approved:

RETENTION: 6 years or student participation in program terminates, whichever is later

e Program admission application, when application is not approved or student does not enroll in program:

RETENTION: 3 years

f Cumulative achievement record maintained by BOCES, including information on credits, grades, attendance, instructors' comments and employability profile:

RETENTION: PERMANENT

g Other student records maintained by BOCES, including annual and periodic progress reports, from which information is posted to cumulative achievement record:

RETENTION: 6 years after student graduates or would normally have graduated from high school

h School district's copy of BOCES cumulative achievement and other BOCES student records:

RETENTION: 6 years after student graduates or would normally have graduated from high school

i Copies or abstracts of student records, sent by a high, middle, and/or intermediate school in another district to elementary, middle, and/or intermediate school which student had attended, and which district does not operate a high, middle school, and/or intermediate school itself:

RETENTION: 0 after no longer needed

NOTE: For copies of student records received from other school districts that do operate a high, middle, and/or intermediate school, use item no. 58.

j Unclaimed diplomas:

RETENTION: 1 year

NOTE: School districts and BOCES may wish to keep these records longer for convenience of both school personnel and graduates who may request their diploma at some later date.

k Proof of residency records for student, excluding residency investigations and hearing records:

RETENTION: Retain most current until 6 years after student graduates or would normally have graduated from high school. Destroy older proofs 6 years after superseded.

♦ 949 ED1 281,

Student records covering non-district students, and students attending high school equivalency, alternative learning, driver's education, and adult education courses

including records related to the National External Diploma Program (NEDP) and Comprehensive Adult Student Assessment Systems (CASAS)

NOTE: This does not cover non-resident full-time students paying tuition. Their records are covered by item no. 948. This item does cover records of students who pay tuition and reside in another district, but take occasional courses in the district where these records are maintained. It also covers records of resident students taking high school equivalency or non-diploma courses and adult residents taking BOCES career and technical education courses.

a Student records, including but not limited to parental consent, approval from student's school district, program participation application, summary of participant achievements and attendance, record of courses taken including grades and examination results, but excluding examination test papers and answer sheets:

RETENTION: 0 after student attains age 24, but not less than 6 years

b Examination test papers and answer sheets:

RETENTION: 1 year

950 ED1 377,

Student portfolio,

containing samples of a student's best work, and including progress reports and grades (where applicable):

RETENTION: 6 years after student graduates or would normally have graduated from high school

NOTE: The student and teacher may weed out and dispose of individual student papers in the portfolio at the end of each school year, providing samples of the student's best work are retained as specified above.

♦ 951 ED1 276,

Certificate of Regents high school and college entrance diplomas issued

or Career Development and Occupational Studies (CDOS) commencement credentials and Skills and Achievement Commencement Credentials for Students with Severe Disabilities issued

a If posted to cumulative achievement record:

RETENTION: 0 after posting

b If not posted to cumulative achievement record:
RETENTION: PERMANENT

952 ED1 277,

Examination records,
relating to Regents preliminary and literacy examinations, created prior to 1970:
RETENTION: 0 after no longer needed

Student Records: Student Information Systems and Related Records

NOTE: Many school districts and BOCES maintain data on students in automated systems, known generically as "Student Information Systems." These systems usually contain certain basic or core data on each student. The basic data elements usually consist of the name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class of each student. This information may be kept in electronic format or in paper printout lists or microform output. If it is kept in electronic format, it need not be maintained online, but may be stored on external media if desired.

Student information systems typically include school census data, in fact some systems are based on a single record covering the entire family rather than an individual student. The retention periods for census information on the family of a student is covered by item no. 956, below. Student information systems also typically contain summary academic/grade and attendance information. They may also contain detailed grade and attendance data. Retention of academic/grade and attendance information is specified in the Academic Records and Attendance Records subsections.

Student information systems often contain information in other areas, such as student health, special education, discipline, class and bus scheduling, awards and honors, and athletics. These records are covered by items at various locations throughout the School District and BOCES section. These items and retention periods apply to these records, regardless if they are contained in or generated by a student information system.

953 ED1 378,

Basic data on any student contained in or produced by an automated student information system, information system,
including name, age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class:

RETENTION: 0 after no longer needed
NOTE: School districts and BOCES should consider permanent retention of the basic data elements of these student information systems on an annual or bi-annual basis, such as at the beginning and/or end of the school year. This information may be useful for long-range planning purposes, teaching with historical records projects, and community history research. Contact the State Archives for additional advice.

954 ED1 379,

Lists of students

created prior to or in lieu of the maintenance of student data in automated student information systems, containing such information as student's age, sex, personal identification (social security number or other number used to identify student), address, grade and/or class, and sometimes ethnicity, summary grade, attendance and deportment information

a All lists created prior to 1910:
RETENTION: PERMANENT

b Lists created since 1910:
RETENTION: 0 after no longer needed
NOTE: School districts and BOCES should consider permanent retention of these lists on an annual or bi-annual basis, such as at the beginning and/or end of the school year. This information may be useful for long-range planning purposes, teaching with historical records projects, and community history research. Contact the State Archives for additional advice in these areas.

955 ED1 380,

Documentation of regular updates made to student lists or student data file,

such as covering corrections, deletions or additions to student data:

RETENTION: 1 year

956 ED1 43,

School census records

NOTE: The Census and Register of Students With Disabilities is covered by item no. 944, found in the Special Education subsection. If the (general) school census, covered by this item, and the Census and Register of Students with Disabilities are one and the same record, this item covers its retention.

a All school census records created prior to 1949 (some early 19th century census records only list names of parents) including so-called "attendance registers" used between 1895 and 1928, in booklet form provided by the State Office of Public Instruction, later the State Education Department (these booklets also contain the school census, trustees' annual reports, registers of visitors, and other information); and school census and enrollment reports, created between 1929 and circa 1949, in booklets provided by the State Education Department, or their equivalents:
RETENTION: PERMANENT

b Post-1949 school census records, maintained in updateable card-file format:
RETENTION: 6 years after information it contains becomes obsolete
NOTE: While not required to do so, school districts and BOCES may wish to retain some school census records maintained in this format permanently for local and family history research and teaching with historical records projects. Contact the State Archives if you would like additional information on this subject, or to discuss your district's census records in detail.

c Post-1949 school census records, maintained in list, booklet, computer printout or

electronic format:

RETENTION: Retain one complete census permanently for every 5 year interval; retain others for 6 years

957 ED1 272,

Pupil personnel cumulative record (guidance folder),

containing information on all aspects of student's school career:

RETENTION: 6 years after student graduates or would have normally graduated from high school

Student Records: Attendance Records

958 ED1 44,

Student's attendance record (register),

including but not limited to each student's name, date of birth, names of parents or guardian, address, and daily attendance, absence and tardiness

a All attendance records created prior to 1929, including "attendance registers" used between 1895 and 1928, in booklet form provided by the State Office of Public Instruction, later State Education Department (these booklets also contain the school census, trustees' annual reports, registers of visitors, and other information):

RETENTION: PERMANENT

b "Attendance registers" used from 1929 to the present, containing information set forth in Section 104.1 of 8NYCRR:

RETENTION: 6 years

NOTE: If annual or bi-annual lists of students are not available for certain school years, school districts and BOCES may wish (but are not required) to retain post-1929 attendance registers for those years in their place to provide students' names. If separate student lists are available, school districts and BOCES may wish to retain examples of the detailed post-1929 attendance registers for use in historical research or in teaching with historical records projects. Contact the State Archives for additional advice in this area.

c Detailed attendance data contained in electronic format in student information systems, or maintained as system output:

RETENTION: 6 years

d Employee oath or affirmation related to verification of the student attendance register:

RETENTION: Retain as long as the attendance register to which it relates

959 ED1 46,

Student's absence record,

including but not limited to parent's excuse, investigation report, and record of attendance at religious observance or education:

RETENTION: 1 year after end of school year

960 ED1 49,

Attendance reports and other summary attendance records, not containing detailed information on individual absences

a Annual or bi-annual attendance report:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Annual reports containing attendance information submitted to the State Education Department for State aid reimbursement purposes are covered by item no. 881 in the School District and BOCES section, Administration subsection.

b Periodic reports and other records used to complete annual or bi-annual report:
RETENTION: 1 year

Student Records: Extra-Curricular Activities

961 ED1 93,

Student organization records

a Lists of members or participants, records of activities, competitions and performances, and other records of officially-supported student organizations except scouting records and scouting and training videos:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Photographs and videos of and programs for certain competitions and performances may have historical value in documenting student activities. Records with historical value should be retained permanently. Parental consents are covered by item no. 969, below. Health related records are found in the School District and BOCES section, Health subsection.

b Scouting reports and videos used for scouting and training purposes:
RETENTION: 0 after no longer needed

962 ED1 94,

Athletic program records

a Lists of athletes or participants, records of interscholastic competitions and intramural athletics, and other records except scouting records and scouting and training videos:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videos of and programs for interscholastic competitions may have historical value in documenting interscholastic student athletics. Records with historical value should be retained permanently. Parental consents are covered by item no. 969,

below. Health related records are found in the School District and BOCES section, Health subsection.

b Scouting reports and videos used for scouting and training purposes:
RETENTION: 0 after no longer needed

963 ED1 381,

Fund raising records
generated by student organizations, athletic teams and "booster clubs" to help support extra-curricular activities:

RETENTION: 6 years

964 ED1 280,

Extra-curricular activity selection and evaluation records,
including applications, nominations, qualifications, evaluations, ratings, voting records, records of appeals of selection or evaluation decisions, lists of students or student materials selected or not selected, and related records concerning the selection or evaluation of students or student materials for participation or inclusion in activities such as athletic teams, the National Honor Society, the National Junior Honor Society, school plays, school art shows, school newspapers or literary magazines, and other activities:

RETENTION: 6 months after end of selection or evaluation process or 6 months after final resolution of any appeal of a selection or evaluation decision, whichever is later

Student Records: Miscellaneous

965 ED1 274,

Student employment certificate record ("working papers"),
including but not limited to application, evidence of age, parent's consent, physical fitness certificate, and employment certificate or rejection of application:

RETENTION: 0 after student attains age 21

966 ED1 278,

Student disciplinary records,
including but not limited to detention notice, suspension notice, suspension hearing record, correspondence, and related records

a Records of major disciplinary actions, including suspensions:
RETENTION: 3 years after end of school year, but no less than 3 years after student attains age 18

b Records of minor disciplinary actions:
RETENTION: 3 years after end of school year
NOTE: School districts and BOCES may wish to retain all or select records of minor disciplinary actions for a lengthier period, especially in situations where the records may be needed for use in litigation alleging that a student was improperly

disciplined due to an unrecognized learning disability. Such litigation could potentially commence up to the time when the student attains age 21.

967 ED1 279,

Scholarship program records,
(covering academic, athletic or other scholarships) including but not limited to scholarship applications, list of eligible candidates, list of competition winners and alternates, and reports:

RETENTION: 1 year after scholarships awarded
NOTE: Policies and procedures for awarding and administering scholarships are covered under item no. 52 and consideration should be made to retain these records until the scholarship program is discontinued.

968 ED1 282,

Records of gifts and prizes awarded students:

RETENTION: 3 years

969 ED1 47,

School bus pass and parent's consent
for student to participate in, or request for student to be excused from, specific activity, including but not limited to physical education program, field trip, or athletic program:

RETENTION: 1 year after end of school year

970 ED1 382,

Missing child notification and related records,
received from State Division of Criminal Justice Services

a Notification of missing child and need to "flag" student record, and subsequent notification to remove "flag" from record, when missing child is located:

RETENTION: 0 after receiving notification that child is no longer missing

b Notification of missing child and need to "flag" student record, when child is not reported as having been located:

RETENTION: 6 years after student graduates or would normally have graduated from high school

c Letter of notification, and letter of correction, when child reported missing is identified as not having been a student at school district receiving notification:

RETENTION: 1 year

♦ 971

Student emergency contact record,
including the names, addresses, phone numbers, and other information for individuals designated as student emergency contacts. Information may be used in conjunction with school safety and disaster plans:

RETENTION: Destroy when information is superseded or student leaves the district, whichever is shorter

♦ **972**

Records of compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA) and related legislation

concerning access to student education records and participation in surveys on or activities in designated areas

a Request for hearing on content of student education records, decision of hearing, and student statement on content of disputed record:

RETENTION: Retain for the same period the disputed records are maintained

b Record of requests for access to and disclosures of personally identifiable information from the student education records, as required by FERPA regulations:

RETENTION: Retain for the same period the requested records are maintained

NOTE: For records of requests for student information which are not subject to FERPA requirements, see item no. 53 in the General Administration section. Requests by students for information on themselves are covered by item no. 948.

c Request for nondisclosure of directory information or non-participation in surveys on or activities in designated areas:

RETENTION: 1 year after request is terminated or is no longer valid or 1 year after the concerned records are no longer maintained

d Consent for records disclosure:

RETENTION: 1 year after consent is terminated or 1 year after the concerned records are no longer maintained

e Waiver of right to inspect and review confidential letters and statements placed in student education records:

RETENTION: 1 year after waiver is terminated or 1 year after the concerned records are no longer maintained

f Directory Information Policy Statement:

RETENTION: PERMANENT

g Annual or other notice of rights under FERPA or related legislation concerning access to student records or participation in surveys on or activities in designated areas:

RETENTION: 3 years after issued or superseded or obsolete, whichever is later

Supplemental Education Services

NOTE: This section covers Compensatory Education, Academic Invention Services (AIS), Language Proficiency, and equivalent supplemental education programs.

NOTE: Records documenting the initial identification and any subsequent review process of English proficiency are covered under the student's cumulative record, item no. 948b.

973 ED1 315,

Supplemental education records for individual student,
including but not limited to letters of notification to parent(s) or guardian(s), copies of individual test results, parental or guardian consent (if applicable), student's personalized plan, student final and other progress reports, but not including individual student progress log:

RETENTION: 6 years
NOTE: For records of supplemental education services included in an individual student's cumulative education file, see item no. 948 in the Student Records subsection.

974 ED1 316,
Individual student progress log:

RETENTION: 1 year

975 ED1 317,
Lists of students enrolled in supplemental education programs

a Master list of students, created annually or for each class:
RETENTION: 20 years

b Other lists of students, created for internal administrative purposes:
RETENTION: 0 after no longer needed

976 ED1 318,
Application to the State Education Department to conduct supplemental education program,
including district plan and related records

a District plan for conducting program:
RETENTION: PERMANENT

b Other related records, including plan development and submission records, background material and supporting documentation:
RETENTION: 6 years after program ends

977 ED1 319,
Records of program monitoring by the State Education Department,
including but not limited to notification of visit, monitoring report, response and records of any resulting action taken:

RETENTION: 6 years after date of most recent entry in record

978 ED1 320,
Payroll breakdown and other background documentation of program,
providing information such as details of program time spent by individual staff members:

RETENTION: 6 years

979 ED1 321,
Supplemental education testing records covering tests conducted under Local Education Agency Programs (LEAP) or equivalent programs,

used to determine eligibility for supplemental education programs, submitted to New York State Education Department

a Data maintained by school district:
RETENTION: 5 years

b Duplicate school district data maintained by BOCES:
RETENTION: 0 after no longer needed

c Testing eligibility determination and testing protocols, official copies of tests, and summary records describing testing programs:
RETENTION: PERMANENT

d Summary records of test results:
RETENTION: 6 years

e Test papers, answer sheets, test administration notes, test schedules and other routine test administration records:
RETENTION: 1 year after end of school year

980 ED1 494,

Records of supplemental education testing of students, where students are NOT determined to need supplemental education

a Lists of students tested but not entered in supplemental education program:
RETENTION: 6 years

b Records relating to individual student not entered in supplemental education program:
RETENTION: 0 after student attains age 21, but not less than 6 years

981 ED1 496,

Records covering outside providers of supplemental education services

NOTE: Records dealing with individual students, including specific requests to receive services from outside providers, are covered by item no. 973.

a Lists of outside providers of services and lists of students receiving services from specific providers:
RETENTION: 1 year after superseded or obsolete

b Outside provider files, excluding contracts and legal agreements:
RETENTION: 6 years after outside provider no longer used by school district or BOCES

c Contracts or legal agreements with outside providers:
RETENTION: 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

Teacher Resource and Computer Training Center

982 ED1 294,

Annual and semi-annual statistical, narrative and fiscal reports

submitted to the State Education Department:

RETENTION: PERMANENT

♦ **983** ED1 295,

Course records

a Official copy of brochure or other publication announcing and describing courses to be offered:

RETENTION: PERMANENT

b Attendance records for course:

RETENTION: 8 years

c Course development records, including, but not limited to, course proposal, instructor's name and curriculum vitae, and evaluation of the need for the course:

RETENTION: 8 years

♦ **984** ED1 296,

Workshop records

a Official copy of brochure or other publication announcing and describing workshops to be offered:

RETENTION: PERMANENT

b Attendance records for workshop:

RETENTION: 8 years

c Records of credits awarded for workshop attendance (if applicable):

RETENTION: 0 after posted to individual earnings (in-service) credit record

NOTE: If credits are awarded for workshop attendance, and these are not posted to individual earnings (in-service) credit record, these records must be retained for 55 years.

d Workshop development records, including, but not limited to, course proposal, instructor's name and curriculum vitae, and evaluation of the need for the course:

RETENTION: 8 years

985 ED1 297,

Individual earnings (in-service) credit record,

including information on courses attended and credits earned:

RETENTION: 75 years after date of birth of employee or 55 years after earliest document in file if date of birth is not known

NOTE: Schools and BOCES should maintain records of individual earnings (inservice) credits as part of personnel files. See item no. 636 in the Personnel/Civil Service section.

986 ED1 298,

Course and workshop registration records,

including but not limited to course registration and approval form, registration acknowledgement and rejection or cancellation notice:

RETENTION: 1 year

♦ **987** ED1 299,

Course evaluation and survey records

a Official copy of evaluation or survey form and instructions:
RETENTION: 8 years

b Summary of evaluation or survey results:
RETENTION: 8 years

c Individual returned evaluation or survey forms:
RETENTION: 0 after summary of results completed

988 ED1 300,

Listing of canceled courses or workshops:

RETENTION: 1 year

989 ED1 301,

Grading and scoring records for individual teacher,
including records of grading and scoring of college level courses attended:

RETENTION: 2 years

Transportation: School Bus Routing and Scheduling

NOTE: Some school districts and BOCES employ automated systems to handle their school bus routing and scheduling. Some of these systems have Geographic Information System (G.I.S.) capabilities, permitting the use of computer mapping to assist in the bus routing and scheduling, and having the ability to perform some analysis of spatial data. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well. These items also cover manually-generated records of districts and BOCES which do not employ automated systems for bus routing and scheduling.

Some school bus routing and scheduling G.I.S. contain components permitting mapping and other spatial data analysis useful in other areas, such as planning for facility construction and reorganizing school boundaries within a district. While these records cover functions broader than merely bus routing and scheduling, because these records are contained in and generated by bus routing and scheduling systems, these planning-related records are listed below.

990 ED1 386,

Automated road/street file or data layer contained in school bus routing and scheduling G.I.S.:

RETENTION: Maintain as updated data file as long as system is in use, and for 1 year after system upgraded or replaced

991 ED1 387,

Automated student data file contained in school bus routing and scheduling G.I.S. or other automated system, G.I.S. or other automated system,

used primarily for school bus routing and scheduling:

RETENTION: Maintain as updated data file as long as system is in use, and for 1 year after system upgraded or replaced

NOTE: If this data file also serves as the basic data file of an automated student information system (see item no. 953 in the Student Records: Student Information Systems and Related Records subsection), or if no automated student information system exists and this data file constitutes the school district's or BOCES' only record listing and providing basic information on all students, the school district or BOCES should consider permanent retention of the basic data elements. See note to item no. 953 for additional information.

992 ED1 389,

Automated individual school information data file (sometimes contained in school bus routing and scheduling G.I.S.)

containing basic data on school building and its administration, and summary student information, for each school within a district:

RETENTION: Maintain as updated data file as long as system is in use, and for 6 years after system upgraded or replaced

993 ED1 499,

Transportation-related system operation history file,

containing significant data and/or periodic data snapshots, generated from detailed system data

NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

a When created at regular intervals, such as annually:

RETENTION: 0 after no longer needed

b Created when data from this file is used in conjunction with planning reports, studies or special projects:

RETENTION: Retain as long as the reports, studies and other principal records for which the history file or snapshots are created are retained.

994 ED1 500,

Records of updates, corrections and confirmations to data files

used in automated transportation-related systems, including assignments:

RETENTION: 1 month

995 ED1 302,

Transportation-related routing and scheduling reports, studies or data queries,

including documentation of macros, queries, and reports:

RETENTION: 0 after no longer needed

NOTE: Appraise the records for archival value. Certain reports and studies may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice. Macros or queries are created for a number of reasons.

For example, an automated system might be used to produce maps and reports which recommend and lead to construction of an additional elementary school in a school district. In this case, the system output reports and maps should be retained permanently. The State Archives recommends that any macro or query created as part of this process also be retained as long as the resulting report or study. See also item no. 998.

996 ED1 305,

School bus route schedule, map or diagram,

including such information as locations and times of stops and number of students transported

a Schedule, map or diagram produced periodically to show routes usually traveled by school buses:

RETENTION: 6 years after superseded or obsolete

b Schedule, map or diagram produced daily or for each trip, showing route traveled on particular day or trip by school bus:

RETENTION: 1 month

997 ED1 390,

Routine correspondence and similar records relating to school bus routing and scheduling,

included but not limited to letters and maps of bus routes sent to parents and correspondence received relating to updating information on bus routes and schedules:

RETENTION: 1 year

998 ED1 391,

Planning studies conducted using school bus routing and scheduling or other automated system,

covering areas such as new school facility construction and alteration of boundaries within district

a Official copy of publications, videotapes, or informational literature prepared for public distribution:

RETENTION: PERMANENT

b Final maps, plans, statistical tables, reports and studies:

RETENTION: PERMANENT

c Background materials and supporting documentation:

RETENTION: 6 years after project completed, or after date of final entry in record

999 ED1 501,

System operational records of original entry

created in non-automated system or used for data entry or verification, where significant information is data entered or posted to reports and other summary records, including but not limited to tachographic charts and other records generated by vehicle data recorders:

RETENTION: 0 after no longer needed for administrative or legal purposes and relevant

information posted to summary record

NOTE: Records custodians should consult their attorney or counsel before these records are disposed of regarding any potential legal value. Recordings of serious incidents may warrant longer retention for legal reasons. Tapes or other records generated by data recorders should be retained until legal action is resolved.

Transportation: Other School Transportation Records

NOTE: School bus camera recordings are covered by item no. 846 in Public Property and Equipment section.

♦ **1001** ED1 303,

School bus driver qualification file,

including but not limited to driver training certificates, character references, application for employment, physical examination, driving examination and training records

a For employees of school district or BOCES:
RETENTION: 6 years after termination of employment

b For individuals who are not employees of school district or BOCES:
RETENTION: 3 years

1002 ED1 304,

School bus purchase and capacity approval application records:

RETENTION: 0 after no longer needed

NOTE: This item does not cover school bus purchase files, which are covered by item no. 547 in the Fiscal section, Purchasing subsection, and school bus maintenance files, which are covered by item no. 817 in the Public Property and Equipment section.

1003 ED1 306,

School bus ridership list or pupil transportation eligibility record for common carriers and contract yellow buses,

including names of students for each trip:

RETENTION: 6 years

1004 ED1 308,

Driver's daily log report:

RETENTION: 6 years

1005 ED1 309,

Non-public school pupil transportation records,

including parental requests and consents:

RETENTION: 3 years

1006 ED1 392,

School bus safety drill records:

RETENTION: 3 years

1007 ED1 395,

Field trip records,

including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:

RETENTION: 6 years after date of most recent entry

1008 ED1 396,

Commuter traffic reduction program records,

covering Employee Commute Option (ECO), Transportation Demand Management (TDM), or similar program records

a Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates, including records relating to agency review, approval, disapproval and appeal (copies maintained by local government acting as Local Administrative Agency):
RETENTION: 6 years after superseded or obsolete
NOTE: Appraise these records for archival value. These records may be useful in providing information on relieving traffic congestion problems in certain urban areas. Contact the State Archives for additional advice.

b Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates (copy maintained by local government employer):
RETENTION: 3 years after superseded or obsolete

c Bi-annual maintenance report (copy maintained by local government employer or local government acting as Local Administrative Agency):
RETENTION: 6 years

d Information on potential participants, including list of applicants and individual employee surveys:
RETENTION: 3 years

♦ **1294**

School bus photo violation monitoring system records

NOTE: Recordings from school bus cameras used for security purposes are covered by item no. 846 in the Public Property and Equipment section. Case investigation records are covered under item no. 1222 in the Public Safety section.

a When recording relates to specific case investigation:
RETENTION: Retain as long as the case investigation to which the recording relates is retained

b When recording does not relate to specific case investigation:
RETENTION: 6 months

SOCIAL SERVICES (COUNTY)

♦ **1134** CO2 617,

County social services case record

a Where first entry is 1950 or earlier, including but not limited to application for assistance or services, eligibility forms, case history, authorization of assistance or services, and correspondence:

RETENTION: PERMANENT

b For adopted child, where first entry is 1951 or later, including but not limited to pre-adoption history, medical report on natural mother and child, and correspondence, but not covering adoption subsidy:

RETENTION: PERMANENT

c For cases involving children, where first entry is 1951 or later, and covering one of the following: abuse or maltreatment; family adopting a child; child health; medical assistance; protective services; or day care child's medical records; except for adopted child sealed case record, which must be retained permanently; including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence:

RETENTION: 0 after youngest child attains age 28

NOTE: Sections 422.5 and 422.6 of the Social Services Law, as amended by Chapter 12 of the Laws of 1996, Chapter 136 of the Laws of 1999, and Chapter 555 of the Laws of 2000, contain legal requirements relating to retention of reports of child abuse and maltreatment held by county social services departments. The current requirements are as follows:

1. Reports, which are unfounded, received by the State Central Register prior to February 12, 1996, must be destroyed or have information expunged from them forthwith.

2. Reports, which are unfounded, received by the State Central Register after February 11, 1996, must be legally sealed forthwith and retained for 10 years after receipt of the report (by the State Central Register), and then must be destroyed or have information expunged from them, except such reports must be destroyed prior to the passage of 10 years upon direction of the NYS Office of Children and Family Services pursuant to provisions of Chapter 555 of the Laws of 2000.

3. All indicated (substantiated) reports must be retained for 10 years after the youngest child mentioned in the report attains age 18, and then must be destroyed or have information expunged from them.

For additional information on this subject, contact Counsel's Office, New York State Office of Children and Family Services, 52 Washington Street, North

Building, Room 133, Rensselaer, NY 12144-2796; phone, (518) 474-3333. Although item no. 1134, sections c and e have a less than permanent retention period, the State Archives recommends that county social services agencies consider permanently retaining services case histories (narrative and comment sheets), where they exist. These histories contain information not available elsewhere, and document counties' roles in public assistance programs.

d For preventive services to children, where first entry is 1951 or later:
RETENTION: 6 years after 18th birthday of youngest child in the family

e For foster care cases, where first entry is 1951 or later:
RETENTION: 30 years after the discharge of the child from foster care
NOTE: Although item no. 1134, sections c and e have a less than permanent retention period, the State Archives recommends that county social services agencies consider permanently retaining services case histories (narrative and comment sheets), where they exist. These histories contain information not available elsewhere, and document counties' roles in in public assistance programs.

f For child held in detention home, children's shelter or similar facility, where first entry is 1951 or later, including but not limited to admission and release notice, copy of court order, copy of admission physical examination, psychiatric evaluation, accusation of staff abuse, list of
personal property, and clothing inventory:
RETENTION: 0 after child attains age 21
NOTE: For child that is a foster care case, follow disposition requirements under part e.

g Non-services and services case files, other than those described in other parts of this item, including programs such as Public Assistance and Care, Medical Assistance, Supplemental Nutrition Assistance Program (SNAP), Adult Services, and Aid to Dependent Children, where first entry is 1951 or later, and including but not limited to application for assistance or services, eligibility forms, authorization of assistance or services, and correspondence:
RETENTION: 6 years after case closed
NOTE: The United States Department of Agriculture (USDA), Food and Consumer Services (FCS), requires that certain case files involving Supplemental Nutrition Assistance Program (SNAP) be retained for a longer period of time than stated in part "g". If there has been an intentional program violation (IPV) disqualification, the case record must be retained for the life of the individual involved, or until FCS has notified the State Office of Temporary and Disability Assistance that the case record is no longer needed. For cases involving work requirement violations and permanent disqualifications, the case records must be retained for the life of the individual involved or until that individual attains age 60, whichever is shorter. For additional information, contact the Division of Temporary Assistance, New York State Office of Temporary and Disability Assistance, at (518) 474-9300.

h Home Energy Assistance Program (HEAP) case files, including regular benefit, emergency benefit, and clean and tune benefit:

RETENTION: 6 program years, including the current program year

i Home Energy Assistance Program (HEAP) case files, including Heating Equipment Repair and Replacement (HERR) and Cooling Assistance Component benefits:

RETENTION: 10 years

j Adoption subsidy case record:

RETENTION: 10 years after child attains age 21

♦ **1135** CO2 618,

Denied or withdrawn application for assistance or services

or to adopt child or to offer foster care, excluding foster homes, including related records:

RETENTION: 6 years after the denial or withdrawal of the application

1136 CO2 619,

Register,

index or other record showing applications or requests for assistance or services or showing participation in program:

RETENTION: 6 years after last entry

1137 CO2 620,

Social services case transaction history or case activity control log

listing actions taken on case and dates, including public assistance, adult services, children's services, adoption case, and day care registration:

RETENTION: PERMANENT

♦ **1138**

Application for foster home, including related records

a Approved application and related records:

RETENTION: 6 years after termination or expiration of foster home certification or license

b Denied, withdrawn, or expired application and related records:

RETENTION: 6 years after the denial, withdrawal or expiration of the application

1139 CO2 621,

Foster home case activity control log:

RETENTION: 6 years after termination of foster home certification or license

1140 CO2 622,

Record of assistance granted

a When assets have been assigned:

RETENTION: 10 years after case closed

b When there has been no assignment of assets:

RETENTION: 6 years after case closed

1141 CO2 623,
Asset assignment record:

RETENTION: 10 years after case closed

1142 CO2 624,
Asset register:

RETENTION: 6 years after last case closed

1143 CO2 625,
Property records,
including deed, mortgage, lien or estate records, and appraisal of fair market value:

RETENTION: 6 years after assets liquidated or recoupment is completed

1144 CO2 626,
Utilization review and long-term care placement records,
where county social services conducts review and placement functions:

RETENTION: 6 years

1145 CO2 627,
Payment roll, schedule or history:

RETENTION: 10 years after case closed

1146 CO2 982,
Copies of authorization for payment,
retained in accounting office, pursuant to 18NYCRR and Office of Temporary and Disability Assistance (OTDA) policy:

RETENTION: 6 years

♦ **1147** CO2 628,
Medicare, Medicaid or insurance carrier claim records,
including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:

RETENTION: 10 years

♦ **1148** CO2 629,
Insurance and reimbursement related reports,
including Medicare or Medicaid cost report, certified uniform financial or statistical report, and all necessary supporting documentation:

RETENTION: 10 years

1149 CO2 630,
Support collection accounting records

a Official record of account:
RETENTION: 6 years after case closed

b Original entry and intermediary records, used in posting information to official account record:
RETENTION: 6 years

c Fiscal and statistical reports relating to support collection:
RETENTION: 6 years

1150 CO2 631,
Support collection enforcement case records:

RETENTION: 6 years after youngest child affected by order attains age 21

1151 CO2 632,
Master summary record
(index or register) of support collection cases:

RETENTION: PERMANENT

1152 CO2 983,
Support collection case review and adjustment records:

RETENTION: 6 years after youngest child affected by order attains age 21

1153 CO2 984,
Social services case management system reports,
produced from manual or automated case management or other systems used to monitor and report on service and non-service cases, other than reports which are specific to individual cases or are covered by other items in this section

a When needed for audit or other fiscal purposes:
RETENTION: 6 years

b When not needed for audit or other fiscal purposes:
RETENTION: 0 after no longer needed
NOTE: Social services case management and related systems generate numerous daily, weekly, monthly, quarterly and other reports. Some of these reports are needed for six years for fiscal audit and related purposes. Other reports can be destroyed after shorter periods of time, such as after they are superseded by subsequent reports, after the preparation of related reports, after passage of specific time periods, or after they are no longer needed for administrative purposes. For further information on determining appropriate retention periods for specific reports, contact the New York State Office of Temporary and Disability Assistance and the New York State Office of Children and Family Services.

1154 CO2 633,
Cemetery records
relating to alms house or county home, including but not limited to interment, exhumation or removal records; inscriptions from headstones; burial permits; and maps or surveys of grave locations:

RETENTION: PERMANENT

1155 CO2 634,

Register or equivalent summary record listing residents of county poor house or alms house:

RETENTION: PERMANENT

1156 CO2 985,

Adult home/adult care/adult shelter/family shelter facility records

a Resident/participant records, including personal, financial and dietary planning records, and related records:

RETENTION: 3 years after death or discharge

b Facility/program records, including records documenting the operation and maintenance of the facility; daily census reports; incident reports; business records; records relating to the application or renewal of the operating certificate; admission and discharge registers; program records including service procedures, activities schedules, agreements with external service providers, disaster and emergency plans, and records of evacuation drills; food service records including menus and food procedure records; records of the maintenance of the physical plant and environmental standards; staff records including personnel procedures, job descriptions, staffing schedules and payment records; certificates or reports issued by local and state jurisdictions related to facility operation; and related records:

RETENTION: 7 years after end of calendar year or 7 years after superseded or obsolete, whichever is longer

♦ **1157**

Child and adult day care providers review records, including monthly, quarterly, and annual reports:

RETENTION: 6 years

1158 CO2 986,

Domestic violence liaison screening and case records

a Screening forms completed by applicants/recipients of public assistance indicating presence of domestic violence and subsequent records assessing credibility of individual's assertion of domestic violence, records of services referrals, assessments for waivers of public assistance program requirements, and related records:

RETENTION: 6 years after completion of liaison's services to an individual

b Screening forms indicating no presence of domestic violence:

RETENTION: 1 year

♦ **1159** CO2 987,

Domestic violence residential program records, including case records, daily rosters, incident reports, disaster and emergency plans, and related records:

RETENTION: 6 years after termination of operation of the program

♦ **1160** CO2 988,

Domestic violence safe home network records,

including names and addresses of safe homes; lists of family/household members residing in safe homes; records of interviews with members of safe homes; information on orientation and training of safe home providers; description of safe home environments; lists of safe home rules; copies of agreements between safe home providers and the network concerning their respective responsibilities; copies of annual evaluations of safe homes; records of complaints and follow-up; records of fires, accidents and serious incidents in safe homes; and related records:

RETENTION: 6 years after termination of operation of the program

♦ **1161** CO2 989,

Domestic violence safe dwelling records,

including descriptions of physical plant; security plans; diagrams of rooms; locations of smoke detectors, fire extinguishers and telephones; lists of safe dwelling rules; records of fires and accidents; copies of annual reevaluations of safe dwellings; and related records:

RETENTION: 6 years after termination of operation of the program

1162 CO2 990,

Domestic violence nonresidential services records

a Case records, including names of persons requesting services, reasons for requests, names of minor children and/or other family/household members receiving services, types of services provided, and related records:

RETENTION: 6 years after case closure

b Daily logs showing number of telephone hotline calls and other telephone calls requesting information and/or referral:

RETENTION: 6 years

1163 CO2 607,

Rape crisis intervention records

a Individual client consultation case record of rape crisis intervention program:
RETENTION: 6 years after last entry, or 3 years after any minor involved attains age 18, whichever is later

b Master summary record (log or index) to client consultations or other activities:
RETENTION: PERMANENT

1164 CO2 1063,

Child fatality investigative reports and records

a Record copy of report concerning the death of a child whose care and custody or guardianship have been transferred to an authorized agency or whose death has been reported to the State Central Register, received from the NYS Office of Children and Family Services or prepared by a local or regional fatality review team pursuant to Sections 20(5) and 422-b, Social Services Law:

RETENTION: PERMANENT

b Non-record copies of child fatality investigative reports, which are provided to the county legislature and county executive:
RETENTION: 0 after no longer needed

c Investigative records, when investigation into child's death is conducted by a local or regional fatality review team:
RETENTION: 10 years after completion of investigation and preparation of final report

♦ 1165

Fraud complaint and investigation file

a For fraud case complaint records, when no action is taken:
RETENTION: 6 years after decision not to investigate

b For fraud case complaint or investigation records, when additional action is taken:
RETENTION: 10 years after case closed

SOCIAL SERVICES (OTHER THAN COUNTY)

1166 MU1 577,

Overseers of the poor records,

including accounts, reports, claims, indentures and records of relief granted:

RETENTION: PERMANENT

1167 MU1 578,

Monthly or other periodic reports,

submitted by town or city welfare officer to local governing body or county social services department:

RETENTION: PERMANENT

1168 MU1 579,

Municipal social services case record,

including but not limited to application for assistance or services, eligibility forms, case history or equivalent narrative record, authorization of assistance or services, record of assistance or services provided and correspondence

a Where first entry dates from 1972 or earlier:
RETENTION: PERMANENT

b Where first entry is 1973 or later:
RETENTION: 6 years after case closed, but not until any minor involved attains age 28

1169 MU1 846,

City veterans' relief records,

including but not limited to records of supplies or services provided veterans, home relief order, payment vouchers and lists of supplies purchased from vendors:

RETENTION: PERMANENT

SOIL AND WATER CONSERVATION

NOTE: This does **not** cover records of the U.S.D.A. Natural Resources Conservation Service offices which are located in each county. Their records are federal records, and their retention is not governed by the State Archives.

♦ **NOTE:** Records documenting the establishment, change, or dissolution of agricultural district are covered by item no. 43 in General Administration section.

1009 CO2 635, MI1 515
Memorandum of understanding
between soil and water conservation district and state, federal or other agency, indicating services to be performed and work to be carried out:

RETENTION: PERMANENT

1010 CO2 636, MI1 516
Release or agreement
granted soil and water conservation district by landowner for drainage or irrigation purposes:

RETENTION: PERMANENT

1011 CO2 637, MI1 517
Cooperator's case file:

RETENTION: PERMANENT
NOTE: Municipal cooperators' case files involving discretionary planning review are covered by item no. 124 in the Building and Property Regulation section.

1012 CO2 638, MI1 518
Request for assistance or information, and response
provided by soil and water conservation district, when no agreement is entered into by the two parties:

RETENTION: 3 years

1013 CO2 639, MI1 519
Cooperator's individual account record
documenting payment for services:

RETENTION: 6 years after last entry

1014 CO2 640, MI1 520
Master summary record of all contacts
made by soil and water conservation district:

RETENTION: PERMANENT

1015 CO2 641, MI1 521

Individual contact record

(log or contact sheet) recording all contacts made by soil and water conservation district:

RETENTION: 2 years

1016 CO2 642, MI1 522

Geographic reference file

containing summary information on technical assistance and consultation provided in municipality or geographic area, and basic data on major soil and water conservation projects:

RETENTION: PERMANENT

1017 CO2 643, MI1 523

Soil group worksheet,

containing detailed breakdown of soil types and land uses for parcel of agricultural property, used in calculating agricultural assessment:

RETENTION: 1 year after superseded by updated worksheet

1018 CO2 644, MI1 524

Soil maps,

showing detailed breakdown of soil types and groups, including aerial photographs used in producing maps:

RETENTION: PERMANENT

1019 CO2 991, MI1 855

Copy of environmental impact statement (E.I.S.),

furnished soil and water conservation district for information and comments

a When no comments are forwarded to lead agency:
RETENTION: 0 after no longer needed

b When comments are forwarded to lead agency:
RETENTION: 1 year

c Comments on E.I.S. furnished lead agency by district:
RETENTION: 6 years

1020 CO2 993, MI1 857

Soil test results for farmland soil sample,

including nutrient analysis and recommendations:

RETENTION: 3 years

1021 CO2 994, MI1 858

Watershed farmer's case file,

including but not limited to farm management assessment, environmental assessment, plan evaluation, whole farm plan and supporting data:

RETENTION: PERMANENT

TAXATION AND ASSESSMENT

Real Property Taxation/Assessment Systems

NOTE: Some local governments in the state use automated systems to keep track of various functions of their offices regarding taxation and assessment. These systems, which we are referring to generically as "Real Property Taxation/Assessment Systems," contain information in such areas as valuation, basic property information, comparable sales, grievances, and tax collection. In general, these systems do not replace existing hard copy-based systems, but do create some of the forms and other paper records in these files. In addition, these systems contain data files and other electronic records not found in manual systems. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well.

More importantly, these systems often contain summary information on specific parcels of real property, including improvements located on them. The taxation/assessment history data file, listed below, may contain retrospective information on ownership, sales, land use, property characteristics and structures for a single parcel of property over a period of time.

These systems include the Real Property System (RPS) developed by the New York State Office of Real Property Tax Services (ORPTS), as well as locally-developed and commercial off-the-shelf systems, some of which take the place of the RPS and others of which incorporate or utilize RPS system data. While the RPS software is developed by a state agency, system files which contain information entered by a local government are considered local government records.

1022 CO2 995, MU1 847,
Real property history data file contained in taxation/assessment data system, and related records, created for informational and reference purposes, containing summary and/or cumulative historical information on such areas as property ownership, sales, land use, property characteristics and structures:

RETENTION: 0 after no longer needed
NOTE: Counties and municipalities should consider permanent retention of these real property taxation/assessment history data files for all parcels of property. This information may be useful for long-range planning purposes, mass reappraisal, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.

1023 CO2 996, MU1 848,
Real property current data file contained in taxation/assessment data system

(either RPS or equivalent system),
and related records, containing current information on such areas as property ownership, sales, land use, property characteristics and structures:

RETENTION: 0 after no longer needed, but not less than 4 years
NOTE: Counties and municipalities should consider permanent retention of the basic data elements of these real property taxation/assessment systems for all parcels of property. These data elements may be outputted to electronic, paper, microfilm or other format, or may be transferred to an automated real property history data file (see item no. 1022). Contact the State Archives for additional advice. A series of interrelated and inseparable files currently contained in the RPS system hold both summary and detailed taxation/assessment data. This Schedule treats these files as one record.

1024 MU1 606, ED1 497, MI1 859
Master Summary record of real property transfers within area served by local government:
RETENTION: 0 after no longer needed, but not less than 6 years
NOTE: Appraise these records for historical significance. These records, compiled from real property transfer reports received from the county, may have continuing value for historical or other research. Contact the State Archives for additional advice.

1025 CO2 997, MU1 849,
Street address/parcel number authority data file,
used to supply this or other system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, or to correlate multiple addressing and/or parcel numbering systems:

RETENTION: Maintain as updated data file as long as address and/or parcel numbering systems the file contains are in use, and as long as necessary to access records identified by previous address or numbering systems.

1026 CO2 998, MU1 850,
Final assessment roll sequential master backup file
(sometimes known as "taxable status" file), produced annually by RPS or equivalent system, containing assessment data submitted to the New York State Office of Real Property Tax Services:

RETENTION: 10 years after filing of related assessment roll
NOTE: This data may have secondary value beyond the purpose for which it is created, if it can serve as a "snapshot" of assessment data, and no other annual snapshot is created. This record may be valuable in place of or in conjunction with an automated real property history data file. Contact the State Archives for additional advice on the maintenance and uses of these records.

1027 CO2 999, MU1 851,
Lists, reports, studies, special projects and analyses
created from data contained in one or more data files in real property taxation/assessment system or subsystem

a Final reports and studies resulting from analysis of system data, containing significant information on real property and structures located thereon, used for such purposes as long-range planning, reappraisal, or historical preservation:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years after project completed, or after date of final entry in record

c Preliminary reports and studies resulting from analysis of system data, containing routine information on real property and structures located thereon, or used to produce final reports and studies, as well as lists, logs or other internal information records:
RETENTION: 0 after no longer needed

Valuation and Assessment

1028 CO2 645, MU1 582,
Assessor's field data, including field book and automated field assessment data file, containing assessor's notes and computations used in determining property valuation:
RETENTION: 4 years after last entry

1029 CO2 646, MU1 583,
Property assessment record card
or equivalent master summary record of improvements and alterations to unit of real property, and resulting valuation and assessment:
RETENTION: PERMANENT

1030 CO2 1000, MU1 852,
Physical inventory and property description detailed data file,
used to produce property assessment record card or equivalent record, containing detailed property description (and sometimes related valuation) information, as well as photographic images and outline sketches of properties and structures located on them:
RETENTION: 0 after no longer needed, but not less than 4 years
NOTE: Counties and municipalities should consider permanent retention of these detailed property description data files for all parcels of property. This information may be very useful for community, urban planning and architectural history research. If this is not feasible, then the State Archives strongly recommends that the most important data elements be preserved either in the system or output to "history" files, reports or other system output. Images contained in the system may be particularly valuable for architectural, community and historical research. Contact the State Archives for additional advice on the creation and maintenance of these records.

1031 CO2 647, MU1 584,
Records used in determining property valuation,

including but not limited to property valuation detailed data file, used to conduct analyses and perform computations necessary for valuation or revaluation of property; detailed property description; file content sheet; inventory content sheet; comparative property valuations; comparative sales records and comparables and/or sales data file; standard valuation criteria data and copies of building and zoning records:

RETENTION: 4 years after superseded or obsolete

NOTE: If the file content sheet is merely used for posting information on assessment changes, it is covered by item no. 62 in the General Administration section.

1032 CO2 1001, MU1 853,

Mass reappraisal records

a Final or justification reports or studies, created or received as part of mass appraisal process:

RETENTION: PERMANENT

b Detailed data, cost tables, preliminary reports and computations created or received as part of mass appraisal process:

RETENTION: 4 years

1033 CO2 1002, MU1 854,

Questionnaires and data mailings sent to property owners,
used to update information and to verify assessment and property description information maintained by local government:

RETENTION: 1 year after any necessary changes are posted to official records

1034 CO2 648, MU1 585,

Railroad ceiling and special franchise assessment determination records

a Annual certificate of state-determined ceiling or assessment:

RETENTION: PERMANENT

b Railroad ceiling and special franchise assessment records, other than annual certificate, including but not limited to notice of tentative ceiling or assessment, and record of apportionment to districts:

RETENTION: 3 years

1035 CO2 649, MU1 586, ED1 283, MI1 525

Equalization rate records

a Certificate of final equalization rate, as determined by New York State Office of Real Property Tax Services:

RETENTION: PERMANENT

b Equalization rate determination records other than certificate of final rate, including but not limited to notice of tentative rate, data submitted and reports submitted to New York State Office of Real Property Tax Services:

RETENTION: 3 years

♦♦**1036** CO2 650, MU1 587,

Tax maps,

including updates and revisions

a Official copy of map created by or for county:
RETENTION: PERMANENT

b Certification of proper maintenance of tax maps:
RETENTION: 2 years

c Property index cards, supplemental data and background files, used in tax map preparation and maintenance:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Property index cards and related records may contain retrospective sales and other property history information, which may be very valuable if the same information is not contained in a real property history file.

d Copy of map, held by municipality which conducts assessments, where official copy is held by county:
RETENTION: 10 years after filing

1037 ED1 284, MI1 526

Copy of tax map
held by local government which does not conduct assessments, where official copy is held by county or municipality:

RETENTION: 0 after no longer needed

1038 CO2 651, MU1 588,

Tax assessment and approval records for state-owned lands subject to taxation, including certificate of approval from New York State Office of Real Property Tax Services, notice of determination, lists of taxable state land, working papers, correspondence, and reports:

RETENTION: 6 years
NOTE: Appraise these records for historical significance. Certain records describing state-owned property, determining the amount of tax payable and concerning specific uses of state lands which are a matter of public concern may merit permanent retention. Contact the State Archives for additional advice in this area.

1039 CO2 652, MU1 589,

Tax exemption or abatement file
covering veterans, aged, School Tax Relief Program (STAR), nonprofit organizations, new business, conservation easements, forest land, and other exemptions or abatements

a Original detailed application and supporting documentation:
RETENTION: 6 years after expiration of exemption or abatement

b Renewal applications, routine correspondence and memoranda (when original detailed application is maintained):
RETENTION: 6 years

c Application denial records, including results of hearing:
RETENTION: 6 years after final determination

d Forms used to report social security numbers/taxpayer identification numbers and not containing other substantive information, for use in income verification programs:

RETENTION: 0 after no longer needed

e Records documenting exemptions under payments in lieu of taxes (PILOT):
RETENTION: 6 years

1040 CO2 653, MU1 590,

Assessment/tax grievance file,
including but not limited to application for re-evaluation, copy of advisory appraisal, petition, statement of complaint, copy of hearing results and correspondence:

RETENTION: 6 years after final determination

NOTE: Minutes of the Assessment Board of Review must be retained permanently. See item no. 47 in the General Administration section.

1041 CO2 1003, MU1 855, ED1 383,

Copies of tax grievance or judicial assessment review records
received by school districts, non-assessing villages and counties, including but not limited to copies of petition and notice filed pursuant to sections 708(3) and 730(8), Real Property Tax Law:

RETENTION: 1 year

NOTE: The receiving agency may wish to retain these records longer if the grievance or judicial assessment review may involve a substantial potential future tax refund.

1042 CO2 654, MU1 591,

Agricultural land assessment records,
including but not limited to application for agricultural value assessment and correspondence

a For lands within agricultural district:
RETENTION: 6 years

b For lands outside of agricultural district:
RETENTION: 20 years

1043 CO2 655, MU1 592,

Assessor's annual report,
created and filed pursuant to Part 8193-4, 20NYCRR:

RETENTION: 10 years

Assessment Roll/Tax Roll

1044 CO2 656, MU1 593, ED1 285, MI1 527

Working papers or other intermediary records
used in preparation of, or in posting changes to, assessment roll or tax roll, including but not limited to assessor's notes, Record of Taxable Status and automated data file:

RETENTION: 3 years after filing of roll

♦ **1045** CO2 657, ED1 286, MU1 594, MI1 528

Assessment and tax rolls

(including records relating to correction of errors on assessment and/or tax rolls)

a Tentative assessment roll:
RETENTION: 5 years after filing
NOTE: Tentative rolls are maintained by cities, towns, assessing villages, and Tompkins and Nassau counties.

b Final assessment roll:
RETENTION: 10 years after filing
NOTE: The official copy of the final assessment roll is filed with the county, with copies of the roll also filed with the constituent municipalities.

c Copies of assessment rolls
RETENTION: 0 after no longer needed
NOTE: Copies of assessment rolls are maintained by counties which prepare them for towns, villages, and cities located within the county. Also includes copies of assessment rolls prepared by Westchester County cities and towns for the county.

d Warrant copy of tax roll, including warrant or levy to collect taxes:
RETENTION: PERMANENT
NOTE: The official copy is often filed with the county. All towns turn over the warrant copy of tax roll to the county, except for Westchester County towns, and all school districts except for city school districts. Villages may turn over roll to county.

e Non-warrant copy of tax roll prepared for internal administrative use when warrant copy is retained permanently:
RETENTION: 1 year after filing

f Abstract of tax roll:
RETENTION: 0 after no longer needed
NOTE: An abstract is simply a summary record, with selected information from the tax roll, which may or may not be prepared. Appraise these records for potential long-term research value before destruction. Some abstracts may provide an overview of the taxation process that cannot be easily obtained from the tax rolls.

g Non-warrant copy of tax roll prepared by the county and submitted to city or town showing county taxes:
RETENTION: 5 years
NOTE: When a county prepares its warrant for county taxes, it also prepares and send to each of the cities and towns a non-warrant copy of the city and town assessment roll showing county taxes for properties on those rolls. These non-warrant copies of city/town tax rolls, showing only county taxes and not city or town taxes, are used by the cities and towns to prepare their warrant rolls.

♦ **1046**

Non-official copies of tentative and final assessment rolls,
maintained by non-assessing jurisdictions:

RETENTION: 1 year

Tax Collection

♦ **1047** CO2 658, MU1 595, ED1 287, MI1 529

Tax collection records

a Tax collection data file, returned copy of tax bill, copy of tax bill sent by assessing entity, copy of receipt issued taxpayer, collector's daily accounts, receiving office tapes, records of overpayment, rebate or refund, record or notice of payment of post-due taxes, report on tax monies collected, request for extension of time to collect taxes, and similar records:

RETENTION: 6 years

NOTE: Documentation of payment of school taxes must be retained permanently as it may affect the title to real property. Usually this information will be found on the warrant tax roll (item no. 1045d, above). If the warrant copy of the tax roll does not contain this information, then copies of paid tax bills or equivalent records must be retained permanently to document this tax payment information.

b Tax collection history data, containing summary tax collection history information, created from tax collection data file:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. This data may be useful for a number of years for convenience of reference, and may possibly have long-term historical value.

c Documentation of regular updates or corrections made to tax collection

RETENTION: 6 years

d Records requesting tax bills or statements be sent to third-party designees:

RETENTION: 6 years after request expires or is withdrawn

1048 CO2 659, MU1 596, ED1 288, MI1 530

Statement or list of unpaid taxes or taxes due,

or other lists, reports or studies relating to tax collection:

RETENTION: 6 years

1049 CO2 660, MU1 597, ED1 289, MI1 531

Tax escrow account records

a Notification of creation, transfer or termination of escrow account, when original record is maintained by county:

RETENTION: 1 year after transfer or termination of account

b Notification of creation, transfer or termination of escrow account, when original record is not maintained by county:

RETENTION: 6 years after transfer or termination of account

c List of tax escrow accounts:

RETENTION: 1 year after superseded or obsolete

Tax Redemptions and Sales

1050 CO2 661, MU1 598,
Master summary record of real property tax lien sales:

RETENTION: PERMANENT

1051 CO2 662, MU1 599,
Real property tax lien sale records

a Official copy of tax lien sale (or auction) list or catalog:
RETENTION: PERMANENT

b Official copy of notice of sale and proof of publication:
RETENTION: PERMANENT

c Letter notifying owner, mortgagee, lien-holder or any other "interested party" of the forthcoming sale and proof of personal delivery of letter of notification (by process server), or proof of delivery and receipt via certified or registered mail:
RETENTION: PERMANENT

d Tax lien sale records, including but not limited to tax lien foreclosure and sale data file, copy of deed, bids, abstract of sale, memoranda and correspondence, documentation of regular updates or corrections made to tax lien data file, except letter of notification, proof of delivery and receipt of letter of notification, sale book and official copy of notice of sale, proof of publication, sale (or auction) catalog or list:
RETENTION: 6 years after sale

1052 CO2 663, MU1 600,
Master summary record
(register, log or index file) of real property tax lien redemptions and/or discharges:

RETENTION: PERMANENT

1053 CO2 664, MU1 601,
Real property tax lien redemption records,
including but not limited to notice of foreclosure, certificate of redemption, record of payment of tax and penalties, memoranda and correspondence, except master summary record:

RETENTION: 6 years after redemption or discharge of lien
NOTE: These records may have value in documenting title to real property. The State Archives suggests that these records be evaluated, in conjunction with the master summary record, above, before disposition takes place.

Miscellaneous

1054 CO2 665, MU1 602,
Real property transfer report,
including copy of deed, submitted to New York State Office of Real Property Tax Services (covers form RP-5217 or equivalent):

RETENTION: 6 years

1055 CO2 666, MU1 603, ED1 290, MI1 532
Informational listing or index
used in relation to taxation and assessment, including but not limited to lists of property owners, real estate transfers, address changes, exempt properties, filed grievances, tax redemptions, notice of bankruptcy or foreclosure proceeding (including from U.S. bankruptcy courts), and billing addresses:

RETENTION: 1 year after superseded or obsolete

1056 CO2 667, MU1 604, ED1 291, MI1 533
Records of apportionment of tax monies

a Annual certificate of apportionment sent to municipality or district:
RETENTION: PERMANENT

b Apportionment records, except annual certificates:
RETENTION: 6 years

1057 CO2 668, MU1 605, ED1 292, MI1 534
Tax search record,
including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:

RETENTION: 6 years

1058 CO2 669, MU1 607, ED1 293, MI1 535
Tax levy and tax rate determination records,
including computation of constitutional tax margin and statement filed with State Comptroller's Office:

RETENTION: 6 years

1059 ED1 498,
School property tax report card,
prepared for ensuing school year as part of the school budget process:

RETENTION: PERMANENT

TRANSPORTATION AND ENGINEERING

Airport

NOTE: Changes in recordation and recordkeeping requirements for airports are likely to occur during and after the time this Schedule is being finalized for publication. The State Archives will notify local governments which operate airports of any new state or federal records retention requirements. Conversely, these local governments should inform the State Archives when they become aware of any such requirements, or when any records not covered by this schedule are received or created.

1060 CO2 670, MU1 608, MI1 536

Operation certification records,
involving certification from the Federal Aviation Administration (FAA)

a Operating certificate, application for certification and FAA inspection reports relating to certification, operational manual (including all updates):
RETENTION: PERMANENT

b Security-related and other mandates and circulars received from the FAA, along with any related correspondence, dealing with significant issues:
RETENTION: PERMANENT

c Security-related and other mandates and circulars received from the FAA, along with any related correspondence, not dealing with significant issues:
RETENTION: 1 year after superseded, obsolete or no longer needed

♦ **1061** CO2 671, MU1 609, MI1 537

Airport security and safety records

a Security or safety inspection records, which contain non-routine information or indicate need for maintenance, repairs, or changes in airport operational policies:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Inspection records documenting serious problems or conditions may have historical value and may merit permanent retention. Contact the State Archives for additional advice.

b Records of routine inspections performed at airport, where longer retention is not necessary for administrative, fiscal or legal reasons:
RETENTION: 1 year

c Other security records, including but not limited to visitor's register, security officers' logs or reports, automated security system reports, false alarm reports, and records of security videotape review:
RETENTION: 3 years

NOTE: Record documenting potentially important incidents may warrant longer retention for legal reasons. Airport officials should carefully review these records before destroying them. Original records may need to be retained longer than 3 years even if posted to summary records. Contact the State Archives for additional advice.

d Summary security records, including periodic reports:
RETENTION: 6 years

e Security plan and registration record submitted to the New York State Department of Transportation under provisions of Section 14-m, Transportation Law:
RETENTION: 3 years

1062 CO2 672, MU1 610, MI1 538
Airport tenant legal and reference files

a Contract negotiations, contracts, leases and significant correspondence:
RETENTION: 6 years after expiration, revocation or renewal
NOTE: Appraise these records for historical significance prior to disposition. These records may document the important roles these facilities play in the economic development of the community. In such cases, these records may have continuing value for historical or other research meriting their permanent retention. Contact the State Archives for additional advice.

b Correspondence, including but not limited to complaints about tenants:
RETENTION: 6 years

c Informational materials, including but not limited to lists of tenants' employees, sample of airline schedules, brochures and advertising materials:
RETENTION: 0 after obsolete
NOTE: For copies of actual airline schedules, see item no. 1065.

d Airline employee security background check, security clearance, and identification records:
RETENTION: 6 years after employee no longer employed at airport

1063 CO2 673, MU1 611, MI1 539
Airport incident or accident reports

a Incident data summary record recording incidents or accidents at airport:
RETENTION: 3 years after last entry

b Incident or accident report and related records:
RETENTION: 3 years
NOTE: Appraise these records for historical significance prior to disposition. Records documenting serious incidents or accidents have historical value and may merit permanent retention. (For disaster files, see also item no. 146 in the Civil Defense/Disaster Preparedness section.) Contact the State Archives for additional advice.

1064 CO2 1004, MU1 901, MI1 860
Accreditation records for airport personnel,
accredited by American Association of Airports, Airports Council International, or other

organization

a Accreditation records relating to individuals:
RETENTION: 6 years after termination of service

b Other records, including lists of accredited individuals:
RETENTION: 0 after superseded or obsolete

1065 CO2 1005, MU1 902, MI1 861

Airline/airport schedule and usage records,

such as those received from airlines or the FAA, including monthly reports, passenger counts, cargo and load records

a Summary records, and records containing information with fiscal or legal implications:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Summary records may have historical value in documenting airport activity and may merit permanent retention. Contact the State Archives for additional advice.

b Routine records, not containing information with fiscal or legal implications:
RETENTION: 1 year
NOTE: Data and related records submitted to and received from the New York State Department of Transportation relative to financial assistance and grant applications is covered by item no. 55b in the General Administration section.

1066 CO2 1006, MU1 903, MI1 862

Fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records

for airport

a Consumption and dispensing records for fuel, oil, or similar products used by service vehicles, equipment or airplanes:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Summary records may have historical value in documenting the use of fuel and other chemicals at airports and may merit permanent retention. Contact the State Archives for additional advice.

b Substance testing records:
RETENTION: 3 years

c Approvals from the New York State Department of Environmental Conservation (or other agency) for storage and dispensing of fuel and other substances:
RETENTION: 7 years after expiration or termination of approval or denial of application

d Records relating to non-significant leakage, spillage and runoff:
RETENTION: 6 years

e Records relating to significant leakage, spillage and runoff, or any leakage from underground storage tanks:
RETENTION: PERMANENT

NOTE: For other petroleum bulk storage records, see item no. 823 in the Public Property and Equipment section.

f Plans to control leakage, spillage, or runoff, or to deal with accidents and emergencies:
RETENTION: PERMANENT

Highway, Engineering, and Public Works

NOTE: Records relating to water, wastewater, and landfill projects may be found in the Environmental Health section. Records relating to publicly owned property and equipment may be found in the Public Property and Equipment section.

NOTE: Certain records found in this section may be needed for litigation involving personal injury incurred by minors. Where appropriate, these records should be retained for 3 years after the individual involved attains age 18, even if the specified retention period has expired.

♦ **1067** CO2 675, MU1 613, MI1 541
Highway or other transportation structure maintenance and repair records
covering routine maintenance and repair activities, tree cutting, and pavement marking:
RETENTION: 6 years

1068 CO2 676, MU1 614, MI1 542
Snow and ice removal records,
including log or report of weather conditions:
RETENTION: 6 years

1069 CO2 677, MU1 615, MI1 543
Highway or transportation structure history file
containing summary information on highways, roads, streets, bridges, elevated railways, overpasses, underpasses, culverts, and other structures, except records covering routine maintenance and repair activities

a All records in file, except draft or intermediary records documenting other than significant changes and those closely duplicating other records in file:
RETENTION: PERMANENT

b Draft or intermediary records documenting other than significant changes, or closely duplicating other records in file:
RETENTION: 0 after no longer needed

♦ **1070** CO2 678, MU1 616, MI1 544
Project file for capital transportation improvement
covering highways, roads, streets, bridges, other structures, parking lots and garages, and public transportation system improvements

a Feasibility studies; successful bids; plans, specifications and designs; project

description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports, and significant correspondence:

RETENTION: 6 years after highway or structure no longer exists or is abandoned

b Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheets, routine correspondence and detailed construction specifications:

RETENTION: 6 years after last entry in project file or, if project involves bonds, 6 years after final bond redemption

c Records related to New York State Department of Transportation-issued grants or the Consolidated Local Street and Highway Improvement (CHIPS) and Extreme Winter Recovery (EWR) programs, including but not limited to project certification, invoices, equipment usage statements, payroll records, curb ramp installation photos, proof of payment, and summary records:

RETENTION: 36 years after reimbursement from state

d Unsuccessful bids:

RETENTION: 6 years after final payment under contract

e All records, when project is proposed but not undertaken:

RETENTION: 6 years after last entry

NOTE: For additional plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item nos. 1072 and 1073.

1071 CO2 679, MU1 617, MI1 545

Master summary record

(index, log or register) of transportation improvement projects:

RETENTION: PERMANENT

1072 CO2 680, MU1 618, MI1 546

Official maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections of highways, roads, streets, bridges, or other structures

including indices or finding aids, when not relating to specific project design files, covered by item no. 1073, immediately below

a Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:

RETENTION: PERMANENT

b Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant highway or structure:

RETENTION: 6 years after structure no longer exists

c Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

d Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained.

e Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of

1073 CO2 1007, MU1 904, MI1 863

Design file for capital transportation improvement project,
including plans, maps, designs, sketches, designs, architectural drawings, and photographs for highways and other transportation structures maintained by local government

a Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:

RETENTION: PERMANENT

b Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant highway or structure:

RETENTION: 6 years after highway or structure no longer exists

c Detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, and architectural drawings:

RETENTION: 6 years after highway or structure no longer exists

d Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

e Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained.

f Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of

1074 CO2 1008, MU1 905, MI1 864

Highway, road, street or transportation structure management automated maintenance, repair and inspection system records,

also containing information such as on motor vehicle accidents, highway safety, highway-related permits, complaints and requests for service

NOTE: This does not apply to automated systems used by public transportation systems, see item no. 1093 in the Public Transportation subsection, below.

a Detailed data file containing information such as on maintenance and repairs:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, unless official copies are maintained outside the system and are disposed consistent with item nos. 1067, 1068, 1079, 1081, 1082, 1083, and 1085 in this section. It is recommended that local officials store this data offline long enough to meet audit or any other requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 6 years

NOTE: Appraise these records for archival value. History files may contain valuable information to document highway, road, street or transportation structure management over a period of time. Contact the State Archives for additional advice in this area.

c Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:

RETENTION: 6 years

d Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which do not contain information of legal or fiscal value, such as when no work is performed and no funds expended:

RETENTION: 0 after no longer needed

e Geographic Information System (G.I.S.) street/road data file used as base maps for system operation, derived from official G.I.S. data maintained by other unit of local government:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for archival value. If G.I.S. data layers contain "value added" information on highways, roads, streets and transportation structures not found in the source files from which they were created, they may have secondary uses. Contact the State Archives for additional advice in this area.

f Copies of maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections, where official

copies are maintained elsewhere, and are covered by item no. 1072, above:
RETENTION: 0 after no longer needed

1075 CO2 681, MU1 619, MI1 547
Right-of-way records,
including legal description of right-of-way, copies of deeds, maps and photographs:
RETENTION: PERMANENT

1076 CO2 682, MU1 620, MI1 548
Property acquisition records,
documenting acquisition of real property obtained through eminent domain proceedings for transportation-related project, including record of public hearing, findings and determination, appraisal information, copy of court proceedings and correspondence:
RETENTION: PERMANENT

1077 CO2 683, MU1 621, MI1 549
Recommendation
of Highway Superintendent or Commissioner of Public Works for expenditure of highway or road fund money:
RETENTION: 6 years

1078 CO2 684, MU1 622, MI1 550
Report or "inventory"
received from and submitted to New York State Department of Transportation on status, mileage, improvements, or other characteristics of highways and bridges:
RETENTION: 5 years
NOTE: Appraise these records for historical significance prior to disposition. These records may constitute a valuable summary listing of highways and structures. Contact the State Archives for additional advice.

1079 CO2 685, MU1 623, MI1 551
Complaint or request for service,
including notification (including communication log and telephone call log) of unsafe, dangerous or defective condition of highway, street, road, bridge, sidewalk, or other capital improvement, including but not limited to inspection report and record of abatement of condition

a Summary record (such as log or register) of complaints or requests:
RETENTION: 6 years after disposition of all complaints, petitions or requests listed

b Complaint or request for service, including follow-up records, where remedial action is taken:
RETENTION: 6 years after remedial action taken or condition otherwise abated, whichever occurs first

c Complaint or request for service, including follow-up records, where no remedial action is taken:

RETENTION: 1 year

1080 CO2 686, MU1 624, MI1 552

Transportation- or engineering-related reports, studies or data queries,
including their supporting documentation, covering subjects such as traffic congestion studies, traffic safety studies, traffic sign or signal survey, speed limit change request, including but not limited to information gathering forms; copies of accident reports and court records; copies of maps, plans and surveys; and correspondence

a Reports, studies or queries having legal or fiscal value:
RETENTION: 6 years
NOTE: Appraise these records for historical significance prior to disposition. Some of these reports and studies, including their detailed documentation, may contain significant information on such subjects as traffic congestion and traffic safety, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.

b Reports, studies or queries having no legal or fiscal value, such as daily activity, individual "crew" or "shift" reports," daily communications or other routine internal reports:
RETENTION: 0 after no longer needed

1081 CO2 687, MU1 625, MI1 553

Traffic sign or signal erection, relocation, or removal records

a Records relating to individual or group of interconnected signs or signals, such as authorization for actions taken, photographs, copies of accident reports, copies of maps and surveys, sketches and diagrams, traffic surveys and correspondence:
RETENTION: 6 years after sign or signal replaced or no longer exists, whichever is shorter

b Road sign or signal listing:
RETENTION: 0 after superseded or obsolete

c Reports and other records of malfunctioning or missing sign or signal:
RETENTION: 1 year after sign or signal repaired, removed or replaced

1082 CO2 689, MU1 627, MI1 555

Copies of motor vehicle accident reports
received from law-enforcement or other government agency

a Accident reports where design or maintenance of highway or structure is relevant to accident:
RETENTION: 6 years

b Routine accident reports:
RETENTION: 1 year

1083 CO2 690, MU1 628, MI1 556

Highway related permit file
covering handling of oversized vehicles or equipment, or temporary barricading, obstruction, closing, excavation, construction or encroachment:

RETENTION: 6 years after expiration or denial of permit

1084 CO2 691, MU1 629, MI1 557
Public improvement permit file
covering construction work which improves facilities benefiting the public:
RETENTION: 6 years after expiration or denial of permit
NOTE: This does not apply to building permits or environmental health related permits. See the Building and Property Regulation and Environmental Health sections of this Schedule.

1085 CO2 692, MU1 630, MI1 558
Inspection records
for bridges, elevated railways and similar structures:
RETENTION: 6 years after structure no longer in use or inspected features have been replaced

1086 CO2 693, MU1 631, MI1 559
Intergovernmental agreements, contracts or orders
relative to highway maintenance, and sharing of equipment, materials or services:
RETENTION: 6 years after expiration

1087 CO2 694, MU1 632, MI1 560
Engineer's reference files,
usually arranged by topic, name or number of road, or name of municipality or other government agency:
RETENTION: 0 after no longer needed
NOTE: Appraise these records for historical significance prior to disposition. These records may contain valuable information on a variety of highway- and transportation-related subjects. Contact the State Archives for additional advice.

♦ **1088** CO2 695, MU1 633, MI1 561
Parking lot or garage usage records

a Summary record of usage:
RETENTION: 6 years

b Traffic counts, daily statistics, or similar records of original entry:
RETENTION: 6 years

c Tickets, copies or stubs of tickets:
RETENTION: 1 year

d Copies of permits, applications, and related records, including for handicapped parking:
RETENTION: 6 years after expiration of permit or denial of application

♦ **1089** CO2 696, MU1 634, MI1 562
Parking permit records,
including handicapped parking

a Copies of permits, applications, and related records, when a fee is involved:
RETENTION: 6 years after expiration of permit or denial of application

b Copies of permits, applications, and related records, when no fee is involved:
RETENTION: 1 year after expiration of permit or denial of application

c Master listing of permits or designated parking spaces or other summary record:
RETENTION: 0 after obsolete or superseded

1090 CO2 697, MU1 906, MI1 865

Copies of highway, street, road or bridge records received from other governmental jurisdiction:

a Where construction or maintenance of highway, street, road or bridge in question is responsibility of local government which receives the records, including instances where highways, streets or roads under separate jurisdictions abut:
RETENTION: 6 years after highway or structure no longer exists

b Copies of records received for information purposes only:
RETENTION: 1 year

1091 CO2 1009, MU1 907, MI1 866

Child safety seat inspection records,
including but not limited to requests for inspection, inspection reports and log or schedule of inspections performed:

RETENTION: 3 years
NOTE: Some of these records may need to be retained longer for potential legal needs, in case inspected vehicles are involved in personal injury accidents. Consult counsel to determine which records, if any, may need to be retained longer to meet these needs.

Public Transportation System

1092 CO2 698, MU1 635, MI1 563

Map, plan, schedule, diagram or sketch
of entire system or specific branch or route providing information on stations, stops, dates of operation and times of arrival and departure

a Final or "as built" copies of official maps, plans and designs showing system route and details of structures, along with draft or intermediary copies that document significant changes:
RETENTION: PERMANENT

b Draft or intermediary copies of official maps, plans and designs showing system route and details of structures, that do not document significant changes:
RETENTION: 0 after no longer needed

c Schedules and diagrams showing individual routes and route and time changes:
RETENTION: 1 year after superseded or obsolete
NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Local governments should consider permanent retention of samples only of schedules and diagrams covered by part "c" of the above item. Contact the State Archives for additional advice in this area.

1093 CO2 1010, MU1 908, MI1 867

Automated operational system

used to monitor and schedule operation of public transportation passenger vehicles (busses and subway vehicles), including Supply Control and Data Acquisition (SCADA) or equivalent system, used to monitor environmental conditions (temperature, humidity, air quality) in vehicles or various areas accessible to the public

NOTE: For reports and queries from system data, see item no. 1345. For alarm, problem and emergency records created from system data, see item no. 1346.

a Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that public transportation systems store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 6 years

NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

c Voice data maintained in or by automated system, including conversations between central operational unit and individual vehicle operators, and voice data used for annunciation on vehicles:

RETENTION: 0 after no longer needed

NOTE: Records custodians may wish to consult their attorney, counsel or law enforcement agency before these records are disposed of regarding any potential legal value. Recordings documenting serious incidents may warrant longer retention for legal reasons. These tapes should be retained until legal action is resolved, or the relevant specific communications should be transferred onto a separate tape. Contact the State Archives for additional advice.

1094 CO2 699, MU1 636, MI1 564

System operational records of original entry

created in non-automated system or used for data entry or verification, where significant information is data entered or posted to reports and other summary records (including but not limited to passenger counts, tickets, and stubs):

RETENTION: 0 after posted to summary record

1095 CO2 1011, MU1 909, MI1 868

Operational reports and queries for public transportation system,
including macros, queries and necessary documentation used in report and query generation

a Reports and queries dealing with serious incidents or problems, or major issues with long-term implications:
RETENTION: PERMANENT

b Reports on routine activities, which contain information of legal or fiscal value:
RETENTION: 6 years

c Reports on routine activities, which do not contain information of legal or fiscal value:
RETENTION: 0 after no longer needed

1096 CO2 1012, MU1 910, MI1 869

Public transportation system alarm, problem and emergency records

a Narrative records documenting serious problems or emergencies, including data necessary to support such records:
RETENTION: PERMANENT

b Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:
RETENTION: 3 years

c Contingency or similar plans to deal with emergency situations:
RETENTION: PERMANENT

1097 CO2 1013, MU1 856, MI1 870

Bus driver's daily work or tour of duty report,
reporting road failures and any defects noted, created pursuant to 17NYCRR Section 721.21 (b)

a If report indicates no maintenance problems, or when no significant work is performed and no funds expended:
RETENTION: 6 months

b If significant work is performed and funds are expended:
RETENTION: 6 years after vehicle no longer in use

1098 CO2 1014, MU1 911, MI1 871

Public transportation safety plan files,
covering plans submitted to New York State Department of Transportation pursuant to Part 975, 17NYCRR

a Copy of plan, including all amendments:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

1099 CO2 700, MU1 637, MI1 565

Operational certification and review records

relating to approval and inspection by New York State Department of Transportation

a Operations review records:
RETENTION: PERMANENT

b Certificate of inspection and approval to operate:
RETENTION: 6 years after invalid

c Copies of operational records received from private transportation companies serving local government under contract:
RETENTION: 0 after no longer needed

d Data collected in preparation of annual fiscal and service data reports, including statistical sampling records:
RETENTION: 6 years after submission of related report

1100 CO2 1015, MU1 912, MI1 872

Special federal- or state-funded public transportation program records,

covering Special Transportation Services for the Transportation Disabled, special mobility improvement projects related to transportation enhancements within the Metropolitan Commuter Transportation District, and Rural Public Transportation Assistance Program

a Service plans (including all amendments), final or annual reports, results of audits and reviews, and related policies and procedures, including eligibility requirements and documentation of provider or services coordinator selection:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years

1101 CO2 1016, MU1 857, MI1 873

Commuter traffic reduction program records,

covering Employee Commute Option (ECO), Transportation Demand Management (TDM), or similar program records

a Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates, including records relating to agency review, approval, disapproval and appeal (copies maintained by local government acting as Local Administrative Agency):
RETENTION: 6 years after superseded or obsolete
NOTE: Appraise these records for archival value. These records may be useful in providing information on relieving traffic congestion problems in certain urban areas. Contact the State Archives for additional advice.

b Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of

worksites and implementation schedule, and also covering revisions and updates (copy maintained by local government employer):

RETENTION: 3 years after superseded or obsolete

c Bi-annual maintenance report (copy maintained by local government employer or local government acting as Local Administrative Agency):

RETENTION: 6 years

d Information on potential participants, including list of applicants and individual employee surveys:

RETENTION: 3 years

1102 CO2 1017, MU1 913, MI1 874

Special public transportation related studies,

covering subjects such as commuter parking, car pooling, bicycle paths, bicycle lanes, and bus route changes

a Final reports, including all attachments:
RETENTION: PERMANENT

b Background materials and supporting documentation:
RETENTION: 6 years after completion of report or date of most recent entry in record

1103 CO2 1018, MU1 914, MI1 875

Special bus trip records

covering trips conducted outside normal public transportation schedule, such as "curb-to-curb" handicapped vehicle use; transportation provided by aging, youth, veterans' and other specialized services; and trips to special events; and including applications for service, lists of attendees, trip reports, and records of fees collected:

RETENTION: 6 years

1104 CO2 1019, MU1 915, MI1 876

Predecessor public transportation company records,

covering private bus companies, trolley, horse-car railroad, or turnpike companies, held by successor local government agency:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Some of these records will likely possess significant value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself, and may constitute some of very few existing records documenting these functions before the 1970s. Contact the State Archives for additional advice.

♦ **1105** CO2 1064, MI1 915

Annual affidavit of compliance

submitted to the New York State Department of Motor Vehicles certifying compliance with requirements for bus drivers as indicated in Article 19-A of Vehicle and Traffic Law, including accompanying annual statistical report on miles traveled by buses, driver

convictions and accidents, and related information:

RETENTION: 3 years after end of current year

Toll Bridge or Toll Road

1106 CO2 701, MU1 638, MI1 566
Copies of, applications for, or canceled or validated tickets or pass books:

RETENTION: 1 year

1107 CO2 702, MU1 639, MI1 567
Cumulative record or sale or issuance of toll books, tickets, or passes:

RETENTION: 6 years

1108 CO2 703, MU1 640, MI1 568
Traffic or usage counts
for toll bridge or toll road:

RETENTION: 6 years

1109 CO2 704, MU1 641, MI1 569
Operational log
for toll bridge or toll road:

RETENTION: 6 years after date of last entry

VETERANS' SERVICES

♦ **1110** CO2 707, MU1 858,
Client counseling file,
including but not limited to basic data form, interview and counseling records, copies of state and federal veterans' benefit forms, and records of referral to New York State Division of Veterans' Affairs:

RETENTION: 10 years after no activity and completion of the most recent counseling service

NOTE: A 1973 fire destroyed many records at the National Military Personnel Records Center. Local veterans service agencies may need to retain records predating 1973 in order to provide information contained in those records destroyed in that fire.

1111 CO2 708, MU1 859,
Log or register
showing summary information on all client contacts:

RETENTION: 6 years after last entry

1112 CO2 709, MU1 860,
Monthly statistical report
submitted to New York State Division of Veterans' Affairs:

RETENTION: 1 year

YOUTH SERVICES

1113 CO2 710, MU1 644,
Annual comprehensive plan and compliance report
relating to youth services, also includes detention care plan or report:
RETENTION: PERMANENT

1114 CO2 711, MU1 645,
Master summary record
(log or master index) of youths served by youth service program:
RETENTION: 15 years

1115 CO2 712, MU1 646,
Individual client consultation case file:

RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

1116 CO2 713, MU1 647,
Individual client employment placement records,
including but not limited to master index card, job order form, and periodic statistical report:

RETENTION: 3 years

1117 CO2 1020, MU1 916, ED1 468,
Youth court case files,
documenting the operation of youth courts, including but not limited to records of cases heard by the courts; forms signed by defendants, their guardians, and youth court staff; records concerning completion of sentence requirements, such as community service; and case notes of contacts made in reference to a defendant's case:

RETENTION: 6 years after case closed or 3 years after individual attains age 18, whichever is longer

ZOO

1118 CO2 714,
Accreditation and licensure records
required for zoo operation:
RETENTION: PERMANENT

1119 CO2 715,
Permits and licenses
required for such activities as specific loan, transfer, sale, transport, possession, breeding and salvage of animals

a State permit records:
RETENTION: 2 years after expiration of permit or denial of application

b Federal license and permit records:
RETENTION: 5 years after expiration of license or permit or denial of application

1120 CO2 716,
Individual animal history files,
containing information on background, breeding, medical history, maintenance and growth of animals, and reports received from Species360 (formerly International Species Information System (I.S.I.S.)):
RETENTION: PERMANENT

1121 CO2 717,
Detailed medical treatment records
for animals, where basic medical information is posted to individual animal history files:
RETENTION: 3 years after animal dies or is no longer in collection

1122 CO2 718,
Dietary records
covering food preparation and feeding of animals:
RETENTION: 1 year

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