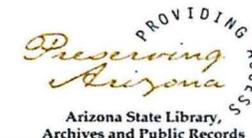




**ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS**
A DIVISION OF THE ARIZONA SECRETARY OF STATE



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

**Schedule Number:
GS 1018**

- Authority:** Pursuant to ARS §41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods, including the sole authority to modify, extend or decrease records retention periods. The retention periods listed herein are the **required** time records must be retained. Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the Agency. These risks need to be considered when there is a compelling need to retain records for a longer period of time than approved retention period. Records required for ongoing or foreseeable official proceedings such as audits, investigations or lawsuits, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the *Certificate of Records Destruction*. All records disposed under this schedule must be reported on the *Certificate of Records Destruction*, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the *Certificate of Records Destruction* when they are disposed.
- Supersedence:** This schedule supersedes #000-12-15, signed March 06, 2012; *GS 1005*, signed September 11, 2014.

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

RECORDS MANAGEMENT CENTER

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	<p>Accident and Fire Prevention Program Plan Records See <i>Facilities / Grounds Management Records</i> General Retention Schedule.</p>	-	See <i>Facilities / Grounds Management Records</i> General Retention Schedule.
10265.	<p>Accident Records - Adults These records involve either the public or public body employees, and may involve the public body's equipment, facilities, grounds, vehicles, etc.</p> <p>Including, but not limited to, accident report, annual summaries, citations, logs, safety health audits, and worksite safety inspections.</p>	5	After date of accident, or after citation resolved, whichever is longer.
10266.	<p>Accident Records - Juvenile These records involve either the public or public body employees, and may involve the public body's equipment, facilities, grounds, vehicles, etc.</p> <p>Including, but not limited to, accident report, annual summaries, citations, logs, worksite safety inspections, and safety health audits.</p>	-	After Juvenile's 24th birthday

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10267.	<p>Administrative Orders, Board Orders, Directives, General Orders and Mission Statements Does not include office internal administrative procedure records.</p> <p>Administrative Directives (Fire Districts only) See <i>Fire Fighting and Prevention Records</i> General Retention Schedule.</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10268.	<p>Advertisement Records These are placed by the public body in publications, websites, or other means of communicating with the public.</p>	3	After calendar year created.
10269.	<p>Appointment Calendar Records Records that document the scheduling of meetings and activities of an employee.</p> <p>May include meeting planners, paper or electronic calendars, and tour / travel guides and planners.</p> <p>Annexation Records See <i>Clerks Records</i> General Retention Schedule.</p>	1	After calendar year of entry.
		-	See <i>Clerks Records</i> General Retention Schedule.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10270.	<p>Annual Reports These are usually lengthy reports issued yearly by a public body giving an account of its internal workings and especially its finances.</p>	10	<p>After calendar year report issued / filed.</p> <p>If you are a State Agency, please: Send two (2) paper copies to the following address: Library, Archives and Public Records, State Library of Arizona, State Docs 1700 W Washington Ste #300 Phoenix, AZ 85007. and Send electronic copy to research@azlibrary.gov.</p> <p>If you are a Local Agency, please Send one (1) hardcopy to the following address: Arizona State Archives, Attn: Arizona Collection 1901 W. Madison St. Phoenix, AZ 85009.</p> <p>ARS §41-151.08.</p>
10271.	<p>Assurance Statements These are no longer being created.</p> <p>Statement from public body concerning retention and maintenance of permanent electronic records.</p>	-	<p>Send original record to LAPR.</p> <p>Destroy agency copy after superseded or obsolete.</p>

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	Official copy at Arizona State Library, Archives and Public Records (LAPR) / Archives and Records Management Branch.		
	Board, Commission, Committee, Consultant, Council or Task Force Report / Study Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10272.	Certificates of Compliance Records Certificate from microfilm vendors verifying microfilm meets <i>Arizona Standards for Permanent Records</i> .	-	Send original record to LAPR. Destroy agency copy after superseded or obsolete.
	Official copy at LAPR / Archives and Records Management Branch.		
	Charter, Amendment and Incorporation Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10273.	Citizenship Verification Records – Filed With Application Paperwork When applying for public benefit in response to ARS §1-501, §1-502 and similar.	-	Retain per retention requirements for corresponding application records.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10274.	<p>Citizenship Verification Records - Filed separately from application paperwork, Application Approved When applying for public benefit in response to ARS §1-501, §1-502 and similar.</p>	-	Retain as long as applicant receives benefits.
10275.	<p>Citizenship Verification Records - Filed separately from application paperwork, Application Denied When applying for public benefit in response to ARS §1-501, §1-502 and similar.</p>	3	After calendar year denied.
	<p>Customer Service Records See <i>Customer Service Records</i> General Retention Schedule.</p>	-	See <i>Customer Service Records</i> General Retention Schedule.
10276.	<p>Disaster Recovery Records Including business continuity plans and continuation of operations plans (COOP).</p>	-	Keep current plan and most recent superseded plan. 29 CRF 1910.199(n).
	<p>Executive Correspondence See <i>Officials Records</i> General Retention Schedule.</p>	-	See <i>Officials Records</i> General Retention Schedule.
10277.	<p>File Plans These plans detail the location where records are retained, the format of the records, etc.</p>	-	After superseded or obsolete.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10278.	<p>General Correspondence These records do NOT include Executive Correspondence.</p> <p>These are records that are not related to a specific project or case.</p> <p>Including, but not limited to, forms, letters, and memos.</p>	-	After administrative or reference value has been served.
10279.	<p>Grant Records – Historical Includes Administrative, financial and programmatic records.</p> <p>Historical records have enduring and significant value to the public body, and meet the requirements found in the <i>Guidance on Permanent and Historical Records</i>, at the following link: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10280.	<p>Grant Records – Non Historical Includes Administrative, financial and programmatic records.</p>	3	After quarterly, annual or final expenditure report submitted and approved or after funding agency requirements are met, whichever is longer.
10281.	<p>Grant Records – Unsuccessful Applications</p>	1	After rejected or withdrawn.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	Highly Qualified Teacher Forms (School Districts and Charter Schools only) See <i>Food Service / Student Activities / Auxiliary Operations</i> Records General Retention Schedule.	-	See <i>Food Service / Student Activities / Auxiliary Operations</i> Records General Retention Schedule.
10282.	Hold Harmless / Release / Waiver Agreements These records are often required when the public goes on a police ride-along, reserve / use public facilities and / or equipment, etc.	3	After created or received.
10283.	Information Security and Privacy Incident Records – HIPAA Related Health insurance portability and accountability act (HIPAA) records. Including HIPAA information security, privacy or other administrative simplification incidents or complaints. Incidents involving either paper or electronic records and including incidents related to those records.	6	After incident closed and no further activity is anticipated.
10284.	Information Security and Privacy Incident Records – Non HIPAA Related Including information security and privacy incidents or complaints. Incidents involving either paper or electronic records	3	After incident closed and no further activity is anticipated.

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	and including incidents related to those records.		
10285.	Legislation Records These records are for legislation proposed by agency.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10286.	Legislation Tracking Records	1	After passed into law or defeated.
10287.	Logs Including, but not limited to, telephone message logs, and sign-in sheets. These records don't include any other logs specifically mentioned in other General Retention Schedules.	-	After administrative or reference value has been served.
	Minutes Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10288.	National Voter Registration Act (NVRA) Declinations / Batch Reports These records are created when a person is applying for a driver's license or renewal, is presented with the opportunity to register to vote, and declines the opportunity.	2	After date received. ARS §16-112.
10289.	Notary Records Includes notary journal(s) and notary seal.	-	Send to the Arizona Secretary of State after commission resigned.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	Notice of Public Meeting Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
	Notice of Public Posting Location(s) Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10290.	Office Internal Administrative Records Including, but not limited to, duty rosters, non-policy work procedures / manuals, office assignments, and work schedules.	-	After superseded or obsolete or after administrative or reference value has been served, whichever is later.
10291.	Organizational Reporting Records Records of major changes to department or division organizational structure and its relationship to other offices and departments, including reporting structure and other functional relationships. Does not include information on individual employees.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served. Each version (new and superseded) of an Organizational Reporting Record has a Permanent retention period.
10292.	Permit Records These are records obtained by the Public Body and are NOT permits issued by Public Body.	3	After permit expired, cancelled or revoked.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10293.	<p>Policy and Procedure Records Official agency policy and procedure records.</p> <p>These records don't include internal office procedures records (see series #10289).</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10294.	<p>Progress / Activity / Statistical Reports and Performance Measurement Records These do not include the official agency annual report.</p> <p>Including weekly or monthly reports to supervisors and managers, status reports, metrics, benchmarks and other oversight and compliance records.</p>	-	After administrative or reference value has been served.
10295.	<p>Project Records – Historical Historical records have enduring and significant value to the public body, and meet the requirements found in the <i>Guidance on Permanent and Historical Records</i>, at the following link: http://www.azlibrary.gov/arm/guidelines-standards-and-statutes</p>	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10296.	<p>Project Records – Non Historical These records do not include construction projects.</p>	3	After project completed or abandoned.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10297.	<p>Publications Produced by Public Body Includes audits, brochures, budgets, capital improvement plans, comprehensive plans, newsletters, pamphlets, transportation studies and other published reports.</p>	1	<p>After superseded or obsolete, unless otherwise specified in this retention schedule.</p> <p>If you are a State Agency, please: Send two (2) paper copies to the following: Library, Archives and Public Records, State Library of Arizona, State Docs 1700 W Washington Ste #300 Phoenix, AZ 85007 and Send electronic copy to research@azlibrary.gov</p> <p>If you are a Local Agency, please Send one (1) hardcopy to the following address: Arizona State Archives, Attn: Arizona Collection 1901 W. Madison St. Phoenix, AZ 85009</p> <p>ARS §41-151.08</p>
10298.	<p>Publication Printing Records and Program Logs Records required for reprinting of publications; may include purchase agreements and forms, publication inventories and catalogs, and price guides.</p>	6	<p>After published or contract fulfilled, expired, cancelled or revoked.</p>

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10299.	<p>Public Records Requests Includes the request made by the public for agency records.</p> <p>May include a copy of the records provided in response to the public records request.</p>	1	After calendar year created or received.
10300.	<p>Records Retention Schedules Official copy at LAPR / Archives and Records Management Branch.</p>	-	After superseded or obsolete.
10301.	<p>Reports of Records Destruction Includes <i>Certificates of Records Destruction, Notice of Destruction Prior to Records Disposition, Pre-approval for Unscheduled Records Disposition, and Single Requests for Records Destruction / Transfer.</i></p> <p>Official copy at LAPR / Archives and Records Management Branch.</p>	-	<p>Send original record to LAPR.</p> <p>Destroy agency copy after administrative or reference value has been served.</p>
10302.	<p>Requests for Document Imaging of Public Records / Requests for Microfilming of Public Records. An approved (signed by the LAPR) <i>Request for Imaging / Microfilming Source Records</i> form is required anytime a public body is taking a paper record, and converting that record to another format by either scanning it or microfilming it.</p>	-	<p>Send original record to LAPR.</p> <p>Destroy agency copy after superseded or obsolete.</p>

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	Official copy at LAPR / Archives and Records Management Branch.		
	Request to Speak Cards See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10303.	Rule-Making Records – Enacted / Adopted Includes working documents used in creation or updating of rules and 5 year review records.	1	After superseded or obsolete.
10304.	Rule-Making Records – Not Enacted / Adopted	1	After calendar year rule rejected.
	School District Employee Reports (SDER) (School Districts and Charter Schools only). See <i>Food Service / Student Activities / Auxiliary Operations Records</i> General Retention Schedule.	-	See <i>Food Service / Student Activities / Auxiliary Operations Records</i> General Retention Schedule.
	School Facilities Board (SFB) Records See <i>Clerks Records</i> General Retention Schedule.	-	See <i>Clerks Records</i> General Retention Schedule.
10305.	Source Documents - Data Entry Forms Including records used to update databases or other data collecting systems.	-	After entered data is verified.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10306.	<p>Source Documents - Scanning and / or Microfilm The process of scanning or microfilming paper source records requires an approved (signed by the LAPR) <i>Request for Imaging / Microfilming Source Records</i> form anytime a public body is taking a paper record, and converting that record to another format by either scanning it or microfilming it.</p> <p>These are records that are being scanned and / or microfilmed, and the entire record is being captured in another format.</p>	-	<p>After film or image is verified.</p> <p>For scanning source records, inspecting at least 20% of all records is required to ensure that all information on the scanned version is legible.</p> <p>For microfilming source records, if the source records have a Permanent retention period, and if the source documents are to be destroyed, 100% of the records will be verified to ensure that all the information on the microfilmed versions is legible.</p> <p>For microfilming source records, if the source records do not have a Permanent retention period, inspecting at least 20% of all records is required to ensure that all information on the scanned version is legible.</p>
	<p>Staff Meeting Minutes See <i>Clerks Records</i> General Retention Schedule.</p>	-	<p>See <i>Clerks Records</i> General Retention Schedule.</p>

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10307.	Strategic Plans and Goal Records Including 5-year, 10-year and other long-range planning records.	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10308.	Surveillance Recordings Including, but not limited to, Closed Circuit TV (CCTV) recordings of building exteriors / lobbies / other areas open to the general public These records do not include Law Enforcement Recordings (CCTV of non-public areas, aerial vehicle / equipment, Body Cam, Body Microphone, Dash Camera, or similar technology). Please see <i>Law Enforcement Records</i> General Retention Schedule for Law Enforcement Recordings.	14 days	After created, but may be retained until after administrative or reference value has been served, whichever is later. Tape may be recorded over.
10309.	Survey Question Records These records are an examination of opinions, behavior, etc., made by asking people questions. These do not include property or land surveys. Title I and Title VII Records (Public Bodies operating schools only) See <i>Food Service / Student Activities / Auxiliary Operations Records</i> General	-	After administrative or reference value has been served. See <i>Food Service / Student Activities / Auxiliary Operations Records</i> General Retention Schedule.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10310.	Retention Schedule. Trademark, Copyright and Patent Records	Permanent	Retain per Arizona <i>Standards for Permanent Records</i> or transfer to State Archives when administrative value has been served.
10311.	Training Records These records are created when a training class is provided by a Public Body. Including, but not limited to, attendance lists, evaluations, room reservations, and training announcements. These records do not include records of individual employees' attendance at training classes or their training history. Individual employee training records those records are found on the <i>Human Resources / Personnel</i> General Retention Schedule.	5	After calendar year training is given.
10312.	Training Records – Training Content Records These records are created when a training class is given by Public Body. Includes handouts, manual, syllabi, and other training presentation materials.	4	After superseded or obsolete.

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
10313.	Transitory Records (including records of limited reference value, letters of transmittal and informational bulletins).	-	After administrative or reference value has been served.
	Voice Mail Records See <i>Electronic Communications Records</i> General Retention Schedule.	-	See <i>Electronic Communications Records</i> General Retention Schedule.
10413.	Working Records Including, but not limited to, drafts, feeder reports, and notes used in the development of final or summary records.	-	After final record created, or after reference value has been served if final record is abandoned or on hold. Some working records are retained even after final report is created, but are usually specified in the records series descriptions on approved retention schedules.

Supersedes schedule #000-12-15, signed March 06, 2012; GS 1005, signed September 11, 2014.