

The Arkansas General Records Retention Schedule

August 2006



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Developed by the Arkansas Records Retention Workgroup

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The Arkansas General Records Retention Schedule

Introduction

The Arkansas General Records Retention Schedule sets forth the minimum retention requirements of records commonly found in state government*. It is not intended to require the creation of such records but rather establishes minimum retention requirements for records created or retained by a state agency. This schedule is not intended to govern the retention of records which are unique to individual agencies.

The Records within this schedule are organized into the following seven record categories: 1) General Administrative; 2) Meetings; 3) Automated Systems; 4) Personnel and Human Resources; 5) Fiscal; 6) Legal, and 7) Grants. These categories are logical in nature and are not intended to establish any requirement for physical organization or operational handling, other than the specified retention periods. The name of a record category may or may not correspond to the area or section of an agency which handles the record.

The retention periods established in this schedule are minimum retention periods. They are not intended to prevent individual agencies from establishing longer retention periods for any of their records. Regardless of the minimum retention periods stated within this schedule, an agency may determine any of its records may be of permanent value to agency operations, may have external requirements for perpetual retention, or may be useful for the study of history. Such records should be kept permanently. Should any differences in retention periods be found between this schedule and state or federal law, the applicable law will take precedence.

The retention periods of this schedule apply only to the official version of a record. Duplicates of the official version have no retention requirements under this schedule, even if the duplicates are found in different media.

In some cases, this schedule provides examples for record types in order to help agencies identify records. Such examples are not intended to be all-inclusive.

This retention schedule addresses all record formats and media (i.e. electronic, paper, microfiche, etc.). The minimum retention requirement is determined by content, not by format or media.

The Arkansas General Records Retention Schedule will be maintained by the Arkansas Records Retention Workgroup. The Workgroup is composed of approximately 80 members from Arkansas state agencies and is facilitated by a member of the Office of Information Technology.

* State government refers to state agencies, boards, and commissions, hereafter referenced simply as agencies. It does not include local, city, or county government, public institutions of higher education, judicial branch or state constitutional offices. Reference Arkansas Act 918 of 2005.

General Schedule (GS) 01 ~ General Administrative Records

This category includes records regarding state agency policies, activities and actions, including information releases, public information, office files, and requests for information.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the official version or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Description	Minimum Retention Period
GS 01001 Agency Directives, Internal Policies and Procedures	Manuals, general guidelines, or similar records distributed internally for the use of employees that sets out agency policies and procedures and do not affect the private rights or procedures available to the public Any agency record that officially initiates, rescinds, or amends internal policies or procedures that are applicable to Arkansas agencies, boards, commissions	Until superseded plus 3 years
GS 01002 Complaint Records	Formal complaint documents received by an agency from the public concerning general operations of the agency or its employees, and records pertaining to the resolution of the complaint	3 years after the final disposition of the complaint <i>If a complaint becomes the subject of litigation, which involves the agency receiving the complaint, it must be included in and is subject to the minimum retention period of a litigation record - Refer to GS 06006 within this schedule.</i>
GS 01003 Correspondence – Substantive	Communication that has significant administrative value and pertains to the implementation or modification of an agency's administrative operations, rules, or policies and procedures that govern the agency. Examples include but are not limited to the following: <ul style="list-style-type: none"> - Correspondence record that announces reports, decisions, or recommendations implemented in agency business - Correspondence that is essential to supporting a final decision related to the formulation, implementation or modification of an agency's administrative operations, rules, procedures, or policies - Executive-level correspondence record regarding state agency policies and procedures - Executive-level correspondence record announcing a new internal policy to agency staff <i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period.</i>	4 years This records category should be used only for correspondence that is not included in or directly related to another records series in this schedule <i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i>

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Record Number & Category Title	Description	Minimum Retention Period
GS 01004 Correspondence – Non-Substantive	<p>Communication that conveys information of temporary business importance or unremarkable communication concerning day-to-day office administration and activities. Examples include but are not limited to the following:</p> <ul style="list-style-type: none"> - Correspondence that includes information not attempting to influence state policy - An e-mail message sent to a large number of people, at the same time, via an e-mail distribution list software application (i.e. listserv message). - Agency event notices <ul style="list-style-type: none"> o A correspondence record notifying employees of an upcoming meeting would only have value until the meeting has been attended or the employee receiving the message has marked the date and time in his/her calendar - Routine requests for publications records - Incoming letters or memoranda of transmittal that add nothing of substance to enclosures <p><i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period.</i></p>	<p>Record may be destroyed after it has served its intended purpose or is no longer of administrative value to the agency</p> <p><i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i></p>
GS 01005 News or Press Releases	News or press release issued by the agency	1 Year
GS 01006 Publications, State	A record that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency and is publicly distributed. One copy of each state publication as defined above except a publication that is subject to a different retention period in this schedule. For example, information pamphlets or booklets.	<ul style="list-style-type: none"> - Until the release of the next part in a series (i.e. serial publications issued in successive parts bearing numerical or chronological designations). - If the publication is not part of a series: Until it has served its intended purpose. - Consistent with Arkansas Code Annotated: § 13-2-201 - <i>Copies of state publications must be submitted to the Arkansas State Library for document types and exemptions. The Arkansas State Library retains copies of all state publications as the State Document Depository and the State and Local Government Publications Clearinghouse. Publications are subject to periodic evaluation to determine if the publication merits further retention.</i>
GS 01007 Presentations	Formal presentations delivered by the agency	1 year
GS 01008 Papers and Reports	Papers or reports as published by the agency	4 years
GS 01009 Training Materials	Instructional materials developed by, or for, an agency for training entities or individuals it regulates or serves	1 year after updated or after it has served its intended purpose

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Record Number & Category Title	Description	Minimum Retention Period
GS 01010 Strategic Plans	Agency/division strategic plans which would also include, but not be limited to, Disaster Preparedness/Recovery Plans, Business Continuity Plans, and Information Technology Plans	Until plan is replaced by an updated version plus 1 year.

General Schedule (GS) 02 ~ Meeting Records

The agency, board or commission that is in charge of the meeting is the party responsible for retaining the meeting records described in this section.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the official version or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Description	Minimum Retention Period
GS 02001 Meeting - Agenda and Minutes of Governing Bodies	<ul style="list-style-type: none"> - Official agenda and minutes of public meetings - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	Permanent
GS 02002 Meeting - Notes of Governing Bodies	<ul style="list-style-type: none"> - Official notes from which minutes are intended to be prepared of public meetings - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	4 years
GS 02003 Meeting - Supporting Documentation of Governing Bodies	<ul style="list-style-type: none"> - Records received at public meetings of state agencies, boards, commissions, committees, and councils that include documentation of a substantive nature and are referenced in the minutes - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	1 year

General Schedule (GS) 03 ~ Automated System Records

Automated System Records include those that are generated or produced in support of the agency's information system operations.

The following record categories are supportive of the audit process of the Arkansas Division of Legislative Audit.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the primary copy or scheduled separately if a different retention is required. Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Description	Minimum Retention Period
GS 03001 Data or Database Dictionary Documentation	Database and data file documentation, including, but not limited to, data dictionaries, metadata documentation, data element reports, diagram of logical data model, and any other database or data file documentation that could be used for reference material.	Until record is replaced by an updated version
GS 03002 Network Design Files	Records that describe the agencies' local and wide area network schematics, including, but not limited to, records containing network topology, circuit descriptions, types of network connections, cable ID map, and other relevant network design information	Until record is replaced by an updated version
GS 03003 Network and System Usage Files	Records created to monitor the use of the agency's network traffic and system access by its customers or employees <ul style="list-style-type: none"> System usage files would include, but not be limited to, user account log records and access authorization log files Network usage files would include, but not be limited to, log-in records, security logs, router logs and firewall logs 	As long as administratively valuable to the agency
GS 03004 Support Services Files - Hardware	Records documenting support services provided to specific data processing equipment or installations, including site visit reports, program and equipment service reports, service histories, and related correspondence and memos	As long as administratively valuable to the agency
GS 03005 Systems and Applications Development Records	Records created and used to develop, redesign or modify an automated software system or application, including user requirements, status reports, correspondence, and high-productivity tool logic constructs used to generate such components as reports, queries, forms, and macros; user and operational documentation describing system operations, including system documentation records, user guides, system diagrams, and input/output specifications	Production copies until no longer useful for tracking system changes or until transfer of system data to a new operating environment
GS 03006 System and Database Backup Files	Records needed to restore a system and its data in the event of system or data loss	Until 3 successive backup cycles have been completed; OR until the agency deems they are of no more value

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Record Number & Category Title	Description	Minimum Retention Period
GS 03007 System Security Access Files	Records created to document users' access rights and privileges to data repositories or granting authorization to systems, applications or databases based on a unique user identity; this definition applies to mission-critical operations and financial applications that require monitoring and tracking to ensure the security of an enterprise's resources; records documenting general access given to a user to services such as active directory, file, print, email and network are not required to be retained unless there is significant security risk from unintended exposure	1 Year
GS 03008 Source Code	Production source code that generates the machine language instructions used to operate an automated information system, including all support program-related files needed to generate objects	The 3 most recent versions of production source code; there is not a requirement to keep source code for systems that are no longer in production or service
GS 03009 Computer Operation Documentation	Records concerning processes for data entry, the operation of computer equipment, production control, tape library, system backup, operation, and maintenance of an agency's data processing equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems and other aspects of a data processing operation	Until record is replaced by an updated version

General Schedule (GS) 04 ~ Personnel and Human Resource Records

This category includes records of each state agency's employees, showing the name, title, position held, organizational assignment, salary, changes of employment status, attendance, leave, performance evaluations, and such other information or policies as may be necessary for the administration of rules pertaining to this category of records.

If a personnel record is the subject of litigation or other official action, the retention period listed within this schedule will be superseded and the record will be retained until such action has been finalized.

This section is not intended to govern compliance with federal employment laws such as Equal Pay Act, Fair Labor Standards Act, Family and Medical Leave Act, etc.

Note: The FOIA does not define the term "personnel records."

The following record categories are supportive of the audit process of the Arkansas Division of Legislative Audit.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Description	Minimum Retention Period
GS 04001 Equal Employment Opportunity Plan	A plan that includes goals and objectives which delineates the steps an agency will take to provide equal opportunity within its workforce	Until plan is replaced by an updated version
GS 04002 Training and Education Records	Documents classes, meetings, and seminars for training or education purposes	4 years or as long as administratively necessary to the agency, whichever is greater
GS 04003 Discrimination Complaint Case Files -Charges Filed	Any charge of discrimination filed against the agency including all records of the charge	3 years or until final disposition of the charge or action, whichever is greater
GS 04004 Discrimination Complaint Case Files -Charges Not Filed	Any allegation of discrimination where a charge has not been filed	3 years from the incident report
GS 04005 Eligibility Verification Form and Records (I-9)	Documents that an employer has verified prospective employee / recruit is a U.S. citizen, resident alien or legal immigrant eligible to work in U.S., as required by U.S. Immigration and Naturalization Service	3 years after date of hire or one year after separation date, whichever is later (as required within The Immigration Reform & Control Act of 1986/PL 99-603, Sec. 274)

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Record Number & Category Title	Description	Minimum Retention Period
GS 04006 Employee Benefit Records	Documents pertaining to an employee's personal health information such as medical and dental benefit records	5 years after separation or until closure of unresolved personnel issues, whichever is greater
GS 04007 Employee Personnel Records	Records documenting an individual's employment, such as professional certification, promotions, evaluations, disciplinary actions, and security check records	5 years from the date of separation or until closure of unresolved personnel issues, whichever is greater
GS 04008 Employment History Records	Documents pertaining to an employee's length of service and pay-grade evidencing proof of service	Permanent
GS 04009 Employee Wage and Hour Records	Records pertaining to time and leave information	Until authorized by the legislative auditor
GS 04010 Grievance Records and Reports	Documents the proceedings of an employee grievance, including the initial complaint, actions, investigation, summary and disposition	3 years after closure
GS 04011 Position Classification and Description Files	Documents job description by a position or class of positions	Until superseded plus three years
GS 04012 Recruitment, Hiring, Interview and Selection Records	Documentation of recruitment, selection, hire, and promotion of employees. Includes position descriptions, job announcements and advertisements, selection criteria, evaluations, rankings, and employment applications of successful and unsuccessful applicants.	3 years from date position is filled or until final disposition of the charge or action, whichever is greater. (see U.S. Code 29 C.F.R. § 1602.31)
GS 04013 Unemployment Insurance Records and Reports	Documents payment or denial of unemployment claims.	5 years after case closure
GS 04014 Workers Compensation Accident Reports	Documents the occurrence of occupational injuries as reported to the Arkansas Workers Compensation Commission	3 years from date of injury
GS 04015 Workers Compensation Illness Reports	Documents the occurrence of occupational disease or occupational infection as reported to the Arkansas Workers Compensation Commission	6 years from the date incident occurred (refer to Arkansas Code Annotated: § 11-9-702)

General Schedule (GS) 05 ~ Fiscal Records

This category focuses on records documenting fiscal operations encompassing most activities undertaken by state agencies to manage, account for, collect and expend funds. These would include general accounting records, banking, budget, allotment and expenditure records, contract accounting, central payroll accounting, and appropriation requests.

The following records retention periods reflect the retention of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the primary copy or scheduled separately if a different retention is required. Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

The following record categories are supportive of the audit process of the Arkansas Division of Legislative Audit.

Record Number & Category Title	Description	Minimum Retention Period
GS 05001 Accounts Payable	Current outstanding liabilities of the agency including records of payments of bills, goods and services, contracts, vendor payments, and travel	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05002 Accounts Receivable	Current outstanding monies and funds owed the agency for goods and services	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05003 Account Reconciliation	Reconciliation of agency funds and accounts, federal revenues/federal expenditures, capital asset/capital expenditures	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05004 Legislative Adopted Budgets	The comprehensive financial plan for the agency's biennial operating budget that was approved by the legislature and forms a basis of the appropriations	Until authorized by the legislative auditor
GS 05005 Appropriation, Budget and Fund Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency	Until authorized by the legislative auditor
GS 05006 Audit Report Prepared by the Arkansas Division of Legislative Audit	The final report of an audit performed on an Arkansas agency, board or commission under the Arkansas Division of Legislative Audit but not including the supporting audit records, only the final audit report; any supporting audit records may be covered under other record categories of this schedule	Until the next audit report is issued by Legislative Audit
GS 05007 Bank Statements	Current status of transaction activity of agency funds held at the State Treasury and/or a bank	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05008 Cash Receipt Registers	Cash receipt transactions for each agency including, but not limited to, deposit slips and other records used to verify receipts, estimate revenues, and reconcile accounts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)

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Record Number & Category Title	Description	Minimum Retention Period
GS 05009 Check Registers	Log of checks issued	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05010 Checks: Not Redeemed/ Redeemed	Voided and not-redeemed checks, cancelled checks, and re-issued checks; redeemed checks written on agency accounts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05011 Competitive Bids	Evaluation and award of bids to vendors and/or agencies including, but not limited to, requests for proposals, bid and quote lists, notices of bid openings, comparison summaries, or evidence of rejected and accepted bids, vendor correspondence	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05012 Debit/Credit	Adjustment of dollar amounts in funds due to recording errors, transfers between accounts, receipt and verification of special deposits, and/or withdrawals	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05013 General Ledger Registers	An accounting of all fiscal transactions for the agency for each month	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05014 Invoices	Record of demand for payment	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05015 Journal Entry Registers	Account records of original entry/input and provides a record of debit and credit journal transactions	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05016 Petty Cash Fund	Petty cash activity for the agency including requests and authorization to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05017 Purchasing	Purchase of goods and services by the agency including, but not limited to, purchase requisitions, orders, authorizations, contracts, encumbrances, maintenance contracts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05018 Inventory and Capital Assets	Documents a listing of equipment and furniture owned by the agency not including expendable supplies	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05019 Transfers	Records that authorize the movement and transfer of funds between various accounting structures intra-agency and inter-agency	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05020 Travel Expenses	Travel expenses for agency employees including, but not limited to, reimbursement claims, travel detail sheets, and supporting documentation such as receipts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)

General Schedule (GS) 06 ~ Legal Records

Legal actions involving state agencies are handled by the Office of the Attorney General, primarily by Assistant Attorneys General assigned to each agency. Therefore, most records pertaining to legal actions are centralized under the auspices of the Attorney General. However, many state agencies maintain separate files on legal matters pertaining to the agency, informal letter opinions, and formal opinions.

The following record retention periods reflect the retention of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Record Description	Minimum Retention Period
GS 06001 Complaint Files – Agency	Communication and other relevant information concerning complaints filed, resulting in litigation that involve the agency or its employees	3 years after final disposition
GS 06002 Complaint Files – Regulated Entity	Communication and other relevant information concerning complaints filed with an agency resulting in litigation that involves one of its regulated entities	3 years after final disposition
GS 06003 Contracts / Agreements	Documents the contractual obligations of an agency or those owed to the agency	5 years after contract or agreement termination
GS 06004 Freedom of Information Act (FOIA) Documentation	<ul style="list-style-type: none"> - State FOIA request and agency reply to the request - The reply does not include the records provided pursuant to the FOIA request 	3 years
GS 06005 Legal Opinions	Legal opinions received from agency legal counsel including any requests eliciting the opinions	As long as administratively valuable to the agency
GS 06006 Litigation Files	Documents the status of litigation involving an agency or its officials, employees, or departments	5 years after final disposition
GS 06007 Permits / Licenses	Original and renewal of a license or permit issued by an agency	Period of license or permit plus 3 years
GS 06008 Permits / Licenses Applications	Completed applications for licenses or permits	3 years

General Schedule (GS) 07 ~ Grant Records

This category includes records generated in the administration of grants either issued by the state or received by state agencies. Records include grant applications, grantor and grantee correspondence and official responses, grant contracts, fiscal records, compliance reports, administrative correspondence, grant products and related records.

The following records retention periods reflect the retention of the official record regardless of media. Copies used for specific legal, fiscal or administrative purposes may be either retained using the retention for the official copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number & Category Title	Record Description	Minimum Retention Period
GS 07001 Grants Issued - Application, Administrative and Program Files	Documentation of awarding agency's grants and grant programs including grant announcements, parameters, grant applications, grant evaluation summaries, notification of grant awards, fiscal reports, correspondence related to grant monitoring, audit reports and related documentation including grant project status and progress and compliance reports prepared and submitted by grantees	Until authorized by the legislative auditor or in compliance with grant regulations and specifications, whichever is greater
GS 07002 Grants Denied	Documentation of grants administered by the state in which the application has been denied including applications, grant evaluation summaries, letters of denial and other related documentation	1 year
GS 07003 Grants Received	Documentation of grant projects and funds received and expended by state agencies including copies of Requests for Proposals, applications, notification of grant awards, fiscal reports and supporting documentation, reports and correspondence related to grant monitoring, audit reports, status reports, compliance reports, grant modification requests, progress reports and final reports	Until authorized by the legislative auditor or in compliance with grant regulations and specifications, whichever is greater

Glossary of Terms

Definition of Terms Used within the Arkansas General Records Retention Schedule

Automated System

Computer configuration that, with all necessary hardware and software, performs or can be used to perform necessary business applications

Copy

A reproduction of any record, including a reproduction of a previous reproduction

Data Element

In electronic record keeping, a logical record component constituting one separate item of information such as name, address, or age

Disposition

Any manner or method of changing the custody, location, or physical state of records including transfer, microfilming, duplication and destruction

Format

The arrangement of information for use, viewing, or storage

Freedom of Information Act (FOIA)

The Arkansas State Act that outlines the rights of the public to access public records
Reference: Arkansas Code Annotated § 25-19-101 et seq.

General Record Schedule:

Provides a minimum period of time that a specific type of record must be preserved

Governing Body

The FOIA applies to the "governing bodies" of "all boards, bureaus, commissions, or organizations of the State of Arkansas." Ark. Code Ann. § 25-19-106(a); A group that has ultimate decision-making or policy-making authority is a governing body. Ark. Att'y Gen. Op. Nos. 99-407, 98-169, 96-074, 91-288

Media (Medium)

Physical material on which records information may reside including, but not limited to, paper, microfilm, microform, computer disks and diskettes, optical disks, and magnetic tapes

Official Version

Record kept by the organization responsible for the authoritative copy;
Note: A copy made of the original record may become the official version.

Permanent Record

A record that has sufficient historical or other value to warrant its continued preservation by the State or Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.

Record

Information or data captured in any form and media

Strategic Plan

Management document containing the long term objectives of an organization and a specific action plan for attaining these objectives