

DEPARTMENT OF GENERAL SERVICES
STATEWIDE INFORMATION AND RECORDS MANAGEMENT PROGRAM
RECORDS MANAGEMENT OPERATIONS
(Current as of June 29, 1999)

**Recommended General Retention Schedule for Administrative
and/or Common Use Records Series for Statewide Use**

The following records series cover the records of administrative studies that assess the need for administrative systems improvements in the area of *information management*. The workload and organizational data collected may result in the implementation of modern administrative systems.

- **ADMINISTRATIVE SYSTEMS STUDIES** (Approved administrative study proposals)

At approving authority: Destroy one (1) year after system terminated or when no longer needed for reference, whichever is later.

At other activities: Destroy when system is terminated.

Disapproved proposals: Destroy one (1) year after disapproval.

At all levels (*data collection material such as logs, time studies, interviews, questionnaires, computer printouts and related records.*): Destroy three (3) months after approval/disapproval of proposal or when no longer needed, whichever is later.

- **INFORMATION MANAGEMENT WORKLOAD REPORTS, COMPUTER GRAPHS AND REPORTS** (Statistical information pertaining to trend analysis, person-hours earned and work load for information management activity, consolidated activities, agency plans and programs function, management engineering function and agency computer generated product.)

Destroy when records are three (3) years old or when all management actions are completed, whichever is later.

- **SOURCE DOCUMENTS OTHER THAN THOSE DESCRIBED ABOVE** (Source documents (i.e., forms from which data is extracted, working papers, etc.))

Destroy after one (1) year.

- **REPORT CONTROL FILES** (Case files maintained for agency report created or proposed, including public use reports, consisting of clearance forms, appropriate reports, interagency reports; pertinent forms or descriptions of format; authorizing directives; preparation instructions; and records relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.)

Destroy two (2) years after the report is discontinued.

- **INFORMATION COLLECTION BUDGET FILES** (Reports required by the agency budget office, reporting requirements, including associated feeder reports, reports exhibits, correspondence, directives, and statistical compilations.)

Destroy when audited or after seven (7) years if subject to Federal audit or after four (4) years if subject to State audit.

- **FEASIBILITY STUDIES** (Studies conducted before the installation of any technology or equipment associated with information management systems, such as word software application, computer hardware and associated equipment, word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishments and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis of the improved efficiency and effectiveness to expect from the proposed system.

Destroy five (5) years after completion or cancellation of the study.

The following records series deals with general publications and blank forms requirements and distribution:

- **PUBLICATIONS/FORMS REQUISITIONS AND REQUIREMENTS** (Forms, other records, and related correspondence used to requisition or establish requirements for publications/forms.)

At offices of customer and distribution points: Destroy when superseded, obsolete or no longer needed.

- **PUBLICATIONS AND NON-ACCOUNTABLE FORMS DISTRIBUTION STATUS** (Stock record cards, re-order markers, inventory control records, distribution record cards, and similar control media.)

At offices of customer and distribution points: Destroy when superseded, obsolete or no longer needed.

- **ACCOUNTABLE FORMS DISTRIBUTION STATUS** (Stock record cards, re-order markers, inventory control records, distribution record cards, and similar control media.)

Destroy two (2) years after removal from active file.

NOTE: Do not transfer to departmental storage or the State Records Center. Retain in accumulating office until eligible for destruction. (On inactivation of office, see SAM, Chapter 1600, Records Management.)

- **ACCOUNTABLE FORMS ACCOUNTABILITY – SUSPENSE COPIES OF RECEIPTS** (Receipts, destruction certificates, and related correspondence showing the issue, receipt or destruction of blank accountable forms.)

Destroy when signed receipt is received.

NOTE: For guidance concerning the destruction of unissued accountable forms, see SAM, Chapter 1600, Records Management

- **ACCOUNTABLE FORMS ACCOUNTABILITY – SIGNED RECEIPT AND DESTRUCTION CERTIFICATES** (Receipts, destruction certificates, and related correspondence showing the issue, receipt or destruction of blank accountable forms.)

Destroy two (2) years after last serially numbered form in series has been issued or destroyed.

NOTE: For guidance concerning the destruction of unissued accountable forms, see SAM, Chapter 1600, Records Management. Do not transfer to departmental storage or the State Records Center. Retain in accumulating office until eligible for destruction. (On inactivation of office, see SAM, Chapter 1600, Records Management.)

- **PUBLICATIONS BULLETINS** (Bulletins issued to tell customers the status of publications and forms.)

At issuing activities: Destroy after one (1) year.

Accumulated by customers: Destroy when no longer needed or after 1 year, whichever is sooner.

- **REQUEST FOR AND RECORD OF CUSTOMER ACCOUNT REPRESENTATIVE** (Appointment of primary and alternate account representatives and subaccount representatives)

At issuing activities when receipt of accountable forms is authorized: Destroy two (2) years after appointment is superseded or rescinded.

NOTE: Do not transfer to departmental storage or the State Records Center. Retain in accumulating office until eligible for destruction. (On inactivation of office, see SAM, Chapter 1600, Records Management.)

All other copies: Destroy when superseded, obsolete, or no longer needed.

The following records series cover the areas of publications management, which deals with the formal development of policy, role and responsibilities, guidance, processes and procedures in the form of a manual, handbook, pamphlet, visual aid, guidelines. It does not cover records which are printed or duplicated to meet distribution requirements, such as plans, program, histories, studies, reports, correspondence, and such other records not included in a publication system as used here. **NOTE:** Visual aids are any charts, posters, or other graphic illustrations issued for either permanent or temporary display on walls, bulletin boards, etc.

- **MANUALS, HANDBOOKS, PAMPHLETS, VISUAL AIDS, GUIDELINES** (Record sets of publications which have statewide applicability. Consists of original copy (master) used for printing, associated printing documents; printed copy of publication; and background material used in the coordination and development of the publication, and any other documentation that led to the formulation and/or implementation of the publication)

At issuing activity of a statewide publication: Retire as permanent.

At issuing activity of an agency-wide publication: Destroy after seven (7) years, when revised, superseded, or rescinded.

At other levels: Destroy when revised, superseded, or rescinded.

- **OPERATING INSTRUCTIONS** (Records copies and background material, if any, retained by offices of primary responsibility.)

Destroy when revised, superseded, or rescinded, obsolete or no longer needed.

- **BULLETINS** (Announcements, notices, temporary instructions or directive material of no permanent reference value.)

Destroy when revised, superseded, or rescinded, obsolete or no longer needed.

- **PRINTED OR DUPLICATED RECORDS** (Published plans, programs, histories, studies, reports, correspondence, and other published or reproduced records for distribution requirements, not subject to the distribution requirements or publications systems as manuals, handbooks, pamphlets, visual aids, and guidelines.)

See appropriate records series elsewhere as determined either by federal or state statutes, program management requirements, or the record itself (perpetual type record).

The following records series cover the areas of forms management relating to general policies and procedures governing the production of forms, standards, methods, techniques, and operating procedures for effectively developing and using forms in California State government.

- **THE STATE OF CALIFORNIA FORMS MANAGEMENT PROGRAM** (Records that reflect development, formulation and issuance of all basic plans, policies and procedures, and the managerial control of the California Forms Management Program which encompasses development of standards, design, typography and specifications for, and consolidation, identification, registration and standardization of forms created by California State government activities.)

Destroy when six (6) years old; earlier disposal is authorized if the records are superseded, obsolete, or no longer needed for reference.

- **FUNCTIONAL FORMS FILES** (Collection of current forms used for control, precedent, comparison and general reference.)

Destroy immediately when discontinued, superseded, revised or replaced.

- **NUMERICAL FORMS FILES** (Request for approval of forms, or similar documents, submitted by office of primary responsibility (OPR) for the form, and all revisions; latest printing specifications; latest review of form, showing status of the form; records about the form; final draft/master or a copy of the current edition showing the OPR's approval; and a copy of each printed edition of the form.)

Destroy one (1) year after obsolescence.

- **FORMS MANAGEMENT REPORTS** (Reports of forms management activities, progress, status, and costs.)

At issuing activity for statewide use (consolidated reports): Destroy after five (5) years.

At issuing activity for agency-wide use: Destroy after one (1) year.

At activities below agency: Destroy on completion of next report.

- **FORMS REGISTER** (Control cards on statewide, agency-wide, or office forms; show forms numbers, OPR, prescribing directive, reproduction actions, and costs.)

Destroy one (1) year after date form became obsolete.

The following records series cover the areas of administrative communications that cover general correspondence, messages, distribution and control.

- **GENERAL CORRESPONDENCE (Permanent)** (Letters, endorsements, memoranda, reports, and related data involving a variety of subjects (not appropriate for filing with other records series) except office administration, created or received that records policy making program management guidance for which the office has primary responsibility.)

At issuing activity of statewide, agency-wide, or at activities below agency that have statewide functional responsibility: Retire as permanent.

At above activities that maintain computer database index or similar created data: Retire as permanent

At above activities that maintain chronological files: Retire as permanent.

- **GENERAL CORRESPONDENCE (Temporary)**

Created or received by any office not covered by General Correspondence (Permanent): Destroy after one (1) year.

Duplicate files kept by action officers, supervisors, or supervisory or monitoring offices when record copies of official file copies are filed elsewhere in the same organizational element:
Destroy after one (1) year.

That portion of the correspondence files that does not document policy making and program guidance at issuing activity of statewide, agency-wide, or at activities below agency that have statewide functional responsibility: Destroy after one (1) year.

- **TRANSITORY MATERIAL** (Transmittal records that add no significant information to material transmitted; not needed to document specific functions or actions; but are of reference value and are kept in a separate chronological file.)

Destroy after three (3) months after monthly cutoff or when no longer needed, which ever is sooner.

- **READING FILE** (Extra copies of letters, memoranda, messages or other records used for periodic review by office staff, as a cross-reference to the record copies filed in the same office, for signature control, preparation of periodic reports, or for similar administrative purposes, and are maintained in a separate chronological file.)

Destroy one (1) year after monthly cutoff or when no longer needed, whichever is sooner.

- **STAFF MEETINGS AND CONFERENCES** (Record copies of agenda, minutes and related correspondence not filed with another record series not covered elsewhere.)

At agency executive offices, boards, commissions, special state activities or offices: Retire as permanent

Recorded in another records series: Destroy after one (1) year

Below agency executive offices, boards, commissions, special state activities or offices, and are record copies not filed with another records series: Destroy after one (1) year, on inactivation of activity or when no longer needed, whichever is sooner

Information copies not filed with another record series: Destroy after one (1) year, on inactivation of activity or when no longer needed, whichever is sooner

FORM OR GUIDE LETTERS (Coordination copy of form or guide letters.)

At approving authorities: Destroy when superseded or obsolete

- **COMMUNICATIONS DISTRIBUTION** (Forms or similar media used to determine distribution made of incoming communications.)

Destroy after three (3) months or when no longer needed, whichever is sooner.

- **ADMINISTRATION COMMUNICATION REVIEWS** (Correspondence review/improvement checklists and similar records used to review correspondence management.)

Destroy when no longer needed.

- **SUSPENSE CONTROL** (File copies or extra copies of communications, forms, notes, etc., used to manage correspondence flow.)

Destroy when reply is received or action is completed, file with transitory material, or incorporate with appropriate record series in other, whichever is applicable.