

## GENERAL ADMINISTRATION

Agencies carry out various administrative tasks to support overall agency and office management and administration. These include the development of major and routine administrative policies and procedures, general office administration and other activities. This section covers these activities as well as select records series that may be found throughout an agency.

◆ **90372 Minutes, Agendas, Meeting Files and Recordings of Governing and Advisory Bodies** - Records of those governing and advisory bodies of state agencies that are subject to the Open Meetings Law (Sections 100-111, Public Officers Law), including meeting minutes, agendas, meeting or background files developed for use at or in conjunction with the meetings, and audio, video, webcast and other recordings of those meetings.

***Minimum Retention and Disposition:*** Transfer minutes, agendas and meeting and background files to State Archives 5 years after creation or when no longer needed to support agency operations. Destroy audio, video, electronic (including webcast) and other recordings of those meetings 4 months after the meeting.

***Justification:*** Minutes, agendas and related background records of state boards have long-term research value to document the operations of those bodies and their role in developing agency policies and to document agency activities and accomplishments. Recordings generally lack long-term value, although some may merit archival preservation if they provide additional documentation of significant matters discussed at these meetings. Agencies are invited to contact the State Archives if they believe that recordings of meetings of particular boards, or of specific meetings of their boards, may merit archival preservation.

◆ **90366 General Administrative Records** -- Records created and maintained by program units as a part of routine administrative operations. Includes records concerning office organization, staffing, procedures and communications, along with activity schedules, calendars, phone logs, appointment books, tickler files, daybooks, chronological files consisting of extra copies of outgoing correspondence, and other records used to manage office activities. Also includes routine activity and production reports such as occasional and periodic reports, work load reports, work progress reports, backlog and production reports, and cumulative and summary reports used to monitor and document recurring and routine activities or production.

***Minimum Retention and Disposition:*** Destroy when superseded or obsolete.

***Justification:*** These records have no legal or fiscal value.

**Records Not Covered:** *Records documenting the specific programmatic functions and responsibilities of offices or which are covered elsewhere in this schedule. Also does not apply to general administrative records of agency executive offices; these records may have long-term value. Consult with the State Archives about the disposition of administrative records not covered by this item or elsewhere in this schedule.*

◆ **90202 Reports of Major Administrative Studies** -- Major administrative studies are initiated by the agency head, or conducted in response to a legislative, federal, or Office of the State Comptroller program audit, an executive order, or a court order. They generally address agencywide operations or issues, affect the largest or most critical agency functions, or address issues of public visibility and concern. Studies that recommend elimination, merger, or reorganization of an agency or a major subdivision are considered major studies.

**Minimum Retention and Disposition:** **Transfer one copy of the final report and any responses to the State Archives either directly or as part of the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain one copy in office of origination for 3 years after report recommendations are implemented or rejected, then destroy.**

**Justification:** Major administrative studies have long-term value for research on agency program development and priorities. Administrative studies may also be used in program management audits by the Office of the State Comptroller and other control agencies.

**Note:** *Agencies should send 30 paper copies and one electronic copy of all published reports to the NYS Library for inclusion in the State Document Depository System.*

◆ **90203 Major Administrative and Operational Plans** -- Comprehensive plans for the administration, reorganization or operation of an entire agency or major subdivision. Administrative and operational plans do not include mission-related or program-specific plans (e.g., State Energy Master Plan, State University Construction Fund Campus Master Plans).

**Minimum Retention and Disposition:** **Transfer one copy of the final plan and any responses to the State Archives either directly or as part of the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain one copy in office of origination for 3 years after superseded or obsolete, then destroy.**

**Justification:** Major administrative and operational plans have long-term value for research on agency program development and priorities. Plans may also be used in program audits by

the Office of the State Comptroller and other control agencies. State Archives staff will evaluate executive-level files to determine their archival value and arrange for their preservation, if warranted.

◆ **90204 Reports of Routine Administrative Studies** -- Reports of studies, surveys, management audits, or similar efforts that analyze routine operations, procedures, or processes or that address administrative problems in a single program unit.

***Minimum Retention and Disposition:*** Designate one copy as the record copy and retain for 3 years after the implementation or rejection of the study recommendations, then destroy.

***Justification:*** Administrative studies may be used in program management audits by the Office of the State Comptroller and other control agencies.

**90205 Administrative Study and Survey Work Papers** -- Project design plans, survey forms, databases, charts and diagrams, statistics, analyses, research materials, and related records created or collected for major or routine studies, surveys, management audits, or plans.

***Minimum Retention and Disposition:*** Destroy 1 year after implementation or rejection of study recommendations.

***Justification:*** Records should be kept for 1 year to verify and justify conclusions and recommendations.

◆ **90206 Routine Administrative and Operational Plans** -- Plans developed to guide administrative and routine operations in program areas. These records typically include program unit weekly, monthly, and yearly work plans and plans for specific projects.

***Minimum Retention and Disposition:*** Destroy all plans after superseded or obsolete.

***Justification:*** Routine operational plans are not needed for reference once they are superseded or all activities are completed.

**90207 Administrative Analysis and Planning Subject Files** -- Correspondence, memoranda, copies of reports, articles, and related background materials, arranged by subject and used to support administrative analysis, planning, and development of procedures.

***Minimum Retention and Disposition:* Destroy when obsolete or superseded.**

***Justification:*** These records have no legal or fiscal value.

***Note:*** Agencies should not use this item for records which are covered by separate authorizations in this schedule.

◆ **90208 Major Administrative Policies and Procedures** -- Major administrative policies and procedures generally are issued by the agency head, chief administrative officer, or an executive-level office to address agencywide operations, critical agency functions, or issues of public visibility or concern or to regulate activities outside the agency. Major policies and procedures are formally promulgated and often take the form of formal directives, formal policy memoranda, printed or published procedures, bulletins, orders, rules, notices, or formal policy and procedural manuals.

***Minimum Retention and Disposition:* Transfer one copy to the State Archives either directly or as part of the executive-level files of the agency (files of the agency head, executive deputy, etc.). Retain one copy in issuing office for 6 years after policy is withdrawn, revised, or superseded, then destroy.**

***Justification:*** Major administrative policies and procedures have long-term value for research on agency missions, program development, and accomplishments. Major administrative policies and procedures may be used in development of agency operational plans, in program audits by the Office of the State Comptroller or other control agencies, and in litigation.

◆ **90209 Routine Administrative Policies and Procedures** -- Administrative policies and procedures governing routine, day-to-day operation of an agency or program unit. These records may include memoranda, orders, guidelines, bulletins, manuals or other instructions which are directive in nature. Routine administrative policies and procedures usually explain operating policies and procedures pertaining to the internal administration of an agency or program unit.

***Minimum Retention and Disposition:* Retain one copy in issuing office for 3 years after policy or procedure is withdrawn, revised, or superseded, then destroy.**

***Justification:*** The issuing office should retain policies and procedures for a minimum of 3 years after they are withdrawn, revised, or superseded for use in development of subsequent policies and procedures. Routine policies and procedures may be used in program audits by the Office of the State Comptroller and other control agencies. These records may also be

used in litigation.

**Records Not Covered:** *Policies or procedures that govern activities of individuals or organizations outside the issuing agency, or that are established through promulgation of regulations, adjudication, or contractual agreements.*

**Note:** *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

◆ **90362 Agency Copies of Control Agency Policies and Procedures** -- Agency copies of memoranda, rules, orders, procedural instructions, regulations, bulletins, notices and any other instructions issued by control agencies which are directive in nature or explain policies or procedures which are to be followed by other state agencies.

**Minimum Retention and Disposition:** **Destroy when no longer needed.**

**Justification:** The control agencies maintain the record copies of these records.

**Records Not Covered:** *Record copies of policies and procedures maintained by control agencies.*

**Note:** *Before disposing of these records, agencies may wish to consider whether longer retention is needed to document procedures used or actions taken by the agency in the event of possible future litigation or audit.*

**90210 Administrative Policies and Procedures Background and Development Files** -- Background materials created or collected during the development of internal administrative policies and procedures, including correspondence, analyses, research materials, copies of model policies and procedures, draft policies and procedures, comments, and related records.

**Minimum Retention and Disposition:** **Destroy 1 year after a policy or procedure is issued.**

**Justification:** Background materials may be needed for reference and analysis for at least 1 year after a policy or procedure is issued.

◆ **90369 E-Mail Messages** -- Incoming and outgoing e-mail communications, including attachments, used to distribute information and documents, announce or schedule meetings, and conduct formal and informal communications.

***Minimum Retention and Disposition:*** Destroy after messages and attachments are opened and records have been saved in appropriate electronic or paper file.

***Justification:*** Many e-mail communications are not records and are therefore suitable for immediate destruction. Those messages and attachments which are records should be maintained in appropriate electronic or paper files and disposed consistent with applicable authorizations for those records.

**90370 Agency-Assisted Voter Registration Records** -- Agency records documenting assistance provided to prospective voters to aid them in registering to vote. Includes participating agency's records transmitting completed voter registration applications or change of address forms to county boards of elections, signed declination forms when individuals decline to register to vote, and related records.

***Minimum Retention and Disposition:*** Destroy after 1 year, except destroy signed declination forms after 22 months.

***Justification:*** Sections 5-211 and 5-212 of Election Law authorize agencies to assist prospective voters. Retention periods meet administrative needs and state requirements under 9 NYCRR 6213.2(b)(2) and 9 NYCRR 6213.3(d).

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

◆ **90388 Non-Record Copies of Agency Records** -- Duplicate or extra copies of records held by agency program units for administrative reference purposes, when the record copies are retained to meet legal, fiscal, administrative and other retention requirements and needs and when the non-record copies are not subject to any legal, fiscal or other specific retention requirements. This item also covers non-record copies of records held by program units when other units maintain the record (i.e., official) copies.

***Minimum Retention and Disposition:*** Destroy when no longer needed for administrative reference.

**Justification:** The agency's record (i.e., official) copies of these records are retained to meet legal, fiscal, administrative and other requirements.

## **AFFIRMATIVE ACTION, REASONABLE ACCOMMODATION, AND HUMAN RIGHTS**

State agencies develop and administer affirmative action, reasonable accommodation and related human rights programs to comply with various state and federal requirements. The purpose of these programs is to ensure equal employment opportunities for and prevent discrimination against members of protected classes, including racial and ethnic minorities, women, disabled persons, and Vietnam-era veterans. Most agencies have an affirmative action and reasonable accommodation officer or office to direct and support these agency programs.

***Control Agency:*** The Department of Civil Service issues guidelines that state agencies are mandated to follow in developing affirmative action and reasonable accommodation plans and procedures, and assists agencies in meeting these state requirements.

***Records Not Covered:*** *Records of the Department of Civil Service that document its role as a control agency for governmentwide affirmative action and reasonable accommodation programs and records required for lengthier retention periods by federal agencies to document their requirements.*

◆ **90211 Affirmative Action and Reasonable Accommodation Plans and Procedures** – Plans, policies and procedures developed by agencies to establish and support their affirmative action, reasonable accommodation and related human rights goals in compliance with state and federal requirements.

***Minimum Retention and Disposition:*** **Retain in issuing office for 3 years after superseded by a new plan and procedures, then destroy.**

***Justification:*** These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with federal and/or state affirmative action and reasonable accommodation statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination. The records can also be used to document workforce trends and for analysis purposes.

***Note:*** *Agencies may wish to retain these records for longer periods to meet administrative analysis needs. Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an*



*additional 3 months beyond the minimum retention period.*

◆ **90212 Recruitment Plans and Reports** -- Records documenting procedures, search committees, job advertising, recruitment and outreach plans, screening criteria, statistics on applicants, and related records created to document compliance with agency affirmative action policies and plans.

***Minimum Retention and Disposition:*** Destroy 4 years after each search is completed.

***Justification:*** These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with federal and/or state affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

◆ **90213 Affirmative Action Program Report Files** -- Copies of reports prepared by agency affirmative action and related human rights programs for oversight agencies (e.g., Department of Civil Service, U. S. Office of Civil Rights) regarding agency policies, programs, and activities.

***Minimum Retention and Disposition:*** Destroy 3 years after filing.

***Justification:*** This retention period will ensure that these records are available to document compliance and for reference, analysis, and development of reports.

***Note:*** Employment inquiry records and job applications are covered by item #90006 in the Personnel section of this schedule.

◆ **90214 Affirmative Action and Reasonable Accommodation Subject Files** -- Correspondence, memoranda, copies of reports, articles, policies and procedures, summary records regarding requests for reasonable accommodations, copies of regulations, and related materials arranged by subject and used to administer agency affirmative action, reasonable accommodation and related human rights programs on topics such as recruitment, career planning, community relations, discrimination, sexual harassment, and cultural diversity.

***Minimum Retention and Disposition:*** Destroy 3 years after creation or when

**superseded, whichever occurs later.**

***Justification:*** Some records in affirmative action subject files may be needed to document compliance with state or federal affirmative action requirements.

***Note:*** *Agencies should not use this item for records which are covered by separate authorizations in this schedule.*

◆ **90215 Affirmative Action and Reasonable Accommodation Case Files** -- Agency copies of affirmative action, sexual harassment and other human rights grievances made by employees against an agency, requests for reasonable accommodations, and the records of the resolution of grievances and requests. Case files may also include correspondence, exhibits, tape recordings, depositions, notes, transcripts, agency decisions, appeals to the Division of Human Rights, appeals to the Department of Civil Service's Compliance Review Board, arbitration decisions, and state or federal court litigation records.

***Minimum Retention and Disposition:*** **Destroy 3 years after final resolution of grievance or request, and after execution of any stipulations or termination of any accommodation provided.**

***Justification:*** These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with federal and/or state affirmative action, reasonable accommodation and other statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

***Note:*** *Agencies may wish to retain these records beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

◆ **90216 Outreach Program Records** -- Records of affirmative action programs directed toward providing a greater degree of participation of protected class individuals in the agency work force. Examples of such programs include fellowships and/or internships. These records include applications, decisions and awards, program descriptions, publications, participant duty descriptions, and related correspondence and reports.

***Minimum Retention and Disposition:*** Destroy 3 years after action on application or, for records concerning overall program administration, discontinuance of program.

***Justification:*** These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with federal and/or state affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

◆ **90217 Human Rights Training Records** -- Records of training provided to employees on affirmative action, equal employment opportunity, sexual harassment, reasonable accommodation and related human rights policies. These records document administration and content of training courses and participation of agency staff. They include memoranda, flyers, curricula, sample course handouts, applications, registration, evaluation forms, and related correspondence and reports.

***Minimum Retention and Disposition:*** Destroy 6 years following completion of training session or discontinuance of specific course.

***Justification:*** These records may provide evidence during arbitration or litigation concerning complaints of human rights violations. They may also be used as evidence of compliance with federal and/or state affirmative action statutes and regulations during investigations and/or litigation of allegations of continuing patterns of discrimination.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period. Agencies may also wish to retain a record of training provided to specific employees as a part of Employee Training History records (see item #90022 in the Training section of this schedule).

## BUDGET PREPARATION

Executive branch budget preparation includes development and submission of annual agency budget requests, and subsequent review and approval by the Division of the Budget (DOB).

**Control Agency:** The Division of the Budget is the central control agency for this function.

**Records Not Covered:** *Records of DOB that document its role as a control agency for the development of the annual budget for New York State government.*

**90107 Program Unit Budget Request Files --** Records created and used by program managers to develop budget requests, including cost statements, estimates, justifications, narrative statements, spreadsheets, background materials, and originating offices' copies of submissions to agency budget office.

**Minimum Retention and Disposition:** **Destroy 1 fiscal year after the fiscal year covered by the budget request.**

**Justification:** Program units use previous years' requests during budget preparation for the current year. Generally, reference to past requests decreases after 1 year. However, some program units may want to retain these records longer.

**Note:** *The final copy of a program unit budget request and supporting documentation of the agency's internal budget modification and approval process should be filed in general administrative files or the program unit director's office files. These records will be scheduled separately.*

**90108 Agency Budget Preparation Files --** Records created by budget analysts during the process of reviewing program unit budget requests and preparing the agency's budget request, including cost statements, estimates, justifications, narrative statements, various reports, and other pertinent data submitted to an agency budget unit. The records in this series are the source documents for an agency's final budget request submitted to DOB.

**Minimum Retention and Disposition:** **Destroy 3 fiscal years after the fiscal year covered by the budget.**

**Justification:** Agency budget unit and others use previous years' requests to prepare and compare with present year's requests. After 3 years records lose their administrative value.

◆ **90109 Agency Copy of Agency Budget Request** -- Copy of the final budget request created by an agency budget unit and submitted to DOB, and supporting materials that document communication between the agency and DOB and the Legislature regarding budget negotiations and subsequent review after agency submission of the budget request.

***Minimum Retention and Disposition:*** Transfer one copy of the final budget request and supporting documentation to the State Archives either directly or as part of the executive-level files of the agency (files of the agency head, executive deputy, etc.).

***Justification:*** The agency budget request and supporting documentation have long-term value for research on agency program development and priorities.

## EMPLOYEE RELATIONS

Employee relations includes all programs and activities that establish and implement the terms and conditions of executive branch employment subject to the Public Employees' Fair Employment Act, Article 14 of the Civil Service Law (Taylor Law), through other laws and regulations, or collective negotiations and related activities.

**Control Agencies:** The Governor's Office of Employee Relations (GOER) carries out New York State's responsibilities as an employer in accordance with the Taylor Law through collective bargaining with public employee unions representing executive branch agency employees, and administration of the employee grievance, disciplinary action, and joint labor-management committee programs. The Public Employment Relations Board (PERB) hears and rules on charges of improper practices by state employee unions against the state or by the state against the unions and also hears cases on other public employment issues.

**Records Not Covered:** *Records created and retained by the Governor's Office of Employee Relations (GOER) and the Public Employment Relations Board (PERB) in their roles as control agencies.*

◆ **90357 Grievance Case Records** -- Agency copies of contract and noncontract grievances made by employees against an agency, including grievance statements, agency responses, appeals, decisions, and supporting materials such as correspondence, exhibits, depositions, notes, tape recordings, transcripts, referrals to GOER, appeals, and copies of arbitration decisions.

**Minimum Retention and Disposition:** **Retain for a minimum of 10 years after final resolution of grievance, then destroy.**

**Justification:** Grievance records may provide precedents for other similar grievances. GOER does not maintain records of grievances that have been resolved at the agency level.

**Records Not Covered:** *Records of disciplinary grievances are covered by item #90358 Disciplinary Action Records.*

**Note:** *Agencies may want to retain some grievance records longer than the minimum retention in specific cases for reference purposes.*

◆ **90358 Disciplinary Action Records** -- Records of disciplinary actions, contractual or pursuant to Section 75 of the Civil Service Law, brought by agencies against their employees, and of

disciplinary grievances filed by employees in response to such actions. These records include notices of charges, responses, appeals, decisions, and supporting materials such as correspondence, notes, tape recordings, hearing transcripts, exhibits and other related documents from all levels of the process.

***Minimum Retention and Disposition:*** Retain for a minimum of 10 years after final resolution of the disciplinary action or for 6 years after an employee terminates employment with the agency, whichever is first, then destroy, unless otherwise stipulated through disciplinary settlement or negotiated agreement.

***Justification:*** Future disciplinary proceedings against individual employees may consider previous discipline in assessing penalties. Disciplinary actions may also be considered in the performance evaluation and processes. Additionally, control agencies may require historical trend reports of discipline cases which would require agencies to reference these records. GOER does not maintain records of agency discipline cases. Records may also be needed in case of litigation related to disciplinary actions.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

◆ **90359 Labor-Management Process Records** -- Agency records of labor-management meetings on specific topics and of labor-management committee activities, including minutes, agenda, background materials, and written agreements. Such meetings may be at various levels of the agency as appropriate to the subject(s).

***Minimum Retention and Disposition:*** Retain until labor-management agreement expires or is superseded by new labor-management agreement, and when no longer needed for reference, then transfer to State Archives.

***Justification:*** Agency-level agreements are effective until expired or superseded, and frequently are effective through the term of several statewide negotiated agreements. GOER does not maintain records of agency-level labor management activities. State Archives staff have consistently appraised agency labor management committee records as archival.

◆ **90373 Public Employment Relations Board Cases** -- Agency records of representation, improper practice, declaratory ruling, conciliation and other cases or issues presented to the Public Employment Relations Board (PERB) for resolution, including charges and other records

of issues presented to PERB, administrative law judge findings, PERB decisions, and related records.

***Minimum Retention and Disposition:*** Destroy when no longer needed for administrative reference.

***Justification:*** PERB maintains the official records documenting cases presented to it for resolution.

***Records Not Covered:*** Records created and retained by PERB.

◆ **90360 Employee Relations Subject Files** -- Records supporting agency employee relations programs, arranged by subject, and consisting of correspondence, memoranda, extra copies of contracts, agency employee relations policies and procedures, reports and background materials pertaining to contract administration issues, and related employee relations matters.

***Minimum Retention and Disposition:*** Destroy when obsolete or superseded.

***Justification:*** These records generally have no legal or fiscal value, and they lose administrative value after they are no longer needed for reference.

***Note:*** Agencies should not use this item for records which are covered by separate authorizations in this schedule.



## **EQUIPMENT, SUPPLIES, AND MOTOR VEHICLE MANAGEMENT**

Equipment, supplies, and motor vehicle management ensures efficient and effective control, use, and maintenance of state-owned property, equipment, and other resources, excluding real property or capital assets.

***Control and Service Agencies:*** The Office of General Services (OGS), Bureau of Surplus Personal Property Disposition, operates the state surplus property disposition program. The OGS Division of Statewide Vehicle Management provides motor vehicle management services for agencies. The Office of State Comptroller, Bureau of Management Audit, audits use and disposition of equipment, supplies, and property.

***Records Not Covered:***

- *Records maintained by OSC for control and audit purposes.*

- *Records maintained by OGS for control, management, or centralized support functions.*

- *Records for which federal regulations or audit requirements specify a longer retention period.*

- *Records of real property and capital assets.*

- *Records of heavy equipment used for highway construction, maintenance, or related activities.*

◆ **90265 Equipment and Furniture Inventories** -- Running inventories of equipment such as audiovisual equipment, tools, laboratory equipment, and furniture that describe each item of property, indicate its location, and provide cumulative totals of each type of agency-owned or leased equipment and furniture. These records are often maintained as manual card files or computer databases.

***Minimum Retention and Disposition:*** Destroy as inventories are superseded or become obsolete.

***Justification:*** Running inventory records are continually updated. Normally only most current version is needed for agency operations or audits.

*Note:* For records related to equipment classed as Capital Assets under Article 2 of the Public Lands Law, see the Facilities Management section of this schedule.

**90266 Supplies, Commodities, and Parts Inventories** -- Running inventories used to manage stocks of expendable materials such as office supplies, commodities, and parts, describing the materials and indicating current stock balances.

***Minimum Retention and Disposition:*** Destroy as inventories are superseded or become obsolete.

***Justification:*** Running inventory records are continually updated. Normally only most current version is needed for agency operations or audits.

◆ **90361 Supplies, Commodities, and Parts Disbursement Records** -- Records documenting disbursement of office supplies, commodities, parts, and other expendable materials.

***Minimum Retention and Disposition:*** Destroy 3 fiscal years after disbursement.

***Justification:*** These may be required for program audits by the Office of the State Comptroller or for investigations of fraud or theft.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

**90267 Equipment Control Records** -- Records documenting equipment use, excluding motor vehicles, and charge-out of equipment to program units or individuals, used to prevent misuse, abuse or theft, or to determine internal agency chargebacks. Examples include portable computers, tool control records, and audiovisual checkout logs.

***Minimum Retention and Disposition:*** Destroy 3 years after equipment is returned.

***Justification:*** These records may be required for use as evidence in personal injury suits related to the use of associated equipment under Section 214 of the Civil Practice Law and Rules, which establishes a time limitation of 3 years on initiating such actions. Also, they may be required for program audits by the Office of the State Comptroller.

**Note:** *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

◆ **90268 Equipment and Motor Vehicle Maintenance Records** -- Records documenting service and repairs to agency equipment or to motor vehicles assigned to or owned by an agency. These records normally include maintenance orders, logs, copies of fiscal documents such as requisitions or purchase orders for parts or services, warranties, operation and repair manuals, and parts lists.

**Minimum Retention and Disposition:** **Destroy 3 years after equipment or vehicle is sold, transferred, or otherwise disposed.**

**Justification:** These records may be required for use as evidence in personal injury suits related to the use of associated equipment or motor vehicle under Section 214 of the Civil Practice Law and Rules, which establishes a time limitation of 3 years on initiating such actions. Also, the records may be required for program audits by the Office of the State Comptroller.

**Note:** *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

**90270 Agency Copies of Centralized Motor Vehicle Assignment Records** -- Records documenting the assignment of motor vehicles to an agency by OGS, Division of Statewide Vehicle Management. These records normally include requests for assignment of vehicle, assignments, reports to OGS containing information on vehicle use, gasoline consumption and lubricant consumption, credit card charges, and copies of fiscal documents such as oil or gas purchasing receipts.

**Minimum Retention and Disposition:** **Destroy 3 years after end of vehicle assignment.**

**Justification:** Records are used to track and monitor vehicle use and for administrative review and analysis by the agency. They may be required for program audits by the Office of the State Comptroller.

**90271 Agency Copies of Decentralized Motor Vehicle Assignment Records** -- Records

documenting agency assignments of motor vehicles to employees. These records normally include requests for assignments, assignment and use logs, and reports.

***Minimum Retention and Disposition:*** Destroy 3 years after end of vehicle assignment.

***Justification:*** Records are used to track and monitor vehicle use and for administrative review and analysis by the agency. They may be required for program audits by the Office of the State Comptroller.

**90272 Vehicle Incident Records** -- Reports and supporting materials documenting accidents, thefts, and other incidents involving state-owned vehicles.

***Minimum Retention and Disposition:*** Destroy 5 years after filing of report.

***Justification:*** OGS retains official copy of reports and supporting materials. Agencies may be asked by investigators or OSC auditors to supply copies for up to 5 years after a report is filed.

***Note:*** *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.*

**◆ 90273 Surplus Property Disposition Records** -- Agency copies of records that identify surplus property, expedite its transfer to the OGS, Bureau of Surplus Personal Property Disposition or other disposition, and track disposition of property. These records include requests for disposal of surplus property, receipts, and copies of OGS reporting forms and supporting documentation that describe the property being disposed and provide information on proposed method of disposition.

***Minimum Retention and Disposition:*** Destroy 3 years after property has been disposed.

***Justification:*** OGS retains official copy of reports and supporting materials for surplus property transferred to the OGS, Bureau of Surplus Personal Property Disposition. However, agencies may be asked to supply copies for use by OSC auditors. They may also be required for use in investigations of alleged theft or fraud.

***Note:*** *Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3*

*months beyond the minimum retention period.*

◆◆ **90365 Agency Recycling Reports** -- Agency copies of annual reports concerning the purchase of recycled paper and products and other waste reduction efforts. Agencies file these reports with the Interagency Committee on Sustainability and Green Procurement, as required by Executive Order 4 of 2008.

***Minimum Retention and Disposition:*** Destroy 1 year after filing of report.

***Justification:*** The Interagency Committee on Sustainability and Green Procurement maintains the record copies of these reports.

***Records Not Covered:*** Copies of annual reports held by the Interagency Committee on Sustainability and Green Procurement.

◆ **90374 Equipment, Supplies, and Motor Vehicle Management Subject Files** -- Records used to support agency equipment, supplies, and motor vehicle management programs, arranged by subject, and consisting of correspondence, memoranda, reports, manuals, copies of policies and procedures, and related records pertaining to the indicated functions.

***Minimum Retention and Disposition:*** Destroy when obsolete or superseded.

***Justification:*** These records have no legal or fiscal value.

## FACILITIES MANAGEMENT

Facilities management encompasses the operation and maintenance of buildings or other facilities, including residential facilities, owned or leased by New York State. Facilities management includes fixed (capital) assets management, building and grounds maintenance, space planning and allocation, and parking assignment and control.

**Records Not Covered:** *Records created by the Office of General Services (OGS) that document its facility management or records created by the Office of the State Comptroller (OSC) in the performance of audits related to fixed assets management. Records that document the construction and major rehabilitation of buildings and other structures are also not covered by this schedule and must be scheduled separately.*

◆ **90274 Fixed Assets Inventory Files** -- Agency copies of records documenting purchase and ownership of property meeting criteria for fixed (capital) assets as defined by the Statewide Fixed (Capital) Assets Accounting System under Section 2.2 of Public Lands Law. Fixed assets include but are not limited to

- all land
- land improvements costing over \$100,000
- all buildings
- all building renovations costing over \$100,000
- equipment costing over \$40,000
- infrastructure costing over \$1,000,000.

This series typically includes all input forms supplied by agencies to OGS, or, when data is supplied in electronic form, copies of data input documents, as well as copies of purchase orders, vouchers, surplus property forms, or other records related to the purchase and disposition of property.

**Minimum Retention and Disposition:** **Destroy 3 fiscal years after disposal of associated property.**

**Justification:** The Statewide Fixed Assets Accounting Systems Procedures Manual requires that agencies retain these records until the disposition of the associated property plus an additional 3 years to conform with normal accounting procedures. This retention period satisfies OSC audit requirements.

**90275 Agency Copies of Fixed Assets Update Reports** -- Agency copies of computer-generated reports sent by OGS to agencies documenting changes to assets under the Statewide Fixed Assets

Accounting System.

***Minimum Retention and Disposition:*** Destroy after receipt of updated Fixed Assets Report from OGS.

***Justification:*** These records have no value to an agency once superseded by an updated report.

**90276 Agency Copies of Fixed Assets Reinventory Reports** -- Reports issued by OGS to agencies every 2 years detailing all agency fixed assets currently documented in the Statewide Fixed Assets Accounting System.

***Minimum Retention and Disposition:*** Destroy 3 years after report is superseded by new report.

***Justification:*** These reports may be used by OSC during audits of agency fixed assets management programs.

◆ **90277 Facility Maintenance Work Order Files and Logs** -- Agency records documenting requests from facility tenants (both within and outside of the agency) for facility and physical plant system (heating, ventilation, air conditioning) maintenance work and records of work completed.

***Minimum Retention and Disposition:*** Destroy 3 years after completion of work.

***Justification:*** This retention period ensures that these files will be available in the event of personal injury actions.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

**90278 Applications for Use of Facilities and Schedules** -- Agency records documenting requests to use facilities (e.g., meeting rooms) and the schedules resulting from those requests.

***Minimum Retention and Disposition:*** Destroy at end of calendar year.

***Justification:*** Applications and schedules have no administrative value after facility has

been used.

◆ **90279 Physical Plant Maintenance/Operations Reference Drawings and Files** -- Copies of architectural and engineering drawings and fixed equipment manuals used for reference in building operation and maintenance.

***Minimum Retention and Disposition:*** Destroy 3 years after superseded or after the replacement or disposal of the equipment.

***Justification:*** This retention period ensures that these records will be available in the event of personal injury actions.

***Records Not Covered:*** Original or unique copies of as-built and shop drawings that document construction and major rehabilitation of structures should be separately scheduled by the responsible program unit. While OGS holds official plans and designs of most state facilities, individual agencies may hold some unique records warranting long-term retention or transfer to the State Archives.

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

◆ **90280 Tenant Records** -- Agency records documenting negotiations for and completion of leases for office space and other facilities, records of subsequent communications with landlords, and other records related to tenancy. These records typically include copies of leases, correspondence, lease approvals from control agencies, copies of fiscal documents, and requests for maintenance or repairs.

***Minimum Retention and Disposition:*** Destroy 6 years after expiration of lease or final payment, whichever is later.

***Justification:*** This retention period satisfies the statute of limitations on litigation involving contracts (Section 213 of the Civil Practice Law and Rules).

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.



◆ **90281 Lease Files** -- Leases for agency-owned property leased to public or private organizations and individuals and records of administration of the terms of the leases. These records typically include copies of leases, related correspondence, copies of fiscal documents, and requests for maintenance or repairs.

***Minimum Retention and Disposition:*** Destroy 6 years after expiration of lease or final payment, whichever is later.

***Justification:*** This retention period satisfies the statute of limitations on litigation involving contracts (Section 213 of the Civil Practice Law and Rules).

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

**90282 Space Allocation Planning Files** -- Agency space allocation plans and related documentation, including copies of requests, estimates of space, justification of needs, specifications, copies of building diagrams, floor layouts, and supporting documentation from agencies to OGS for allocation of space in facilities operated by OGS.

***Minimum Retention and Disposition:*** Destroy when space plan is implemented, revised, or cancelled.

***Justification:*** Records are no longer needed after space allocation plans have been implemented, revised, or cancelled.

◆ **90283 Space Assignment Files** -- Agency copies of requests for space from program units, specifications, building diagrams, floor layouts, justifications, records of actual assignment of space to program unit, and master building directories.

***Minimum Retention and Disposition:*** Destroy when a space assignment is terminated.

***Justification:*** Records of space assignments are not needed after space has been reassigned.

**90284 Parking Permit Application Files** -- Applications for agency-controlled parking spaces

and waiting lists.

***Minimum Retention and Disposition:*** Destroy 6 months after parking space is assigned and the employee is registered.

***Justification:*** These records should be retained for the indicated period in case of employee grievances.

**90285 Parking Permit Assignment Records** -- Records of assignments of agency-controlled parking spaces, including name of authorized user, permit number, and location of assigned space.

***Minimum Retention and Disposition:*** Destroy 6 months after permit is cancelled or superseded by a new permit.

***Justification:*** These records should be retained for the indicated period in case of employee grievances.

◆ **90286 Physical Plant Systems Monitoring and Inspection Records** -- Records documenting the operation and inspection of facility heating, ventilation, energy consumption and monitoring, fire suppression, air conditioning, water, electrical, and mechanical systems, including but not limited to meter readings, steam pressure logs, fixed equipment (e.g., elevators and mechanical doors) inspection reports, and heating fuel consumption recordings.

***Minimum Retention and Disposition:*** Destroy 3 years after creation.

***Justification:*** These records may be required for program audits by the Office of the State Comptroller. Also, they may be required for use as evidence in personal injury suits related to system failure or malfunction (Section 214 of the Civil Practice Law and Rules).

***Note:*** Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them. If a case-by-case review of files is impractical, the Office of the Attorney General advises retaining the records an additional 3 months beyond the minimum retention period.

**90287 Facility Management Subject Files** -- Records used to support agency facility management programs, arranged by subject, and consisting of correspondence, memoranda, reports, manuals, copies of policies and procedures, and related records pertaining to maintenance and use of facilities.

***Minimum Retention and Disposition: Destroy when obsolete or superseded.***

***Justification:*** These records have no legal or fiscal value.

***Note:*** Agencies should not use this item for records which are covered by separate authorizations in this schedule.

◆◆ **90375 Contractors' Certified Payrolls** -- Records of certified payrolls filed with state agencies by contractors and sub-contractors relating to public-work projects, including correspondence, abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification.

***Minimum Retention and Disposition: Destroy 5 years after contract completion.***

***Justification:*** These records must be retained for the indicated period pursuant to Section 220 (3-a) of Labor Law