**RECORDS RETENTION SCHEDULE WITH DESCRIPTIONS**
INFORMATION TECHNOLOGY DEPARTMENT
RECORDS MANAGEMENT

| RECORD CONTROL NUMBER | RECORD TITLE/DESCRIPTION/AND RETENTION |
|---|---|
| **01 (ACT)** | **ACCOUNTING** |
| 010201 | AUDIT REPORTS<br>This series contains the financial and/or performance audit reports from the State Auditor's Office or private accounting firms. Also includes working papers and supporting documentation associated with the audit.<br><br>Retention: Current report plus one previous audit report.<br><br>Disposition: Dispose by landfill/recycling. *The Auditor's Office will transfer the original audit reports to the State Archives. |
| 010301 | TRAVEL REQUESTS/AUTHORIZATIONS<br>This series contains requests and approvals or authorizations for employee travel. Does not include travel vouchers or any accounting-related documentation.<br><br>Retention: Three years.<br><br>Disposition: Dispose by landfill/recycling. |
| 010401 | BUDGETS<br>This series contains information related to the preparation and submission of the agency budget.<br><br>Retention: Current biennium plus two previous bienniums.<br><br>Disposition: Dispose by landfill/recycling. *OMB will transfer OMB and agency budget files to the State Archives. |
| 010402 | EMERGENCY COMMISSION REQUEST<br>This series contains requests from the agency to the Emergency Commission for additional money for their budget.<br><br>Retention: Three years after the current fiscal year.<br><br>Disposition: Dispose by landfill/recycling. |

010601 BANK STATEMENTS/DEPOSIT RECORDS

This series contains bank statements, deposit records, and canceled checks for accounts maintained by the department, including deposit receipts for the Treasurer's Office.

Retention: Three years after the current fiscal year.

Disposition: Dispose by shredding.

Authority: Account numbers are not open per NDCC 44-04-18.9.

011001 TAX REPORTING DOCUMENTATION

This series contains reporting and supporting documentation used by agencies when providing Information Returns directly to the Internal Revenue Service. IRS Information Returns include 1042s, 1098 series, 1099 series, W-2s, etc. Supporting documentation includes W-9s, W-8 series, and any other documentation supporting the report to the IRS.

Retention: Thirteen years.

Disposition: Dispose by shredding.

Authority: Confidential per NDCC 44-04-28; Legal retention per 26 USC 6501 and 26 USC 6502.

011002 YEAR-END CLOSING PACKAGES

This series contains year-end closing package and associated reports, schedules, working papers, and supporting documents as related to the Comprehensive Annual Financial Reports (CAFR) prepared by the Office of Management and Budget.

Retention: Current biennium plus one previous biennium.

Disposition: Dispose by landfill/recycling.

011201 FIXED ASSET INVENTORY

This series contains an inventory of all fixed assets for the department.

Retention: Until updated.

Disposition: Dispose by landfill/recycling and/or delete all information and backups.

011202 SURPLUS PROPERTY
This series contains information on property sold or purchased by the department through Surplus Property.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

011203 END-OF-FISCAL-YEAR FIXED ASSET INVENTORY
This series contains the June 30 inventory of all fixed assets for the department.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling and/or delete all information and backups.

011301 LEDGERS/JOURNAL
This series contains journal vouchers and general ledger documentation of the department.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling and/or delete all information and backups.

011501 PURCHASE ORDERS/REQUISITIONS
This series contains purchase orders and requisitions issued by the department for goods or services, and supporting documentation.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling and/or delete all information and backups.

011502 ACCOUNTS PAYABLE
This series contains payment vouchers, travel expense vouchers, abstracts for payment, claims for payment, vendor invoices, reports, and other supporting documents pertaining to disbursement of funds for department expenditures.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

011503 WORKERS COMPENSATION

This series contains certificate of premium paid, rate change statements, instructions, and application for workers compensation insurance, and any other documentation or reports associated with participation in Workers Compensation program.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

011505 PURCHASING CARD RECORDS

This series contains the purchase card report, statement, and other information related to purchasing cards used by the agency.

Retention: Three years after the current fiscal year.

Disposition: Dispose by shredding.

Authority: Purchasing card numbers are not open per NDCC 44-04-18.9.

011601 PAYROLL RECORDS

This series contains records and reports that summarize payroll information for the agency.

Retention: Five years.

Disposition: Dispose by shredding.

Authority: Personal information as defined by NDCC 44-04-18.1 is exempt; Legal retention per NDAC 27-02-02-01.

011602 EMPLOYEE PAYROLL FILES

This series contains records relating to payroll information of an individual employee, for example, deduction forms, insurance forms, benefit forms, tax forms, etc.

Retention: Six years after last action.

Disposition: Dispose by shredding.

Authority: Personal information as defined by NDCC 44-04-18.1 is exempt.

011801 RECEIPT BOOKS/REMITTANCE LISTS
This series contains records related to the receipt or payment of cash.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

011802 ACCOUNTS RECEIVABLE
This series contains accounting records, summaries, listings, reports, and ledgers related to the collection of revenue for the department.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

012101 INTERDEPARTMENTAL BILLINGS
This series contains the information used when state offices bill another state office (transfer of funds between state agencies), including supporting documentation.

Retention: Three years after the current fiscal year.

Disposition: Dispose by landfill/recycling.

**10 (AS) AGENCY STATE**

100101 STATE AGENCY CORRESPONDENCE
This series contains correspondence with other North Dakota state agencies.

Retention: Two years.

Disposition: Dispose by landfill/recycling. *All of the Governor's correspondence must be transferred to the State Archives. State agency directors' correspondence related to policies, programs, or fiscal matters must be transferred to the State Archives.

**18 (CR) CIVIL RIGHTS**

180401 CIVIL RIGHTS
This series contains documents related to the agency's compliance with civil rights laws and regulations, including the Civil Rights Act, Equal Employment Opportunity Commission, Affirmative Action, Americans with Disabilities, etc. Records may include correspondence, reports, workplace analysis and reviews, and action plans.

Retention: Four years.

Disposition: Dispose by landfill/recycling.

**26 (COM) COMMUNICATIONS**

260101 NEWSLETTERS/PUBLICATIONS
This series contains newsletters, brochures, or other publications prepared by the department for general public distribution.

Retention: While active.

Disposition: Dispose by landfill/recycling. *State agencies are required to send 8 copies of these state publications to the State Library per NDCC 54-24-09.

260102 NEWSLETTERS/PUBLICATIONS (INTERNAL DISTRIBUTION)
This series contains newsletters, brochures, and publications created by the department for distribution within the agency or state government only.

Retention: While active.

Disposition: Transfer to the State Archives.

260201 HISTORICAL AUDIO/VISUAL MATERIALS
This series contains photographs and/or footage of historical events, employees, or activities of the department.

Retention: While active.

Disposition: Transfer to the State Archives. ** Employee photographs are exempt from the Open Records Law per NDCC 44-04-18.1(2).

260501 SPEECHES
This series contains formal speeches prepared and presented by elected officials and commissioners.

Retention: While active.

Disposition: Transfer to the State Archives.

260601 PRESS RELEASES
This series contains press releases created and distributed by the department.

Retention: Current year plus three previous years.

Disposition: Transfer to the State Archives.

**30 (C/L/A) CONTRACTS/LEASES/AGREEMENTS**

300101 CONTRACTS, LEASES, AND AGREEMENTS
This series contains contracts, leases, and agreements entered into by the department. Includes all back-up and closeout materials for the contract, lease, or agreement.

Retention: Life of the contract plus six years.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 28-01-16(1).

300102 CONTRACTS, LEASES, AND AGREEMENTS NOT EXECUTED
This series contains contracts, leases, agreements, and purchase orders which are cancelled prior to the letting of the contract, signing the lease or agreement, or issuing the purchase order.

Retention: Three years.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 28-01-22.1.

300601 EMPLOYEE BONDS
This series contains employee bonds for employees of the department.

Retention: Three years after expired.

Disposition: Dispose by landfill/recycling.

300701 COMPETITIVE SOLICITATIONS
This series contains documents related to the competitive solicitation process for the awarded solicitation response.

Retention: Life of the contract plus six years.

Disposition: Dispose by shredding.

Authority: Trade secret, proprietary, commercial, and financial information is confidential per NDCC 44-04-18.4 if the information is of a privledged nature and has not been previously publicy disclosed, and social security numbers are confidential per NDCC 44-04-28; Legal retention per NDCC 28-01-16(1).

300702 COMPETITIVE SOLICITATIONS NOT EXECUTED
This series contains documents related to the competitive solicitation process for the responses which are not selected.

Retention: One year.

Disposition: Dispose by shredding.

Authority: Trade secret, proprietary, commercial, and financial information is confidential per NDCC 44-04-18.4 if the information is of a privledged nature and has not been previously publicy disclosed, and social security numbers are confidential per NDCC 44-04-28.

**43 (EQ) EQUIPMENT**

430101 EQUIPMENT FILES
This series contains all information related to equipment and office furniture owned or leased by the agency.

Retention: Life of the equipment plus three years.

Disposition: Dispose by landfill/recycling. Any manuals for the equipment can be disposed or transferred with the equipment.

**44 (FM) FORMS MANAGEMENT**

440101 FORMS MASTERS
This series contains the originals for state forms for the department.

Retention: Until updated.

Disposition: Dispose by landfill/recycling.

## 45 (GC) GENERAL CORRESPONDENCE

450101 GENERAL CORRESPONDENCE
This series contains correspondence received from outside the agency that does not relate to a specific program of the agency or any federal or state agency.

Retention: One year.

Disposition: Dispose by landfill/recycling. *The Governor's Office must transfer their correspondence to the State Archives.

450102 ELECTRONIC COMMUNICATION RECORDS
This series contains e-mail messages, voicemail messages, recorded telephone conversations, instant messages, etc. created or received by employees of the department.

Retention: Determine the record status of the message based on the content. If the message is a record that documents official business of the department, the record must be retained for the appropriate retention period defined on either the ND General Records Retention Schedule or your department's records retention schedules. Dispose of records with transitory value after action is taken.

Disposition: Delete all information and backups.

450104 OPEN RECORDS REQUESTS
This series contains open records requests, correspondence, and supporting documentation.

Retention: One year.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 44-04-21.1(1).

## 47 (INS) INSURANCE OR BONDS

470101 INSURANCE POLICIES
This series contains information relating to insurance carried by the department.

Retention: Permanent.

470201 INSURANCE POLICY BACKUP INFORMATION
This series contains bids, correspondence, and any other information related to obtaining and administering the policy.

Retention: Life of the policy plus six years.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 28-01-16(1).

470301 INSURANCE POLICY CLAIMS
This series contains information regarding claims filed on an insurance policy.

Retention: Retain in office until after settlement plus six years OR 1 year after maturity (age 18) is reached, if a juvenile is involved.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 28-01-16(1).

470302 WORKERS COMPENSATION CLAIMS
This series contains correspondence and copies of employee claims for Workers Compensation benefits.

Retention: Four years after last action.

Disposition: Dispose by shredding. *Claims are available at Workforce Safety and Insurance permanently.

Authority: Confidential per NDCC 65-05-32.

470401 NOTARY PUBLIC DOCUMENTATION
This series contains the application and certificate for notary publics in the department.

Retention: One year after expiration of commission.

Disposition: Dispose by shredding.

Authority: Personal information is exempt per NDCC 44-04-18.1(4).

**50 (LG) LEGAL**

500101 ADMINISTRATIVE CODE/RULES

This series contains documentation of the procedure followed to promulgate all North Dakota Administrative Rules for the department. Includes correspondence, notice of public hearings, working papers, comments, etc.

Retention: Ten years.

Disposition: Dispose by landfill/recycling. *The Attorney General's Office will transfer records for all agencies to the State Archives.

500401 LITIGATION FILES

This series contains the official litigation file with any orders, pleadings, correspondence, and discovery related to litigation. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be disposed by landfill when the file is closed.

Retention: Six years after the case is closed.

Disposition: Litigation with significant value must be transferred to the State Archives. Significant litigation is determined by 1) the fiscal impact of the litigation, 2) the precedential value of the litigation, and 3) the public policy of the litigation. Physical evidence should be removed from the case file before transferring to the State Archives. Litigation not transferred to the State Archives can be disposed by landfill/recycling.

Authority: Ongoing investigations are exempt per NDCC 32-12.2-11; Legal retention per NDCC 28-01-16(1).

500501 ATTORNEY GENERAL OPINIONS

This series contains copies of correspondence requesting an opinion and a copy of the opinion from the Attorney General's Office.

Retention: Until obsolete or updated.

Disposition: Dispose by landfill/recycling. *Attorney General's Office will transfer original to the State Archives.

500701 EXECUTIVE ORDERS AND PROCLAMATIONS
This series contains executive orders and proclamations from the Governor's Office.

Retention: Until obsolete or updated.

Disposition: Dispose by landfill/recycling. *Governor's Office will transfer original to the State Archives.

501201 STATEWIDE BACKGROUND CHECKS/INVESTIGATIONS
This series contains any correspondence and the results of statewide background investigations for agencies NOT authorized to request nationwide criminal history record checks under North Dakota Century Code 12-60-24.

Retention: Six years.

Disposition: Dispose by landfill.

Authority: Legal retention per NDCC 28-01-16.

501202 CRIMINAL HISTORY RECORD CHECKS
This series contains any correspondence and the results of statewide and nationwide criminal history record checks for those agencies authorized to conduct criminal history record checks under North Dakota Century Code 12-60-24.

Retention: Six years.

Disposition: Dispose by shredding.

Authority: Confidential per NDCC 12-60-24 and NDCC 12-60-16.1 through 12-60-16.10; Legal retention per NDCC 28-01-16.

## 55 (LEG) LEGISLATION

550201 LEGISLATION
This series contains information on what is proposed or enacted into state law for the department. This includes amendments, original testimony, fiscal notes, and interim legislative committee information, initiatives, referendums, laws, requirements, and regulations.

Retention: Current legislative session plus two previous sessions.

Disposition: Dispose by landfill/recycling. *Legislative Council transfers the testimony and fiscal notes to the State Archives.

## 60 (PER) PERSONNEL

600201 HIRING PROCESS/RECRUITMENT RECORDS

This series contains the job announcements, employment applications, resumes, and other records related to the selection/hiring/recruitment of employees for advertised job openings or the solicitation for applications by the agency. These records are for individuals that are not hired or selected.

Retention: Six years after the selection process is completed.

Disposition: Dispose by shredding if Social Security Number is included.

Authority: Social Security Numbers are confidential per NDCC 44-04-28; Legal retention per 42 USC 1983 and NDCC 28-01-16(5).

600202 UNSOLICITED RESUMES, APPLICATIONS AND REQUESTS FOR EMPLOYMENT

This series contains resumes, applications, and requests for employment received from individuals where no specific job is indicated or no current job openings exist in the agency.

Retention: After action taken.

Disposition: Dispose by landfill/recycling.

600601 EMPLOYEE FILES

This series contains all information related to individual employees of the department, including application, training information, performance appraisals/evaluations, and correspondence.

Retention: Six years after last action.

Disposition: Dispose by shredding.

Authority: Personal information as defined in NDCC 44-04-18.1 is exempt; Legal retention per 42 USC 1983 and NDCC 28-01-16(5).

600602 EMPLOYEE MEDICAL FILES

This series contains all medical information related to an employee of the department, including correspondence, medical tests and evaluations, Employee Assistance Program records, and Workers Compensation records.

Retention: Six years after last action.

Disposition: Dispose by shredding.

Authority: Confidential per NDCC 44-04-18.1.

600701 TIME RECORDS

This series contains records, requests, and reports used to track time worked and leave requested or taken by employees.

Retention: Six years.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per NDCC 28-01-16.

600901 JOB DESCRIPTIONS

This series contains job descriptions for positions in the department.

Retention: Six years after updated.

Disposition: Dispose by landfill/recycling.

Authority: Legal retention per 42 USC 1983 and NDCC 28-01-16(5).

600902 JOB DESCRIPTION QUESTIONNAIRES AND RECLASSIFICATION REQUESTS

This series contains the job description questionnaires and classification/reclassification request forms submitted to Human Resource Management Services (HRMS) for positions in the department.

State Form Numbers: SFN 2572 and SFN 2584

Retention: Six years after updated.

Disposition: Dispose by shredding if Social Security Number is included. HRMS retains the record for ten years.

Authority: Personal information as defined in NDCC 44-04-18.1 is exempt; Social Security Numbers are confidential per NDCC 44-04-28; Legal retention per 42 USC 1983 and NDCC 28-01-16(5).

601001 EMPLOYEE ASSISTANCE PROGRAM RECORDS
This series contains information related to the administration of the Employees Assistance Program, including utilization reports.

Retention: Three years.

Disposition: Dispose by shredding.

Authority: Confidential per NDCC 44-04-18.1.

601503 EMPLOYMENT HISTORY FILE/SERVICE RECORD
This series contains a summary of employment history with the State of North Dakota, including dates of employment, rate of pay changes, and other personnel actions. This is used to verify previous employment with the State of North Dakota only.

Retention: Fifty years after last action.

Disposition: Dispose by landfill/recycling.

**65 (P/P) POLICIES/PROCEDURES**

650301 INFORMATION TECHNOLOGY PLANS
This series contains the agency's Information Technology Plan required by HB 1034. These plans are submitted to the Information Technology Department.

Retention: Current plan and one previous plan.

Disposition: Dispose by landfill/recycling. * The Information Technology Department will transfer to the State Archives.

650302 ORGANIZATIONAL CHARTS
This series contains chart showing the organizational structure of the divisions, positions, and/or personnel of the department.

Retention: Three years after updated.

Disposition: Transfer to the State Archives.

650303 CONTINUUM OF OPERATIONS PLANS/DISASTER RECOVERY PLANS
This series contains Continuum of Operations Plans (COOP) and Disaster Recovery Plans for state agencies and divisions.

Retention: Until updated.

Disposition: Dispose by shredding.

Authority: Confidential per NDCC 44-04-27.

650401 RECORDS RETENTION SCHEDULES
This series contains retention schedules for the records of the agency.

Retention: Until updated.

Disposition: Dispose by landfill/recycling.

**72 (REF) REFERENCE**

720101 REFERENCE MATERIAL
This series contains all information collected and used for reference purposes only.

Retention: Until updated or obsolete.

Disposition: Dispose by landfill/recycling.

**75 (SA) SAFETY/SECURITY**

750401 SAFETY/SECURITY PLANS
This series contains any records pertaining to the safety or security of the building, personnel, and other resources.

Retention: Until updated.

Disposition: Dispose by shredding.

Authority: Exempt per NDCC 44-04-24.

750402 RISK MANAGEMENT PROGRAM RECORDS

This series contains records related to participation in the Risk Management program, including incident reports, supporting documentation, safety inspections and training records maintained as part of the Risk Management Fund Contribution Discount Program, Risk Management Fund Loss Summary Reports, minutes from Loss Control Committee or other related meetings, and other reports related to the program.

Retention: Three years after the current fiscal year.

Disposition: Dispose of by landfill/recycling. Records related to pending claims are exempt.

Authority: Pending claims are exempt per NDCC 32-12.2-11 and NDCC 32-12.2-12; Legal retention per NDCC 32-12.2-02(4).

**80 (SPS) PROGRAMS, PROJECTS, AND SERVICES**

801201 PROJECT DOCUMENTATION

This series contains all the records stored in the project repository. These could include historical documents such as business cases as well as any charters, plans, schedules, and reports. It may also include other products of project management such as meeting minutes, scope changes, deliverables/project acceptance, risk logs, issue logs, quality-related documents, budgets, variance reports, recovery plans, schedules, project status reports, copies of RFI/RFP and contracts (including all attachments/addendums), and relevant e-mail communications.

Retention: Three years after project is completed.

Disposition: Transfer to the State Archives.

**85 (S/D) STAFF/DIVISION/UNIT**

850601 EMPLOYEE CALENDARS

This series contains employee calendars of meetings and appointments for their position.

Retention: Thirteen months.

Disposition: Dispose by landfill/recycling and/or delete all information and backups.

**90 (S/S/R) SURVEY/STUDY/REPORT**

900201 BIENNIAL REPORTS

This series contains state agencies' biennial reports covering their operations for the two preceding fiscal years. The reports are submitted to the Governor and Secretary of State.

Retention: Current biennium plus one previous biennium.

Disposition: Dispose by landfill/recycling. *The Secretary of State will transfer the record to the State Archives.

**97 (VI) VENDOR INFORMATION**

970101 VENDOR INFORMATION

This series contains correspondence, brochures, and product information from vendors for products not owned or leased by the department.

Retention: Until updated or obsolete.

Disposition: Dispose by landfill/recycling.

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**NOTES**

1. Copies of original record series may be disposed any time before the primary or official record, but must not be maintained any longer than the specified retention period of the original record.
2. If a record contains both open and closed or confidential information, the portions that are not open must be removed prior to disclosing information for an Open Records Request, i.e. Social Security Number.