

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

RECORD  
CONTROL  
NUMBER

RECORD TITLE/DESCRIPTION/AND RETENTION

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**01 (ACT) ACCOUNTING**

**010201 AUDIT REPORTS**

This series contains the financial and/or performance audit reports from the State Auditor's Office or private accounting firms.

RETENTION: Retain current report plus one previous audit report, then dispose by landfill. \* The Auditor's Office will transfer the original audit reports to the State Archives.

**010301 TRAVEL REQUESTS/AUTHORIZATIONS**

This series contains requests and approvals or authorizations for employee travel. Does not include travel vouchers or any accounting-related documentation.

RETENTION: Retain in office for three years, then dispose by landfill.

**010401 BUDGETS**

This series contains information related to the preparation and submission of the agency budget.

RETENTION: Retain in office for the current biennium plus two previous bienniums, then dispose by landfill. \* OMB will transfer OMB and agency budget files to the State Archives.

**010402 EMERGENCY COMMISSION REQUEST**

This series contains requests from the agency to the Emergency Commission for additional money for their budget.

RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.

- 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: Retain in office for three years after the current fiscal year, then dispose by shredding.
- 011001      **TAX REPORTING DOCUMENTATION**  
This series contains documents used for tax-reporting purposes, including 1099s for services rendered at the agency by independent contractors and other non-employees, 1098s for interest earned, etc.
- RETENTION: Retain in office for four years, then dispose by landfill.
- 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: Retain in office for the current biennium plus one previous biennium, then dispose by landfill.
- 011201      **FIXED ASSET INVENTORY**  
This series contains an inventory of all fixed assets for the department.
- RETENTION: Retain in office until updated, then dispose by landfill.
- 011202      **SURPLUS PROPERTY**  
This series contains information on property sold or purchased by the department through Surplus Property.
- RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 011203      **END OF FISCAL YEAR FIXED ASSET INVENTORY**  
This series contains the June 30 inventory of all fixed assets for the department.
- RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.

- 011301      LEDGERS/JOURNAL  
This series contains journal vouchers and general ledger documentation of the department.  
  
RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 011501      PURCHASE ORDERS/REQUISITIONS  
This series contains purchase orders, requisitions, documentation from purchases through an Informal Bid Process, and supporting documentation, i.e. vendor invoices, check stubs, etc. issued by the department for goods or services.  
  
RETENTION: Retain in office for six years, then dispose by landfill
- 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: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 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: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 011504      PURCHASE ORDERS ISSUED FROM A CONTRACT  
This series contains purchase orders issued from a contract or formal bid process signed by the department or the State Procurement Office for goods or services.  
  
RETENTION: Retain in office for the life of the contract plus six years, then dispose by landfill.
- 011505      PURCHASING CARD RECORDS  
This series contains the purchase card report, statement, and other information related to purchasing cards used by the agency.  
  
RETENTION: Retain in office for three years after the current fiscal year, then dispose by shredding.

- 011601      **PAYROLL RECORDS**  
 This series contains records and reports that summarize payroll information for the agency.
- RETENTION: Retain in the office for five years, then dispose by shredding. (NDCC 44-04-18.1)
- 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: Retain in office for six years after last action, then dispose by shredding. (NDCC 44-04-18.1)
- 011801      **RECEIPT BOOKS/REMITTANCE LISTS**  
 This series contains records related to the receipt or payment of cash.
- RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 011802      **ACCOUNTS RECEIVABLE**  
 This series contains accounting records, summaries, listings, reports, and ledgers related to the collection of revenue for the department.
- RETENTION: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 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: Retain in office for three years after the current fiscal year, then dispose by landfill.
- 10 (AS)      AGENCY STATE**
- 100101      **STATE AGENCY CORRESPONDENCE**  
 This series contains correspondence with other North Dakota state agencies.
- RETENTION: Retain in office for two years, then dispose by landfill. \* The correspondence from the Governor and directors of all state agencies must be transferred to the State Archives.

**18 (CR) CIVIL RIGHTS**

**180401 EQUAL EMPLOYMENT OPPORTUNITY COMMISSION COMPLIANCE RECORDS (EEOC)**

This series contains documents related to the agency's compliance with the U.S. Equal Employment Opportunity Commission regulations. Records may include, but are not limited to, EEO-4 reports, workplace analysis and reviews, and action plans.

RETENTION: Retain in office for four years, then dispose by landfill.

**26 (COM) COMMUNICATIONS**

**260101 NEWSLETTERS/PUBLICATIONS**

This series contains newsletters, brochures, or other publications prepared by the department for general public distribution. \*\*State agencies are required to send 8 copies of these state publications to the State Library according to NDCC 54-24-09.

RETENTION: Retain in the office while active, then dispose by landfill.

**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: Retain in the office while active, then 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: Retain in office while active, then transfer to the State Archives. \*\* Employee photographs are exempt from the Open Records Law (NDCC 44-04-18.1(2)).

**260501 SPEECHES**

This series contains speeches prepared and presented by employees of the department.

RETENTION: Retain in the office while active, then transfer to the State Archives.

- 260601      **PRESS RELEASES**  
 This series contains press releases created and distributed by the department.
- RETENTION: Retain in the office the current year plus three previous years, then transfer to the State Archives.
- 30 (C/L/A)      CONTRACTS/LEASES/AGREEMENTS**
- 300101      **CONTRACTS, LEASES, AGREEMENTS, AND COMPETITIVE SOLICITATIONS**  
 This series contains contracts, leases, agreements, and competitive solicitations entered into by the department. Includes all back-up and closeout materials for the contract, lease, agreement, or awarded solicitation response.
- RETENTION: Retain in office for the life of the contract plus six years, then dispose by landfill.
- 300102      **CONTRACTS, LEASES, AGREEMENTS, AND COMPETITIVE SOLICITATIONS NOT EXECUTED**  
 This series contains contracts, leases, agreements, purchase orders, and competitive solicitations which are not selected or cancelled prior to the letting of the contract, signing the lease or agreement, or issuing the purchase order.
- RETENTION: Retain in office for three years, then dispose by landfill.
- 300601      **EMPLOYEE BONDS**  
 This series contains employee bonds for employees of the department.
- RETENTION: Retain in office for three years after expired, then dispose by landfill.
- 43 (EQ)      EQUIPMENT**
- 430101      **EQUIPMENT FILES**  
 This series contains all information related to equipment and office furniture owned or leased by the agency.
- RETENTION: Retain in office for the life of the equipment plus three years, then dispose by landfill. 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: Retain in office until updated, then dispose by landfill.

**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: Retain in office for one year, then dispose by landfill.

\* 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.

450104 OPEN RECORDS REQUESTS

This series contains open records requests, correspondence, and supporting documentation.

RETENTION: Retain in office for two years, then dispose by landfill.

**47 (INS) INSURANCE OR BONDS**

470101 INSURANCE POLICIES

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

RETENTION: Retain in office permanently.

470201 INSURANCE POLICY BACKUP INFORMATION

This series contains bids, correspondence, and any other information related to obtaining and administering the policy.

RETENTION: Retain in office for the life of the policy plus six years, then dispose by landfill.

- 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, then dispose by landfill.
- 470302      **WORKERS COMPENSATION CLAIMS**  
 This series contains correspondence and copies of employee claims for Workers Compensation benefits.
- RETENTION: Retain in office for four years, then dispose by shredding.  
 \*Claims are available at Workforce Safety and Insurance permanently.
- 470401      **NOTARY PUBLIC DOCUMENTATION**  
 This series contains the application and certificate for notary publics in the department.
- RETENTION: Retain in office for one year after expiration of commission, then dispose by shredding.
- 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: Retain in office for ten years, then dispose by landfill. \* 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: Retain in office for 6 years after the case is closed, then transfer to the State Archives. Physical evidence should be removed from the case file before transferring to the State Archives.

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: Retain in office until obsolete or updated, then dispose by landfill.  
\*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: Retain in office until obsolete or updated, then dispose by landfill.  
\*Governor's Office will transfer original to the State Archives.

**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: Retain in office for the current legislative session plus two previous sessions, then transfer 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. These records are for individuals that are not hired or selected.

RETENTION: Retain in office for six years after the selection process is completed, then dispose by landfill.

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: Retain in office for six years after last action, then dispose by shredding. (NDCC 44-04-18.1)

- 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: Retain in office for six years after last action, then dispose by shredding. (NDCC 44-04-18.1)
- 600701      **LEAVE RECORDS**  
This series contains time cards, leave reports, and any other records related to leave requested/taken by employees.
- RETENTION: Retain in office for six years, then dispose by landfill.
- 600901      **JOB DESCRIPTIONS**  
This series contains job descriptions for positions in the department.
- RETENTION: Retain in office for six years after updated, then dispose by landfill.
- 600902      **POSITION INFORMATION QUESTIONNAIRES (PIQ) AND RECLASSIFICATION REQUESTS**  
This series contains the position information questionnaires and classification/reclassification request forms submitted to Human Resource Management Services (HRMS) for positions in the department.
- STATE FORM NUMBER: SFN 2572 and SFN 2584
- RETENTION: Retain in office for six years after updated, then dispose by shredding if Social Security Number is included. HRMS retains the record for ten years.
- 601001      **EMPLOYEE ASSISTANCE PROGRAM RECORDS**  
This series contains information related to the administration of the Employees Assistance Program, including utilization reports.
- RETENTION: Retain in office for three years, then dispose by shredding. (NDCC 44-04-18.1)
- 601502      **BACKGROUND CHECKS/INVESTIGATIONS**  
This series contains any correspondence and the results of background investigations for current or potential employees in the department.
- RETENTION: Retain in office for 6 years, then dispose by shredding.

**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: Retain in office the current plan and one previous plan, then dispose by landfill. \*\*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: Retain in office for three years after updated, then 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: Retain until updated, then dispose by shredding. (NDCC 44-04-27)

650401      RECORDS RETENTION SCHEDULES

This series contains retention schedules for the records of the agency.

RETENTION: Retain in office until updated, then dispose by landfill.

**72 (REF)      REFERENCE**

720101      REFERENCE MATERIAL

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

RETENTION: Retain in office until updated or obsolete, then dispose by landfill.

**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: Retain in office until updated, then dispose by shredding.

- 750402      **RISK MANAGEMENT PROGRAM RECORDS**  
 This series contains records related to participation in the Risk Management program, including incident reports, safety inspections, training records, Risk Management Fund Loss Summary Reports, minutes from Loss Control Committee or other related meetings, and other reports related to the program.
- RETENTION: Retain in office for three years after the current fiscal year, then dispose of by landfill. Tapes of the Executive portion of the Loss Control Committee meetings are confidential. Pending claims are confidential. (NDCC 32-12.2-11).
- 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: Retain in office for 3 years after project completed, then transfer to the State Archives.
- 85 (S/D)      STAFF/DIVISION/UNIT**
- 850601      **EMPLOYEE CALENDARS**  
 This series contains employee calendars of meetings, appointments, etc. for their position.
- RETENTION: Retain in office for thirteen months, then dispose by landfill.
- 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: Retain in office the current biennium plus one previous biennium, then dispose by landfill.  
 \*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: Retain in office until updated or obsolete, then dispose by landfill.

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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.