



# Roosevelt Island Operating Corporation

## ROOSEVELT ISLAND OPERATING CORPORATION OF THE STATE OF NEW YORK

### RECORDS RETENTION AND DISPOSITION SCHEDULE

This schedule governs the retention of the records of the Roosevelt Island Operating Corporation. Some of these materials are available on the RIOC website (<http://rioc.ny.gov>). Records covered by this retention schedule must be retained for the minimum retention period as specified in this schedule, regardless of format.

For more information regarding the Freedom of Information Law, please visit <http://www.dos.ny.gov/coog/>

#### GENERAL

| RECORD SERIES TITLE AND DESCRIPTION   | RETENTION PERIOD  |
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| <b>Official minutes</b>   | <b>PERMANENT</b>  |
| <b>Recording of voice conversations</b> , including audio tape, videotape, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record |   |
| a. Recording of public meeting of governing body or board, committee or commission thereof:   | 4 months after transcription and/or approval of minutes or proceedings                                    |
| <b>Meeting files</b>  | 1 year  |
| <b>Legal opinion</b> or legal directive rendered by government agency:  | <b>PERMANENT</b>  |
| <b>Local law (including certification that law was properly enacted), rule, regulation, ordinance, resolution, proclamation or court order:</b>   | <b>PERMANENT</b>  |
| <b>Legal agreement</b> , including contract, lease, and release involving local government:   | 6 years after expiration or termination or 6 years after final payment under contract, whichever is later |
| <b>Signature card</b> , or equivalent record, showing signature of individual legally authorized to sign specific transaction:  | 6 years after authorization expires or is withdrawn   |
| <b>Manual of procedures</b> , or policies and standards   |   |

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| a. Involving major procedures, policies and standards affecting local government operations, critical functions or issues of public visibility or concern:   | <b>PERMANENT</b>   |
| b. Involving routine day-to-day procedures, policies and standards pertaining to internal administration of a local government:  | 6 years after superseded   |
| <b>Correspondence</b> , and supporting documentation maintained in a subject file (generated or received by a local government), <b>except</b> correspondence that is part of a case file or other record series listed elsewhere on this Schedule   |  |
| a. Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:  | <b>PERMANENT</b>   |
| b. Containing routine legal, fiscal or administrative information:   | 6 years  |
| c. Of <b>no</b> fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters):   | 0 after no longer needed   |
| <b>Official copy of publication</b> , including newsletter, press release, published report, bulletin, homepage or other website file, educational or informational program material prepared by or for local government   |  |
| a. Publications which contain significant information or substantial evidence of plans and directions for government activities, <b>or</b> publications where critical information is <b>not</b> contained in other publications:  | <b>PERMANENT</b>   |
| b. Publications where critical information is <b>also</b> contained in other publications or reports, publications which document routine activities, publications which contain <b>only routine</b> information, or publications (such as webpages) that facilitate access to government information on the Internet: | 0 after no longer needed   |
| <b>Special project or program files</b> , including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:  | 6 years after project or program ends                            |
| <b>Grant program file</b>  |  |
| a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:  | 6 years after renewal or close of grant                          |
| b. Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:   | 6 years after renewal or close of grant or denial of application |
| <b>Complaint, petition or request for service</b> received by local government   |  |

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| a. Summary record (such as log or register) of complaints, petitions or requests:   | 6 years after disposition of all complaints, petitions or requests listed |
| b. Complaints, petitions or requests relating to other than routine services or activities:   | 6 years after final disposition of complaint, petition or request         |
| c. Complaints, petitions or requests relating to routine government services or activities:   | 1 year after final disposition of complaint, petition or request          |
| <b>Opinion survey records</b>   |   |
| a. Survey results, including official copy of survey form:  | 6 years   |
| b. Completed survey forms:  | 0 after survey results prepared   |
| <b>Repair, installation, maintenance or similar record</b> , including but not limited to request for service, work order, record of work done, and summary or log of service performed:  | 6 years   |
| <b>Internal investigation or non-fiscal audit records</b>   |   |
| a. Report and recommendation resulting from investigation:  | <b>PERMANENT</b>  |
| b. Background materials and supporting documentation:   | 6 years   |
| <b>Internal information record</b> , including but not limited to calendars of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes: | 0 after no longer needed  |
| <b>Duplicate copy of record</b> , created for administrative convenience, <b>except</b> where retention is specified elsewhere in this Schedule:  | 0 after no longer needed  |
| <b>Log or schedule</b> used for internal administrative purposes only:  | 0 after no longer needed  |
| <b>Mailing list</b> used for billing or other administrative purposes:  | 0 after superseded or obsolete  |
| <b>Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:</b>  | 6 years   |
| <b>Annual, special or final report, summary, review or evaluation</b>   |   |
| a. Reports which contain substantial evidence of government policy, procedures, plans and directions:   | <b>PERMANENT</b>  |

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| b. Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain <b>only routine</b> legal, fiscal and administrative information:  | 6 years   |
| <b>Program plan (annual, special or long-range):</b>   | <b>PERMANENT</b>  |
| <b>List, index or summary</b> used for internal administrative convenience or for informational purposes:  | 0 after obsolete  |
| <b>Working document</b> , such as draft, worksheet or posting record <b>except</b> worksheets containing fiscal information:   | 0 after no longer needed  |
| <b>Postal records</b> , including returned registered or certified mail card or receipt and insurance receipt:   | 1 year  |
| <b>Accident report</b> and related records:  | 3 years, or 0 after individual attains age 21, whichever is later |
| <b>Report of incident of theft, arson, vandalism, property damage or similar occurrence:</b>   | 6 years   |
| <b>Records covering photocopying and other reproduction</b> of records, books, or other materials, including usage logs and individual copying requests  |   |
| a. For materials subject to U.S. Copyright Law:  | 3 years   |
| b. For materials <b>not</b> subject to U.S. Copyright Law:   | 0 after no longer needed  |
| <b>Copyright records</b> , for materials copyrighted by local government, including but not limited to copy of application, notice of copyright and correspondence:  | 6 years after copyright expires or application denied             |
| <b>Training course information records</b> , including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of agency registrants: | 0 after superseded or obsolete                                    |
| <b>Training course registration processing records</b> , including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:                     | 3 years after date of application to take course                  |

## ARCHIVES/RECORDS MANAGEMENT

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| <b>Records disposition documentation</b> |  |
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| b. Documentation of final disposition of records, describing records disposed of and manner and date of disposition: | 6 years after final disposition of records |
| <b>Inventory of records:</b>   | 0 after superseded                         |
| <b>Archival administration records</b>   |  |
| <b>Guide, listing, index, or other finding aid</b> to archival records:  | 0 after superseded                         |

**ATTORNEY OR COUNSEL**

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| <b>Legal case file</b> , including but not limited to notice of claim, attorney and investigator activity logs, complaints, court order, motions, notes, briefs, releases and closing sheet:   | 6 years after case closed, or 0 after any minor involved attains age 21, whichever is later |
| <b>Legal brief file</b> ("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:  | 0 after no longer needed  |
| <b>Legal case log</b> giving chronological listing of cases:   | 0 after no longer needed  |
| <b>Legal case index</b> , including notations on activities related to case:   | <b>PERMANENT</b>  |
| <b>Subject file</b> assembled and kept for reference purposes:   | 0 after no longer needed  |
| <b>Subpoena</b> , along with documentation of response, issued to local government agency or officer, when not part of legal case file or any other series of records listed on this Schedule: | 6 months after date of response   |

**BUILDING AND PROPERTY REGULATION**

**BUILDING/PROPERTY HISTORY SYSTEMS**

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| <b>Building/property history data file contained in building/property history system</b> , and related records, created for informational and reference purposes, containing information on such areas as building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections: | 0 after no longer needed  |
| <b>Lists, reports, studies, queries, searches for information, special project records and analyses</b> created from data contained in one or more data files in building/property history system   |   |
| a. Final reports and studies resulting from analysis of system data, including background materials and supporting documentation containing significant information on real property and structures located thereon, used for such purposes as long-range planning, change of zoning boundaries and regulations, or planning infrastructure improvements or new facility construction:              | 6 years after project completed, or after date of final entry in record |

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| <p>b. Reports and studies resulting from analysis of system data, including background materials and supporting documentation, queries, searches for information, lists, logs or other internal information records, containing routine information on real property and structures located thereon, or used to produce final reports and studies:</p> | <p>0 after no longer needed</p> |
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**BUILDING AND CONSTRUCTION  
(REGULATION AND INSPECTION)**

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| <p><b>Master summary record</b>, including index, log or journal, covering building code complaints, inspections, investigations, and violations:</p>  | <p><b>PERMANENT</b></p>  |
| <p><b>Housing maintenance or building inspection records</b>, including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case</p>  |  |
| <p>a. For school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:</p>   | <p>6 years after building no longer exists, but not less than 21 years</p> |
| <p><b>Fire safety inspection records</b></p>   |  |
| <p>a. Master summary record of inspections performed:</p>  | <p><b>PERMANENT</b></p>  |
| <p>b. Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:</p>   | <p>21 years</p>  |
| <p><b>Building inspection data file</b> contained in building/property history system, and related records, created for informational and reference purposes, containing information on building inspections <b>not</b> related to building permit issuance, certificate of occupancy issuance, fire inspections, and other relevant detailed information:</p> | <p>0 after no longer needed</p>  |
| <p><b>Building permit and certificate of occupancy issuance records</b></p>  |  |
| <p>a. Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:</p>   | <p><b>PERMANENT</b></p>  |
| <p>b. Log or other chronological list recording permits or certificates of occupancy issued:</p>   | <p>1 year after last entry in record, or 1 year after posting</p>          |
| <p>When permit is granted:</p>   | <p>6 years after building no longer exists</p>                             |
| <p>When permit is denied:</p>  | <p>6 years after final decision</p>  |

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| For <b>non-structural modifications</b> to shopping mall, office complex or similar structure (modifications <b>not</b> involving changes to fire suppression or alarm systems), when permit is granted:  | 10 years  |
| d. Certificate of occupancy and application when not related to building permit application:  | 6 years after building no longer exists               |
| e. Detailed construction specifications submitted as part of building permit application:   | 6 years after denial of permit or completion of work  |
| <b>Building permit issuance data file</b> contained in building/property history system, and related records, created for informational and reference purposes, containing information on applications for and issuance of building permits, including related inspections, certificate of occupancy issuance, and other relevant detailed information: | 0 after no longer needed                              |
| <b>Building condemnation and demolition files</b> , including application, copy of permit, correspondence, and notice of condemnation:  | <b>PERMANENT</b>                                      |
| <b>Contractors' liability insurance records</b>   |   |
| a. Certificate of insurance or copy of insurance policy:  | 6 years after denial or expiration of relevant permit |
| b. Master summary record of contractors doing business in county and their insurance coverage:  | 1 year after superseded or obsolete                   |
| <b>Building complaints/violations records</b> , including data file contained in building/property history system, and related records, containing information on complaint tracking and violation processing, and other relevant information:  | 6 years   |

**PLANNING**

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| <b>Comprehensive plan development file</b> , including but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plan:  | <b>PERMANENT</b>         |
| <b>Planning action data file</b> contained in building/property history system, and related records, created for informational and reference purposes, containing information on mandatory or discretionary planning review, planning projects, and other relevant detailed information: | 0 after no longer needed |
| <b>Planning project or program file</b> for project or program developed by or for planning agency   |                          |

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| a. Final report and essential supporting information used to develop report, including but not limited to maps, plans, technical memoranda and environmental impact studies:  | <b>PERMANENT</b>          |
| b. Background material, including but not limited to notes, memos, worksheets and correspondence:   | 6 years                   |
| <b>Master summary record</b> (log or register) maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken:   | <b>PERMANENT</b>          |
| <b>Geographic reference file</b> maintained by planning agency for internal reference purposes, usually arranged by name of government agency or other service organization:  | 0 after obsolete          |
| <b>Mandatory planning review case file</b> for required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination |                           |
| a. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is approved or denied ( <b>except</b> records covered by part "d"):  | <b>PERMANENT</b>          |
| b. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is withdrawn or abandoned ( <b>except</b> records covered by part "d"):  | 10 years after last entry |
| c. Any other mandatory review:  | 6 years after last entry  |
| d. Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:   | 6 years after last entry  |
| e. Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:  | 1 year after last entry   |
| <b>Discretionary planning review case file</b> , including review of planning review cases, federal or other aid projects, review of mining permit application, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, maps, plans, sketches, and other supporting materials  |                           |
| a. When review is carried out, and comments are forwarded by planning agency:   | 3 years after last entry  |

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| b. When no comments are forwarded by planning agency: | 1 year after receipt of request to review |
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**DISASTER PREPAREDNESS**

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| <b>Disaster preparedness or crisis relocation records</b>  |                          |
| a. Official copy of plans, including supporting maps, when prepared by local government under provisions of Section 23, Executive Law:   | <b>PERMANENT</b>         |
| b. Copies of plans held by local government, including supporting maps, when official copies prepared under Section 23, Executive Law, are maintained by county or other local government which created them, along with other disaster preparedness plans, not prepared under Section 23, Executive Law, intended for specific buildings or for use by specific local government units: | 3 years after superseded |
| c. Background materials and supporting documentation used in preparation of plans:   | 3 years                  |
| <b>Disaster response and damage files</b> compiling information on the response of all agencies to a major disaster, including such records as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:                                      | <b>PERMANENT</b>         |

**ELECTRIC AND GAS UTILITY**

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| <b>Operational permit records</b> , including application, copy of permit and correspondence:  | 6 years after denial of application or expiration, renewal or revocation of permit |
| <b>Construction, modification, demolition or retirement records</b> for electric or gas production plant and transmission and distribution system, including but not limited to detailed construction specifications and other supplementary documentation, progress and completion reports, work orders, memoranda, worksheets, records of inspection and work evaluation and correspondence: | 10 years after retirement of plant or system                                       |

**ELECTRONIC DATA PROCESSING**

**GENERAL ADMINISTRATION**

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| <b>Data processing unit subject files, correspondence, memoranda, reports, publications, and related records</b> used to support the administration of data processing services. This item does not include local government Information Resource Management (IRM) plans, long-range or strategic plans, EDP and IRM policies, records that document fiscal transactions, and any records covered by other items in this schedule: | 0 after superseded or obsolete |
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| a. Master copy of plan and essential background documentation:   | Retain for 3 planning cycles after the plan is completed, superseded, or revised. |
| b. Copies, drafts, and routine material:   | 0 after no longer needed  |
| <b>Data processing policies</b> , records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership: | 3 years after policy is withdrawn, revised, updated, or superseded                |
| <b>Data processing product/vendor and state contracts reference files</b> , information on data processing equipment, software, and other products and their vendors:                        | 0 after no longer needed for reference  |

### COMPUTER OPERATIONS AND TECHNICAL SUPPORT

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| <b>Data processing operating procedures</b> , records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation:  | 3 years after procedure is withdrawn, revised, updated, or superseded  |
| <b>Data processing hardware documentation</b> , records documenting the use, operation, and maintenance of a local government's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems: | 0 after the local government no longer uses related hardware and all data is transferred to and made useable in new hardware environment                       |
| <b>Operating system and hardware conversion plans</b> , records relating to the replacement of equipment or computer operating systems:  | 1 year after successful conversion   |
| <b>Disaster preparedness and recovery plans</b> , records related to the protection and reestablishment of data processing services and equipment in case of a disaster:   | 0 after superseded by revised plan   |
| <b>System backup files</b> , copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction:  | 0 after 3 system backup cycles   |
| <b>System users access records</b> , created to control or monitor individual access to a system and its data, including but not limited to user account records and password files:   | 0 after the individual no longer has access to the system, <b>but not before</b> audit requirements for the records modified by that individual have been met. |

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| <b>Computer system security records</b> , records used to control or monitor the security of a system and its data, including but not limited to intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs:               | 10 years after date of last entry   |
| <b>Computer usage files</b> , electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, charge-back files, data entry logs, and records of individual computer program usage: | 0 after 3 system backup cycles  |
| <b>Audit trail files</b> , data generated during the creation of a master file or database used to validate a master file or database during a processing cycle:  | 0 after 3 database/master file backup cycles                                      |
| <b>Data processing unit's copies of output reports</b> , data processing unit's copy of output reports produced for client program units:   | 0 after output is distributed   |
| <b>Automated tape library system files</b> , automated records used to control the location, maintenance, and disposition of magnetic media in a tape library:  | 0 after related records or media are destroyed or withdrawn from the tape library |
| <b>Reports on the destruction of files ("scratch reports")</b> , records containing information on the destruction of files stored on electronic media in a tape library:   | 0 after superseded or (if required) management review and approval                |
| <b>Tape library control records</b> , records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs:   | 0 after superseded  |

## USER/OFFICE AUTOMATION SUPPORT

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| <b>Site/equipment support files</b> , records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda |   |
| a. Site visit reports, problem and equipment service reports, and routine correspondence and memoranda:   | 3 years after creation                            |
| b. Service histories and other summary records:   | 0 after the related equipment is no longer in use |
| <b>Help desk telephone logs and reports</b> , records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes:      | 1 year after creation                             |

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| <p><b>Software review files</b>, records related to the review and recommendations for software for local government use including vendor information, manuals, software reviews, and related material:</p> | <p>0 after obsolete</p> |
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## NETWORK/DATA COMMUNICATION SERVICES

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| <p><b>Network site/equipment support files</b>, records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda</p>  |  |
| <p>a. Site visit reports, trouble reports, and related correspondence:</p>   | <p>3 years after creation</p>  |
| <p>b. Service histories and other summary records:</p>   | <p>0 after the related equipment or site is no longer in use</p>     |
| <p>c. Routine records that do not contain substantial information on the maintenance history or site:</p>  | <p>1 year</p>  |
| <p><b>Inventories of circuits</b>, automated or paper records containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit:</p>                     | <p>0 after the circuit is no longer used by the local government</p> |
| <p><b>Network or circuit installation and service files</b>, copies of requests by local governments to service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams:</p> | <p>1 year after request is filled or repairs are made</p>            |
| <p><b>Network usage files</b>, electronic files or automated logs created to monitor network usage including but not limited to login files and system usage files:</p>  | <p>0 after 3 system backup cycles after creation</p>                 |
| <p><b>Network usage reports</b>, summary reports and other records created to document computer usage for reporting or other purposes:</p>   | <p>1 fiscal year after creation</p>                                  |
| <p><b>Network implementation project files</b>, local government records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams:</p>  | <p>0 after superseded</p>  |

## INTERNET SERVICES

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| <p><b>Internet services logs</b>, electronic files or automated logs created to monitor access and use of local government services provided via the Internet, including, but not limited to, services provided via FTP (file transfer protocol), or website, or Telnet services:</p> | <p>0 after 3 backup cycles, but not before relevant audit and documentation requirements have been met</p> |
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| <p><b>Employee Internet use logs</b>, electronic files or automated logs created to monitor and control use of the Internet by employees, including but not limited to proxy server logs:</p> | <p>0 after 3 backup cycles, but not before any appropriate review and verification</p> |
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**ENVIRONMENTAL FACILITIES: GENERAL**

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| <p><b>Capital construction or public improvement project file for environmental facility</b></p>   |  |
| <p>a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; construction inspection reports; final or "as built" plans, maps, designs, sketches, architectural drawings and photographs; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; retrofitting records; and significant correspondence:</p>          | <p><b>PERMANENT</b></p>  |
| <p>b. Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and <b>draft or intermediary</b> plans, maps, designs, sketches or architectural drawings:</p>  | <p>6 years after completion of project or date of most recent entry, whichever is longer</p> |
| <p>c. Unsuccessful bids, to which contract is <b>not</b> awarded:</p>  | <p>6 years</p>   |
| <p>d. All records, when project is proposed but <b>not</b> undertaken:</p>   | <p>6 years after date of last entry</p>  |
| <p><b>Permit or registration files for construction, operation and maintenance</b></p>   |  |
| <p>a. Permit, application, approval or disapproval; related plans, maps, specifications and engineering drawings; variance from New York state regulations, approval of use of emergency source of water, approval to supply water to or take water from other system, approval of fluoridation process, progress and inspection reports, final and annual reports, summaries of data collected relating to permit issuance, and significant correspondence:</p> | <p><b>PERMANENT</b></p>  |
| <p>b. Routine correspondence, cover and internal memoranda, draft or intermediary plans, designs and photographs, detailed data that has been summarized in other records, and other records of transitory value:</p>  | <p>6 years after date of last entry</p>  |
| <p><b>Component part</b> sketches, measurements, installation, inspection and maintenance records:</p>   | <p>6 years after part replaced or its use permanently discontinued</p>                       |

**ENVIRONMENTAL FACILITIES:  
SOLID WASTE MANAGEMENT FACILITIES**

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| <b>Hazardous waste collection and disposal records</b>   |                                     |
| a. Summary reports and other records of substances and quantities collected and disposed of by outside transfer:   | <b>PERMANENT</b>                    |
| b. Individual load delivery and other detailed records, including manifest form:   | 10 years                            |
| c. Contract for removal of materials collected, along with related performance bond or certificate of insurance:   | 6 years after superseded or invalid |
| <b>Individual load delivery records</b> for solid waste management facility (including materials recycling facility - MRF), including "scalehouse" information records |                                     |
| a. Individual load delivery records for residential waste:   | 6 years*                            |
| b. Individual load delivery records for <b>other than</b> residential waste:   | 10 years*                           |
| c. Summary reports and other records created from individual load delivery records:  | 10 years                            |

**ENVIRONMENTAL MANAGEMENT**

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| <b>Environmental quality review records</b>  |                  |
| a. Environmental impact statements and related reports:  | <b>PERMANENT</b> |
| b. Background materials and supporting documentation used in preparing statements and reports: | 6 years          |
| <b>Environmental protection and natural resources management plan</b>                          |                  |
| a. Final plan and report:  | <b>PERMANENT</b> |
| b. Background materials and supporting documentation:  | 6 years          |

**EXECUTIVE, MANAGER, AND/OR ADMINISTRATOR**

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| <b>Executive, Manager, or Administrator's office files</b> , including but not limited to correspondence, memoranda, reports, studies, publicity items, non-record copies of contracts, and other legal documents |                  |
| a. Where file documents a significant subject, or major policy-making or program-development process:   | <b>PERMANENT</b> |
| b. Where file documents routine activity:   | 6 years          |

**FISCAL**

**AUDIT**

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| <b>Report of audit of financial affairs</b>  |                              |
| a. Audit filed pursuant to Section 35, General Municipal Law, conducted by New York State Comptroller's Office or by New York City Comptroller or by an outside auditing firm: | <b>PERMANENT</b>             |
| b. Other external audits:  | 6 years                      |
| c. Internal audits, conducted by local government officials:   | 6 years                      |
| <b>Audit background documentation</b> , including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:             | 6 years                      |
| <b>Audit hearing or review file:</b>   | 6 years after audit accepted |

**BANKING AND INVESTMENT**

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| <b>Banking communications</b> , including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account:                | 6 years  |
| <b>Canceled check (including payroll check)</b> , or other instrument of payment, such as bank check, warrant check, order check, or order to fiscal officer to pay when used as a negotiable instrument, including voided check: | 6 years  |
| <b>Copy of check or check stub:</b>   | 6 years  |
| <b>Depository agreement</b> , including designation of depository, bond or surety, or other record relating to deposition of local government funds:  | 6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded |
| <b>Deposit book for checking account:</b>   | 6 years after date of most recent entry  |
| <b>Deposit book for savings account:</b>  | 6 years after cancellation   |
| <b>Deposit slip:</b>  | 6 years  |

**BONDS AND NOTES**

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| <b>Bond issue preparation file</b> , covering bonds issued by local governments |  |
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| a. Master summary record of bonds issued:   | <b>PERMANENT</b>                                |
| b. Other records, including those relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel: | 6 years after bond issue retired                |
| <b>Bond or note issue and cancellation register</b> , including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:                            | 6 years after cancellation of last bond or note |
| <b>Debt-contracting power statement</b> filed with Office of the State Comptroller before sale of bonds:  | 6 years after bond issue retired                |
| <b>Master summary record of bonds, notes, or securities</b> purchased by the government for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:                                      | <b>PERMANENT</b>                                |
| <b>Periodic reports and similar records</b> of yield received from or status of bonds, notes, securities or other obligations purchased for investment:   | 6 years after bond issue retired                |
| <b>Records relating to exclusion of self-liquidating indebtedness</b> by a local government, including copy of application filed with Office of State Comptroller, notice and proof of publication, and State Comptroller's written certificate:                            | 6 years after date of certificate               |

**BUDGET**

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| <b>Budget preparation file</b> for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records: | 6 years                                |
| <b>Annual budget</b>  |  |
| a. Official copy when not included in minutes:  | <b>PERMANENT</b>                       |
| b. When budget is included in minutes:  | 0 after officially recorded in minutes |
| c. Reporting office copy:   | 0 after no longer needed               |
| <b>Special budget</b> filed with state or federal agency:   | <b>PERMANENT</b>                       |
| <b>Budget status report</b> on allocation, receipts, expenditures, encumbrances, and unencumbered funds   |  |
| a. Cumulative report:   | 6 years                                |

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| b. Monthly or quarterly report:  | 1 year  |
| <b>Budgetary change request</b> , (if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds: | 6 years |

**CLAIMS AND WARRANTS**

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| <b>Claim for payment</b> (approved or disallowed), including claim, vendor's voucher and bill:  | 6 years   |
| <b>State or federal-state reimbursement claim file (federal revenue sharing)</b> , including but not limited to summary and detail of claim, worksheets and other supporting documents: | 6 years   |
| <b>Summary record of outstanding or paid warrants or claims:</b>  | 6 years   |
| <b>Notice of claim record and index</b> as required by Section 50-f of the General Municipal Law:   | 6 years after final disposition of claim                  |
| <b>Order or warrant to pay monies</b>   |   |
| a. For any funds held in a savings bank:  | 20 years  |
| b. For any funds <b>not</b> held in a savings bank:   | 6 years   |
| <b>Outstanding warrants listing</b> , including adding machines tapes:  | 6 years   |
| <b>Assignment of claim:</b>   | 6 years after satisfaction or 10 years, whichever is less |

**GENERAL ACCOUNTING AND MISCELLANEOUS**

|   |                          |
|---|--------------------------|
| <b>General ledger</b> showing summary receipts and disbursements from all funds and accounts:   | 6 years after last entry |
| <b>Subsidiary ledger</b> providing details of the general ledger accounts:  | 6 years after last entry |
| <b>Journal</b> recording chronological entries of all fiscal transactions:  | 6 years after last entry |
| <b>Accounting register</b> , including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims: | 6 years after last entry |
| <b>Cash transaction record</b> showing cash received from collection of various fees and petty cash disbursed:  | 6 years                  |

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| <b>Tolls or fares collection record</b> , including but not limited to record of receipts and log of operations:  | 6 years   |
| <b>Daily cash record</b> , including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:   | 6 years   |
| <b>Notice of encumbrance</b> indicating funds encumbered and amount remaining unencumbered:   | 6 years   |
| <b>Past due account fiscal records and summaries:</b>   | 6 years after account satisfied or otherwise closed |
| <b>Intermediary fiscal record of receipts and disbursements</b> , including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes: | 6 years   |
| <b>Abstract of receipts, disbursements, or claims:</b>  | 6 years   |
| <b>Billing records covering services provided by local government</b>   |   |
| a. Customer's individual account:   | 6 years after last entry                            |
| b. Records used to determine billing and charges including "flat rate" computation record and copies of bills and charge slips:   | 6 years   |
| c. Billing address records:   | 0 after superseded or obsolete                      |
| <b>Bill of sale</b> of property owned by local government other than real property:   | 6 years   |
| <b>Tax exemption records</b> , showing that local government is exempt from paying sales, use or other taxes:   | 1 year after superseded or obsolete                 |
| <b>Payment recoupment records</b> , documenting the process of recovering monies paid erroneously by local government to employee, vendor or other payee:                                 | 6 years after date of most recent entry in record   |
| <b>Receipt (received) or copy of receipt (issued)</b> other than for payment of taxes:  | 6 years   |
| <b>Grant, award or gift files</b> , covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals       |   |
| a. Master summary record of grants, awards or gifts:  | <b>PERMANENT</b>                                    |
| b. Detailed records of grants, awards and gifts, excluding master summary record:   | 6 years   |

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| <p><b>Credit card records</b> documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:</p> | <p>6 years</p> |
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**PAYROLL**

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| <p><b>Payroll</b>, including information on gross and net pay, base pay, taxes, and other deductions</p>  |  |
| <p>a. Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:</p>   | <p>55 years</p>  |
| <p>b. Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when <b>no</b> year-end payroll is maintained <b>or</b> year-end payroll does not contain this required detailed information:</p> | <p>55 years</p>  |
| <p>c. Periodic payroll, <b>not</b> including detailed information necessary for salary verification for retirement and social security purposes:</p>  | <p>6 years</p>   |
| <p>e. Preliminary draft of payroll:</p>   | <p>0 after warrant authorizing payment of salaries is signed</p> |
| <p><b>Payroll or related report</b> covering all employees or an individual employee, and <b>not</b> covered by specific item in this section</p>   |  |
| <p>a. When needed for audit or other fiscal purposes:</p>   | <p>6 years</p>   |
| <p>b. When <b>not</b> needed for audit or other fiscal purposes:</p>  | <p>0 after no longer needed</p>                                  |
| <p><b>Payroll distribution breakdown record</b> used to distribute or classify labor costs:</p>   | <p>6 years</p>   |
| <p><b>Summary record of employee's payroll changes:</b></p>   | <p>6 years after termination of employment</p>                   |
| <p><b>Employee's time cards, sheets, or books:</b></p>  | <p>6 years</p>   |
| <p><b>Record of employee absences or accruals</b></p>   |  |
| <p><b>Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime:</b></p>  | <p>6 years</p>   |
| <p><b>Record of assignments, attachments, and garnishments of employee's salary</b></p>   |  |
| <p>a. When employment was terminated prior to satisfaction:</p>   | <p>6 years after termination of employment</p>                   |

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| b. When satisfied:   | 5 years after satisfaction   |
| <b>Employee's voluntary payroll deduction request form:</b>  | 5 years after authorization expires  |
| <b>Employee's personal earnings record</b> used to prove end-of-year total earnings, retirement or other deductions and taxes withheld:  | 6 years  |
| <b>Employee's declaration of intention to accept or reject Social Security:</b>  | 10 years after employee dies or reaches age 75, whichever is shorter         |
| <b>Quarterly or other periodic report of wages paid</b> prepared for Social Security, and report of any adjustments or corrections:  | 6 years after year in which wages were reported                              |
| <b>Copy of federal determination of error in wage reports</b> (Form OAR-S30 or equivalent record):   | 6 years after determination received   |
| <b>Payroll report</b> submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, or any other official pension system:   | 6 years  |
| <b>Employer's copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E) and Continuation Sheets (Form 941a), Notice of Tax Return Due (Form TY 14), or equivalent forms:</b>        | 4 years after tax paid   |
| <b>Employer's copy of U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2) or Transmittal of Wages and Tax Statements (Form W-3), or equivalent forms:</b>                | 4 years  |
| <b>Employee's Withholding Exemption Certificate (Form W-4), or equivalent form:</b>  | 4 years after a superseding certificate is filed or employment is terminated |
| <b>Employer's copy of New York state income tax records</b> relating to employees:   | 4 years after tax was paid   |
| <b>Direct deposit records</b> , covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:             | 5 years after authorization expires  |
| <b>Employee's declaration of intention to decline membership or participation in retirement system or benefit plan</b> , including copy of written notification of options provided employee by local government |  |
| a. For retirement system:  | 6 years after termination of employment                                      |
| b. For benefit plan:   | 6 years after termination of employment                                      |

**PURCHASING**

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| <b>Purchase order, purchase requisition</b> , or similar record, used to obtain materials, supplies, or services:  | 6 years   |
| <b>Purchasing file</b> , including but not limited to bid (successful, unsuccessful), contract, specifications and related records for purchase of materials, supplies and services <b>not</b> connected with capital construction:                  | 6 years after completion of purchase or 6 years after final payment under contract, whichever is later  |
| <b>Vendor file</b> , including but not limited to list of vendors doing business with the local government, vendor evaluation forms, price lists or other information received from vendors:   | 0 after obsolete  |
| <b>Performance guarantee</b> or written warranty for products or similar record:   | 6 years after expiration  |
| <b>Invoice</b> , packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:  | 6 years   |
| <b>Invoice register</b> , or similar record used to list invoices:   | 6 years after last entry  |
| <b>List or abstract of purchase orders, claims or contracts:</b>   | 6 years   |
| <b>Standing order file</b> , used for purchase of materials and supplies which are received on a regular basis:  | 6 years   |
| <b>Chargeback records</b> , showing specific fund to be charged for in-house expenditure:  | 6 years   |
| <b>Canceled bids file</b> , including purchase requisitions, vendor solicitations, requests for proposals (RFPs), price quotations and related records concerning bids for goods or services which were canceled without a purchase being completed: | 1 year after subsequent procurement of the same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services |

**REPORTS**

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| <b>Daily, weekly, monthly, quarterly, or other periodic fiscal reports</b> , including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports: | 6 years          |
| <b>Annual or final fiscal reports</b>  |                  |
| a. When report is <b>not</b> included in minutes:  | <b>PERMANENT</b> |

|   |                             |
|---|-----------------------------|
| b. When report is included in minutes:  | 0 after officially recorded |
| <b>Fiscal reports from state agencies:</b>  | 6 years                     |
| <b>Fiscal report</b> on management of court funds and of securities or depositories in which court funds are invested or deposited: | 6 years                     |
| <b>Certificate, demand or direction to fiscal officer to pay monies:</b>  | 6 years                     |
| <b>Verification of travel expenses</b> , including but not limited to certificate of accuracy and receipts:                         |                             |

## INSURANCE

|   |   |
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| <b>Insurance (including self-insurance) case records, except</b> workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation: | 6 years after claim closed, but not until any minor reaches age 21, whichever is later    |
| <b>Workers' compensation case records (including Volunteer Firefighters Benefit Law) case records</b>   |   |
| a. If claim allowed:  | 18 years after injury or illness, but not less than 8 years after last payment            |
| b. If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice:  | 7 years after injury or illness   |
| <b>Master summary record</b> (log or register), of all (including workers' compensation) claims:  | 0 after all claims and/or cases listed in master summary record have been disposed of     |
| <b>Insurance policy</b> covering fire, theft, property damage, personal injury liability, general liability, insurance of life or property, when <b>no outstanding claims are involved</b> :  | 6 years after expiration, or until the report on examination is filed, whichever is later |
| <b>Workers' compensation and employer's liability insurance policy</b> , when no outstanding claims are involved:   | 18 years after expiration   |
| <b>Title insurance policy</b> , when <b>no</b> outstanding claims are involved:   | 20 years after expiration   |

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|---|--------------------------------|
| <b>Certificate of insurance</b> certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when <b>no</b> outstanding claim is involved, <b>except</b> a certificate of insurance certifying as to a security bond or undertaking: | 6 years after expiration       |
| <b>Insurance appraisal and/or survey:</b>   | 0 after superseded or obsolete |

**MISCELLANEOUS**

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| <b>Governmental establishment and reorganization records</b> , covering establishment, incorporation, annexation, consolidation, dissolution or charter revision, for political subdivision, including but not limited to petitions, special studies and surveys, correspondence with state agencies, records of voter action and reports: | <b>PERMANENT</b>                                  |
| <b>Census records</b> of all regular and special local, New York state and federal censuses:   | <b>PERMANENT</b>                                  |
| <b>Annual financial disclosure statements</b> , filed by local political party official or candidate for local elected office, pursuant to Section 812.1 (a), General Municipal Law:   | 7 years   |
| <b>Minority- and women-owned business files</b> , covering minority- and women-owned businesses doing business with or in the jurisdiction of a local government   |   |
| a. Summary record listing businesses, eligibility criteria and official government policy statement:   | <b>PERMANENT</b>                                  |
| b. Detailed application/questionnaire/response completed by business:  | 5 years after date of most recent entry in record |
| c. Directory of state-approved minority- and women-owned businesses, supplied by State Department of Economic Development:   | 0 after superseded                                |
| d. Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, <b>but not including</b> summary record, detailed application/questionnaire/response, eligibility criteria and official government policy statement, and state-supplied directory of businesses:                             | 6 years after contract expiration                 |

**PERSONNEL/CIVIL SERVICE**

**PERSONNEL**

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| <b>Personnel records of local government employees</b> (includes volunteers and interns) |  |
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| a. Master summary record from personnel case file, including but not limited to age, dates of employment, job titles and civil service status:   | <b>PERMANENT</b>                          |
| b. Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence: | 6 years after termination of employment   |
| <b>Investigative records and disciplinary proceedings</b> , including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence:        | 3 years after final decision rendered     |
| <b>Employee's time records</b> covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay:           | 6 years                                   |
| <b>Annual or other financial disclosure statements</b> , filed by local government employees or officials, pursuant to Section 812.1 (a), General Municipal Law, or local law:   | 7 years                                   |
| <b>Employee training history records</b> documenting employee continuing education, training and development, including employee identification, training received, dates of training, and related records:  | 6 years after termination of employment   |
| <b>Administrative organization chart and related records</b> showing administrative and supervisory organization:  | 0 after superseded or obsolete            |
| <b>Identification card records</b> , when card is issued to local public employee:   | 6 months after becoming invalid           |
| <b>Equal employment opportunity report and related records</b>   |   |
| a. Annual, long-term or special (narrative or statistical) reports, goals and achievements:  | <b>PERMANENT</b>                          |
| b. Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:   | 1 year                                    |
| c. Affirmative action and related complaint investigation records:   | 3 years after date of final determination |
| <b>Health and life insurance records</b>   |   |

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| a. For employee with <b>or</b> without dependent survivor:   | 3 years after termination of employee's or dependent survivor's coverage, whichever is later |
| b. Claim for benefits (copy, where original is submitted directly by employee):  | 1 year   |
| c. Health and life insurance coverage reports:   | 6 years  |
| d. Declination statement filed by employee:  | 6 years after separation from service  |
| <b>Unemployment insurance records</b>  |  |
| a. Claim filed by employee, when claim is approved:  | 6 years after final payment  |
| b. Claim filed by employee, when claim is disqualified:  | 3 years after filing   |
| c. Claim payment reports:  | 6 years  |
| <b>Labor-management meeting records</b> , including minutes of meeting, agenda, reports, and correspondence  |  |
| a. Minutes and reports:  | <b>PERMANENT</b>   |
| b. Meeting agenda, correspondence, and other records:  | 6 years  |
| <b>Public employee contract negotiations records</b> , including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, P.E.R.B. fact-finding report, and correspondence                                    |  |
| a. All documentation in record, <b>except</b> routine correspondence, routine memoranda and drafts:  | <b>PERMANENT</b>   |
| b. Routine correspondence, routine memoranda and drafts:   | 1 year   |
| <b>Public employee grievance records</b> , including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision, and correspondence: | 3 years after grievance is resolved  |
| <b>On-site safety inspection records</b> , including individual inspections and summary of findings:   | 3 years after last entry   |
| <b>Toxic substance exposure records</b>  |  |

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| a. Records of exposure or possible exposure of an employee to a toxic substance or other harmful physical agent, including background data to environmental monitoring or measuring, biological monitoring records which are designated as exposure records, material safety data sheets or chemical inventory records indicating use and identity of a toxic substance or harmful physical agent, and related records: | 30 years   |
| b. Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handle those substances:  | 40 years after superseded or obsolete                            |
| c. Material safety data sheet or fact sheet, providing detailed information on specific toxic or other substance at workplace, when <b>not</b> used for parts "a" or "b", above, as the list of toxic substances (as defined in <i>29CFR</i> 1910, Subpart Z) in the workplace <b>or</b> for substances <b>not</b> defined in <i>29CFR</i> 1910, Subpart Z as being toxic:  | 3 years after substance no longer present at workplace           |
| d. Training records covering training of individual employee in handling toxic substances:  | 3 years after separation from service                            |
| e. Summary records of toxic substance training, including but not limited to minutes of meetings and training sessions and summary descriptions of training given employees:  | 3 years after separation from service of all employees involved  |
| <b>Log and summary of occupational injuries and illnesses</b> , created pursuant to <i>12NYCRR</i> , 801.7 and <i>29CFR</i> , 1904.6:   | 5 years  |
| <b>Employee injury record</b> , covering work-related accident or occupational disease, created pursuant to Section 110, Workers' Compensation Law:   | 18 years after date of injury or illness                         |
| <b>Employee medical records concerning exposure to toxic substances or harmful physical agents</b>  |  |
| a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in <i>29CFR</i> 1910.1020 (d-1) (i-B), if made onsite by a non-physician and maintained separately from the employee medical records:   | 3 years after completion of treatment and subsequent observation |
| b. Medical records, <b>other than</b> those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked <b>one year or longer</b> :                      | 30 years after termination of employment                         |

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| c. Medical records, <b>other than</b> those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked <b>less than one year</b> , provided copies were given to the employee upon termination of employment, pursuant to 29CFR 1910.1020 (d-1) (i-C): | 3 years after termination of employment                    |
| <b>Employee medical records not related to exposure to toxic substances or harmful physical agents:</b>  | 3 years after termination of employment                    |
| <b>Notification of vacancy in office</b> , or filling of vacant position:  | 0 after position filled or abolished                       |
| <b>Drivers' license review records for local government officials, employees or volunteers</b>   |  |
| a. When <b>no</b> action is taken as result of review:   | 0  |
| b. When action is taken as result of review:   | 3 years  |
| <b>Employee attestation of knowledge of code of ethics, staff policy manual or other official policies or procedures:</b>  | 3 years after superseded or upon termination of employment |
| <b>Records documenting the specimen collection and testing process</b> , for commercial motor vehicle driver alcohol and drug testing  |  |
| a. Official copy of all policies and procedures, including documentation of the random selection process:  | <b>PERMANENT</b>   |
| <b>Drivers' test results and related records</b>   |  |
| a. Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that <b>individual employee's or job applicant's</b> test was conducted and specimen handled properly, records of dispute of test results by driver, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations, correspondence and related records:        | 5 years  |
| b. Negative or canceled control substance test result or alcohol test result indicating a breath or blood alcohol concentration less than 0.02:  | 1 year   |
| c. Records relating to an <b>individual employee's or job applicant's</b> refusal to take alcohol or substance abuse test:   | 5 years  |
| <b>Documentation of other violations of alcohol or substance abuse rules</b> , including results of alcohol or substance abuse tests administered by law enforcement personnel, copies of police reports and medical records:  | 6 years after termination of employment                    |

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| <b>Staff training and evaluation records</b> for commercial motor vehicle driver alcohol and drug testing   |  |
| a. Official copy of course syllabus or any local government produced training or advisory publication or videotape:   | 6 years after superseded   |
| b. Other training records including lists of attendees, copies of instructors' course or class notes, documentation of instructors' training and proof that employees have received required reading materials:   | 6 years  |
| <b>Employment Eligibility Verification Form I-9</b> , completed by employee and employer for all employees hired after November 6, 1986, verifying that the individual is eligible to work in the United States, including verification documents attached to the form: | 3 years from date of hire or 1 year after employment is terminated, whichever is later |
| <b>Employee assistance program records</b>  |  |
| a. Reports and statistical compilations:  | 6 years after date of most recent entry  |
| b. Program (including course and seminar) and literature files:   | 1 year after program no longer offered or literature superseded or otherwise obsolete  |
| c. Employee consultation records:   | 3 years after date of most recent entry in record                                      |

**CIVIL SERVICE**

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| <b>Official copy of job posting and position duties statement</b>  |  |
| a. When duties of position are described in detail:  | <b>PERMANENT</b>                             |
| b. When duties of position are <b>not</b> described in detail:   | 6 years                                      |
| <b>Application for employment</b> , including resume, when applicant <b>not</b> hired:   | 3 years                                      |
| <b>Recruitment, hiring, interview and selection records</b> , including but not limited to correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations and other records pertaining to the hiring, promotion, demotion, transfer, layoff and termination of employees: | 3 years after completion of personnel action |

**PUBLIC ACCESS TO RECORDS**

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| <b>Subject matter list</b> of records held by local government, required under Freedom of Information Law: | 6 months after superseded |
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| <b>Listing of officers or employees</b> of local government required by Freedom of Information Law:   | 6 months after superseded          |
| <b>Register or list</b> of applicants seeking access to public records:   | 6 months                           |
| <b>Freedom of Information records request file</b>  |                                    |
| a. Request for access to public records, when request is granted:   | 6 months                           |
| b. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision: | 6 months after final determination |
| c. Certificate that record does not exist or cannot be found:   | 6 months                           |

**FISCAL**

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| <b>Annual expenditure report or budget</b> submitted to state or federal agency or professional review organization: | <b>PERMANENT</b> |
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**PUBLIC PROPERTY AND EQUIPMENT**

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| <b>Real property acquisition or sale file</b> for property owned by local government including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence |  |
| a. Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale:  | <b>PERMANENT</b>   |
| b. Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence:  | 6 years after property no longer owned by local government |
| <b>Master summary record</b> (book, log or register) recording acquisition or sale of property by local government:  | <b>PERMANENT</b>   |
| <b>Official copy of sale or auction list, and notice or advertisement of sale of real property by local government:</b>  | <b>PERMANENT</b>   |
| <b>Capital construction or public improvement project file</b> , including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements   |  |

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| <p>a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence:</p> | <p>6 years after building or facility no longer exists or is no longer owned by local government</p>                              |
| <p>b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence and detailed construction specifications:</p>                                     | <p>6 years after last entry in project file</p>   |
| <p>c. Unsuccessful bids, to which contract is <b>not</b> awarded:</p>  | <p>6 years</p>  |
| <p>d. All records, when project is proposed but <b>not</b> undertaken:</p>   | <p>6 years after last entry</p>   |
| <p><b>Official plans, maps, designs, architectural drawings, and photographs</b> for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project</p>   |   |
| <p>a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant building or other facility:</p>  | <p><b>PERMANENT</b></p>   |
| <p>b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for <b>other than</b> significant building or other facility:</p>  | <p>6 years after building or facility no longer exists or is no longer owned by local government</p>                              |
| <p>c. Mechanical, electric and other detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:</p>  | <p>6 years after building or facility no longer exists or is no longer owned by local government</p>                              |
| <p>d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:</p>  | <p>6 years after completion of project</p>  |
| <p>e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:</p>  | <p>Retain as long as the related specific automated design files are retained.</p>  |
| <p>f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:</p>  | <p>Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.</p> |
| <p><b>Draft or intermediary plans, maps, designs, sketches or architectural drawings</b>, including explanatory textual files, tracings and <b>other than</b> final or "as built" automated design files:</p>  | <p>0 after no longer needed</p>   |

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| <b>Maintenance, testing, service, operational and repair records</b> for buildings and other facilities or their mechanical, electrical systems or other infrastructure   |  |
| a. Cumulative summary records:  | 6 years after building or other facility no longer in use                          |
| b. Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when posted to cumulative summary record: | 6 years  |
| c. Individual report or related record, such as work request, work order, personnel deployment record and records of work completed, when <b>not</b> posted to cumulative summary record:                                 | 6 years after building or other facility no longer in use                          |
| d. Log, maintenance schedule or similar record of ongoing activity:   | 6 years after last entry   |
| e. Descriptive information on specific equipment or component parts:  | 6 years after equipment or part no longer in use                                   |
| f. Descriptive information on maintenance personnel, vendors or contractors:  | 1 year after superseded or obsolete  |
| g. Inventories of parts, materials and supplies needed for maintenance and repairs:   | 6 years  |
| h. Requests for inspection, repair or service, when no work is performed and no funds expended:   | 1 year   |
| <b>Reports and studies relating to maintenance, testing, service, operation and repairs</b> for buildings and other facilities or their mechanical, electrical systems or other infrastructure:                           | 6 years  |
| <b>Building or facility security records</b> , including but not limited to visitor's register, watchman's or automated security system or false alarm reports, and records of building/room keys or passes issued:       | 3 years, or 3 years after cancellation or return of key or pass                    |
| <b>Public facility use file</b> , including but not limited to requests, correspondence, fiscal records and authorizations:   | 6 years  |
| <b>Fire safety records</b> , including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports and fire investigation reports                                   |  |
| a. Fire safety inspection reports:  | 3 years, or until all violations noted on report are corrected, whichever is later |
| b. Records <b>other than</b> fire safety inspection reports:  | 3 years  |

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| <b>Property inventory</b> records, covering buildings, facilities, vehicles, machinery and equipment, including "fixed assets" records:   | 0 after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is sooner |
| <b>Inventory of supplies:</b>   | 6 years   |
| <b>Maintenance, testing, service, operational and repair records</b> for equipment or vehicle, but <b>not</b> covering buildings and other facilities or their mechanical, electrical systems or other infrastructure |   |
| a. Cumulative summary record for vehicle or equipment:  | 6 years after vehicle or equipment no longer in use   |
| d. Maintenance or repair log or similar record:   | 6 years after last entry  |
| <b>Specifications, warranty and descriptive information</b> received from vendor for vehicle or equipment:  | 6 years after vehicle or equipment no longer in use   |
| <b>Consumption and dispensing records</b> for fuel, oil, or similar products used by publicly owned vehicles or equipment:  | 6 years   |
| <b>Request for services or supplies</b> , including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment   |   |
| a. When a chargeback or fee is involved:  | 6 years   |
| b. When <b>no</b> chargeback or fee is involved:  | 0 after no longer needed  |
| <b>Federal Communications Commission (F.C.C.) private radio licensing records</b>   |   |
| b. Renewal application and related records, including copy of license:  | 5 years after renewal or termination of license or denial of application  |
| <b>Petroleum bulk storage records</b>   |   |
| a. Registration, including application and related records:   | 7 years after expiration or termination of registration or denial of application  |
| b. Monthly and ten-year mandatory inspection reports:   | 10 years  |
| c. Daily and other periodic inspection reports:   | 1 year  |
| d. Test certification for underground storage tank:   | 7 years   |

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| e. Site assessment and related records, required when an underground storage tank is abandoned:   | <b>PERMANENT</b>  |
| f. Records relating to leakage and spillage:  | <b>PERMANENT</b>  |
| g. Inventory monitoring records:  | 5 years   |
| <b>Hazardous waste generation records</b>   |   |
| a. Individual load delivery and other detailed records, including manifest form:  | 3 years after waste accepted by transporter                     |
| b. Annual and exception reports:  | 3 years after due date of report                                |
| c. Test results and waste analyses:   | 3 years after date waste was removed                            |
| <b>Building rehabilitation and reconstruction project files</b> when asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:  | 30 years  |
| <b>Permits and approvals</b> from state or county health department to operate pool or beach:   | 3 years after denial or expiration                              |
| <b>Reports of pool or beach operation and inspection:</b>   | 21 years  |
| <b>Self-evaluation records</b> , required under Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements  |   |
| a. Voluntary compliance plan for facility, including list of persons consulted, description of areas examined, transition plan, list of problems identified and description of modifications anticipated and made:                      | <b>PERMANENT</b>  |
| b. Copies of work orders, progress notes and other supporting documentation:  | 1 year after modifications completed                            |
| <b>Inspection reports, reviews and audits</b> (internal and external) created relative to the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements: | 6 years after building or facility involved is no longer in use |

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| <p><b>Individual case records</b>, filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution</p> |  |
| <p>a. When complaint or request is filed by officer or employee of the local government involved:</p>  | <p>3 years after resolution of case and termination of any reasonable accommodation provided</p>                   |
| <p>b. When complaint or request is filed by person <b>other than</b> officer or employee of the local government involved:</p>   | <p>3 years after date of final entry in record, but not less than 3 years after person involved attains age 18</p> |
| <p><b>Master summary record of all cases</b> under the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:</p>   | <p><b>PERMANENT</b></p>  |
| <p><b>Records relating to protection of underground facilities</b></p>   |  |
| <p>a. Notice of or request for excavation, received by local government from excavator, pursuant to <i>16 NYCRR</i>, Section 753-5.2, including notice of postponement or cancellation and notice of discovery of unknown facility:</p>  | <p>4 years</p>   |
| <p>b. Master list or central registry of operators of underground facilities located within borders of county or municipality:</p>   | <p>0 after superseded or obsolete</p>  |
| <p><b>Records filed by contractor or sub-contractor with local government related to public works project</b>, pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:</p>  | <p>3 years after contract completion</p>   |

**COMPUTER-AIDED DISPATCH (CAD)**

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| <p><b>Computer-aided dispatch (CAD) or incident data file</b>, containing data on each call received and equipment dispatch or other resulting action taken:</p>   | <p>3 years</p> |
| <p><b>Emergency call receipt and/or equipment dispatch record</b>, including but not limited to police or fire incident report or alarm report, generated each time an alarm or call is received and equipment is dispatched or other resulting action taken</p> |                |
| <p>a. When record contains <b>no</b> information on emergency medical treatment of an individual:</p>  | <p>3 years</p> |

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| b. When record contains information on emergency medical treatment of an individual:   | 6 years, or 3 years after individual attains age 18, whichever is longer              |
| <b>Communications log</b> (radio, telephone, alarm or other) recording each communication between caller and receiving unit <b>or</b> between dispatch unit and mobile unit or field personnel, for law enforcement agency, fire department or district, emergency medical or central emergency dispatch unit: | 3 years after last entry  |
| <b>Tape recording of communications</b> kept by dispatch unit of law- enforcement agency, fire department or district, emergency medical service or central emergency dispatch unit:   | 0 after information posted to emergency call receipt and/or equipment dispatch record |
| <b>Call receipt and dispatch related reports</b> , other than individual incident reports  |   |
| a. Incident data files submitted to New York Department of State:  | 2 years   |
| b. Summary data reports and detailed reports containing information of potential legal or fiscal value:  | 6 years   |
| c. Internal information reports of no legal or fiscal value, such as daily activity reports:   | 0 after no longer needed  |

**PUBLIC SAFETY: GENERAL**

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| <b>Accreditation records for law enforcement, firefighting or prevention or emergency medical services agency or unit:</b>   | <b>PERMANENT</b>   |
| <b>Emergency vehicle, apparatus and equipment records</b>  |  |
| a. Vehicle upkeep and use records, including records of incidents where vehicle responded and equipment was used:  | 3 years  |
| b. Vehicle readiness checklist, or equivalent record, for any emergency vehicle, needed to ensure that necessary equipment and material is in place and in proper order: | 3 years  |
| c. Record of equipment (other than firearms) issued to public safety personnel:  | 1 year after equipment returned or otherwise disposed of |
| <b>Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel, but excluding emergency medical personnel</b>                              |  |
| a. Individual's record of courses attended and/or completed, including basic information on course content:  | 6 years after individual leaves service                  |

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| b. Official copy of training manual or bulletin:  | 50 years   |
| c. Course instruction records, including attendance lists and lesson plan:  | 1 year   |
| <b>Alarm records</b>  |  |
| a. Permit files for connecting fire, water or burglar alarm to public safety agency emergency telephone system, including applications, copies of permits, inspection reports and related records:  | 6 years after denial, expiration or renewal  |
| b. Alarm or fire alarm box call record containing basic information on each alarm transmitted:  | 3 years  |
| d. Alarm location records, including maps and listing and descriptions of alarms:   | 3 years after superseded or obsolete   |
| <b>Public safety personnel service data file</b> or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities |  |
| a. Summary data on an individual:   | 3 years  |
| b. Detailed data on an individual, when posted to or listed on summary data file or other record:   | 1 year   |
| c. Detailed data on an individual, when <b>not</b> posted to or listed on summary data file or other record:  | 3 years  |
| <b>Public safety real property data file</b> , containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties  |  |
| a. Basic or "history file" data:  | Maintain as updated perpetual data file, for as long as system remains in use and property covered comes under service area. |
| b. Detailed data, including plans and computer-assisted design records:   | 0 after superseded or obsolete   |
| c. Records of updates and corrections to property data:   | 3 years after update or correction made  |
| <b>Standard Operating Procedures</b> for call receipt and dispatch, including codes, abbreviations and authority file data:   | <b>PERMANENT</b>   |

**FIRE FIGHTING AND PREVENTION**

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| <b>Fire safety inspection records</b>   |   |
| a. Master summary record of inspections performed:  | <b>PERMANENT</b>  |
| b. Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation: | 21 years  |
| <b>Fire evacuation plan, disaster response plan, fire drill report, fire safety survey, but not including mutual aid plan:</b>          | 3 years after superseded or obsolete                        |
| <b>Fire hydrant records</b>   |   |
| a. Master record of hydrant locations:  | 0 after superseded  |
| b. Installation, repair, location, maintenance, inspection and replacement records:   | 3 years after hydrant replaced, removed or use discontinued |

**LAW ENFORCEMENT: GENERAL**

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| <b>Incident data summary record</b> , including blotter, "desk record book," or equivalent record containing summary record of department or station activities:   | <b>PERMANENT</b>         |
| <b>Law enforcement reports, studies or data queries</b> , including their documentation  |                          |
| a. Reports, studies or queries having legal or fiscal value, such as reports covering use of equipment and personnel resources, reports on crime in specific neighborhoods or on specific kinds of criminal activity, daily activity reports and individual officer "diaries": | 6 years                  |
| b. Reports, studies or queries having no legal or fiscal value, such as daily communications or other routine internal reports:  | 0 after no longer needed |
| c. Uniform Crime Reports submitted to State Division of Criminal Justice Services:   | 1 year                   |
| d. Incident-based reports or queries:  | 3 years                  |
| e. Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (local law enforcement agency copy):  | 0 after no longer needed |

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| f. Report or study of law enforcement activity within municipality, generated for local law enforcement agency by county, regional or state law enforcement agency (copy retained by county or regional creating agency):                                | 3 years   |
| <b>Case investigation record</b> for adult, juvenile offender, youthful offender or juvenile delinquent, including but not limited to complaint, investigation report, arrest report, property record, and disposition of the case                       |   |
| a. For homicides, suicides, arson (first, second or third degree), missing persons (until located), active warrants, and stolen or missing firearms (until recovered or destroyed):  | <b>PERMANENT</b>  |
| b. For all felonies <b>except</b> those covered by parts "a" and "c", and fatalities other than homicides:   | 25 years after case closed  |
| c. For fourth degree arson and non-fatal accidents:  | 10 years after case closed  |
| d. For misdemeanor:  | 5 years after case closed   |
| e. When offense involved was a violation or traffic infraction:  | 1 year after case closed  |
| f. When investigation reveals no offense has been committed by adult:  | 5 years   |
| g. When individual involved was a juvenile and no arrest was made, <b>or</b> no offense was committed:   | 1 year after individual attains age 18  |
| h. Domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when case investigation record is created:   | Retain for 4 years or as long as rest of case investigation report, <b>whichever is longer.</b>                                       |
| <b>Master summary record of case investigation information:</b>  | 0 after no longer needed to access case investigation records   |
| <b>Individual identification file, except</b> jail or penitentiary prisoner case record, including but not limited to fingerprint cards, photographs, record sheets from other agencies, local arrest and disposition records, and miscellaneous reports |   |
| a. When offense involved was a crime (misdemeanor or felony):  | 5 years after death of individual, or 0 after individual attains age 80, whichever is shorter, provided no arrest in the last 5 years |
| b. When offense involved was a violation or traffic infraction:  | 5 years   |

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| c. Digital "mug shot" file, containing digital photos and relevant accompanying data on an individual, when official copies of photos are retained in hard copy as part of part "a" or "b," above: | 0 after no longer needed   |
| d. Digital fingerprint file, containing digital images used to produce fingerprint cards:  | 0 after no longer needed   |
| e. Photo arrays, created by combining identification photos for identification and investigative purposes:   | Retain as long as relevant case investigation record.  |
| f. Criminal record summaries ("rap sheets"), received from Federal Bureau of Investigation or other law enforcement agency:  | Retain most current copy as long as relevant case investigation, or 0 after superseded or obsolete if unrelated to case investigation.                 |
| g. Authorized requests for criminal information contained in local government law enforcement agency records, along with response and record of action taken:                                      | 6 years  |
| <b>Personal information data file</b>  |  |
| a. Data on criminals and suspects:   | Retain data for 5 years after death of individual, or 0 after individual attains age 80, whichever is shorter, provided no arrest in the last 5 years. |
| b. Data on associated persons, such as victims, relatives and witnesses:   | Retain data as long as, or information as part of, relevant case investigation record.   |
| c. Documentation of updates and changes to data:   | Retain as long as data which has been changed or updated.  |
| d. Trouble and discrepancy reports regarding personal information data:  | 3 years  |
| <b>County- or region-wide arrest information cumulative data file</b> , covering county- or region-wide area:  | Maintain as perpetual data file, with superseded or corrected data maintained for 3 years after data updated.  |
| <b>Profiling reports and related records</b> , including macros, workspaces or other files (including all documentation) created in profiling process  |  |
| a. Relating to specific case investigation:  | Retain as long as relevant case investigation record.  |
| b. Not relating to specific case investigation:  | 0 after obsolete   |

**LAW ENFORCEMENT: PERSONAL PROPERTY**

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| <b>Personal property record</b>  |   |
| a. For dangerous weapon, including but not limited to receipt, identification tag, and report of destruction:  | 6 years after disposition of property, or 0 after disposition of any related case investigation records, <b>whichever is longer</b> |
| b. For other property, including but not limited to receipt, confiscated currency report, identification tag, and report of public auction or destruction:                   | 6 years after disposition of property   |
| <b>Identification records for an individual person or for number-engraved property</b>   |   |
| c. Identification/validation records for missing or stolen property, license plates, licenses, registrations or ID cards (if <b>not</b> part of case investigation records): | 0 after no longer needed  |

**LAW ENFORCEMENT: MOTOR VEHICLES**

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| <b>Traffic and parking violation records</b> , including parking, speeding or other appearance ticket (other than court's copy); officer's supporting deposition; parking violation hearing records; "boot and tow" records; and related records:  | 2 years after any litigation has been completed  |
| <b>Vehicle accident case record</b> , including vehicle accident report and related records, after any litigation has been completed:  | 6 years, or 3 years after youngest individual involved attains age 18, whichever is longer |
| <b>Individual's driving and accident records</b>   |  |
| a. Order, report, or notice concerning vehicle operator's license or registration, including but not limited to order of suspension or revocation of license, notice of compliance with order of suspension or revocation, notice of noncompliance, notice of restoration of license, and report of lost or stolen plates: | 3 years  |
| b. Driver's summary record of accidents, violations and other activities:  | 0 after death of individual, or 90 years after date of birth, if death not verified        |
| <b>Vehicle towing records</b>  |  |
| a. Lists of companies available for towing vehicles:   | 0 after superseded or obsolete   |
| b. Contract or agreement with towing firm:   | 6 years after expiration or termination  |

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| <b>Driver-vehicle examination report or equivalent record</b> , created when local law enforcement agency conducts motor carrier safety inspection: | 7 years |
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**LAW ENFORCEMENT: MISCELLANEOUS**

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| <b>Warrant execution and subpoena or summons service records</b>  |   |
| a. Original signature copies of arrest and other warrants executed by law enforcement agency:   | 5 years after warrant executed or recalled  |
| b. Other warrant related records, including copies without original signatures and warrant control records:   | 5 years after date of most recent entry in record   |
| c. Copies of subpoenas and summonses, and records of their service:   | 2 years   |
| d. Warrant information file:  | Maintain data on each warrant as long as that warrant is valid.                                       |
| <b>Domestic violence records</b> , covering single or multiple incidents, not relating to specific case investigation records, including domestic incident report, created pursuant to Section 140.10(5), Criminal Procedure Law, when <b>no</b> case investigation record is created:  | 4 years   |
| <b>Results of alcohol and drug tests administered by law enforcement personnel</b> , when not included in case investigation records:   | 5 years   |
| <b>Parolee and sex offender records</b>   |   |
| a. Lists of parolees or sex offenders living within a jurisdiction:   | 0 after superseded or obsolete  |
| b. Detailed records on individual parolee or sex offender:  | 0 after person's parole terminated  |
| <b>Subdirectory of High-Risk (Level 3) Sex offenders:</b>   | 0 after superseded  |
| <b>Sex offender registration records</b> , including but not limited to official notification upon registration, change of address information, determination of final risk level, notification of error or change in jurisdiction, notification that offender is no longer registerable, annual address verification, 90-day personal verification (for level 3 offenders), and community notification information |   |
| a. For level 1 or 2 offender, when offender remains in local law enforcement agency's jurisdiction:   | 0 after death of individual, or 5 years after completion of registration period, whichever is earlier |
| b. For level 1 or 2 offender, when offender has left local law enforcement agency's jurisdiction:   | 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier |

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| c. For level 3 offender, when offender remains in local law enforcement agency's jurisdiction:   | 0 after death of individual, or individual attains age 100  |
| d. For level 3 offender, when offender has left local law enforcement agency's jurisdiction:   | 0 after death of individual, or 5 years after offender leaves that jurisdiction, whichever is earlier                                       |
| <b>Missing person records</b>  |   |
| a. Missing person files, covering any records not included in case investigation records:  | 10 years, or 0 after individual attains age 90, whichever is longer   |
| <b>Videotape or other recording of booking or arrest processing</b>  |   |
| a. When litigation and/or criminal proceedings have commenced:   | 3 years, but not until any individual has attained age 21, and not until 1 year after any litigation or criminal proceedings have concluded |
| b. When litigation and/or criminal proceedings have <b>not</b> commenced:  | 3 years, but not until any individual has attained age 21   |
| <b>Copy of order of protection</b> , filed with local law enforcement agency having jurisdiction, pursuant to Article 530, Criminal Procedure Law, and related records |   |
| a. Copy of order of protection:  | 6 months after order expires or otherwise becomes invalid   |
| <b>Child abuse or maltreatment reports</b> and related records, reporting law enforcement agency copy, when <b>not</b> included in case investigation record:          | 3 years   |

**TRANSPORTATION AND ENGINEERING**

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| <b>Fuel, de-icer or other chemical storage and dispensing records</b>  |  |
| a. Consumption and dispensing records for fuel, oil, or similar products used by service vehicles, equipment or airplanes:                               | 6 years  |
| b. Substance testing records:  | 3 years  |
| c. Approvals from the New York State Department of Environmental Conservation (or other agency) for storage and dispensing of fuel and other substances: | 7 years after expiration or termination of approval or denial of application |
| d. Records relating to non-significant leakage, spillage and runoff:   | 6 years  |

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| e. Records relating to significant leakage, spillage and runoff, or any leakage from underground storage tanks: | <b>PERMANENT</b> |
| f. Plans to control leakage, spillage, or runoff, or to deal with accidents and emergencies:                    | <b>PERMANENT</b> |

## HIGHWAY, ENGINEERING, AND PUBLIC WORKS

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| <b>Highway or other transportation structure maintenance and repair records</b> covering routine maintenance and repair activities and pavement marking:   | 6 years   |
| <b>Snow and ice removal records</b> , including log or report of weather conditions:   | 6 years   |
| <b>Highway or transportation structure history file</b> containing summary information on highways, roads, streets, bridges, elevated railways, overpasses, underpasses, culverts, and other structures, <b>except</b> records covering routine maintenance and repair activities      |   |
| a. All records in file, <b>except</b> draft or intermediary records documenting other than significant changes and those closely duplicating other records in file:  | <b>PERMANENT</b>  |
| b. Draft or intermediary records documenting other than significant changes, or closely duplicating other records in file:   | 0 after no longer needed  |
| <b>Project file for capital transportation improvement</b> covering highways, roads, streets, bridges, other structures, parking lots and garages, and public transportation system improvements   |   |
| a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports, and significant correspondence: | 6 years after highway or structure no longer exists or is abandoned   |
| b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheets, routine correspondence and detailed construction specifications:  | 6 years after last entry in project file or until any service life requirement has been met, whichever is later |
| c. Unsuccessful bids:  | 6 years after bid rejected  |
| d. All records, when project is proposed but <b>not</b> undertaken:  | 6 years after last entry  |
| <b>Master summary record</b> (index, log or register) of transportation improvement projects:  | <b>PERMANENT</b>  |

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| <p><b>Official maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections of highways, roads, streets, bridges, or other structures</b></p>                            |   |
| <p>a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:</p>  | <p><b>PERMANENT</b></p>   |
| <p>b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for <b>other than</b> significant highway or structure:</p>  | <p>6 years after structure no longer exists</p>   |
| <p>c. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:</p>  | <p>6 years after completion of project</p>  |
| <p>d. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:</p>  | <p>Retain as long as the related specific automated design files are retained.</p>  |
| <p>e. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:</p>  | <p>Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.</p> |
| <p><b>Design file for capital transportation improvement project, including plans, maps, designs, sketches, designs, architectural drawings, and photographs for highways and other transportation structures maintained by local government</b></p> |   |
| <p>a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:</p>  | <p><b>PERMANENT</b></p>   |
| <p>b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for <b>other than</b> significant highway or structure:</p>  | <p>6 years after highway or structure no longer exists</p>  |
| <p>c. Detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:</p>   | <p>6 years after highway or structure no longer exists</p>  |
| <p>d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:</p>  | <p>6 years after completion of project</p>  |
| <p>e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:</p>  | <p>Retain as long as the related specific automated design files are retained.</p>  |

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| f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:  | Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of. |
| <b>Highway, road, street or transportation structure management automated maintenance, repair and inspection system records</b> , also containing information such as on motor vehicle accidents, highway safety, highway-related permits, complaints and requests for service                      |  |
| a. Detailed data file containing information such as on maintenance and repairs:  | 0 after no longer needed   |
| b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:  | 6 years  |
| c. Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:  | 6 years  |
| d. Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which <b>do not</b> contain information of legal or fiscal value, such as when no work is performed and no funds expended:                                    | 0 after no longer needed   |
| e. Geographic Information System (G.I.S.) street/road data file used as base maps for system operation, derived from official G.I.S. data maintained by other unit of local government:   | 0 after no longer needed   |
| f. Copies of maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections, where official copies are maintained elsewhere, and are covered by item no. 546, above:  | 0 after no longer needed   |
| <b>Right-of-way records</b> , including legal description of right-of-way, copies of deeds, maps and photographs:   | <b>PERMANENT</b>   |
| <b>Property acquisition records</b> , documenting acquisition of real property obtained through eminent domain proceedings for transportation-related project, including record of public hearing, findings and determination, appraisal information, copy of court proceedings and correspondence: | <b>PERMANENT</b>   |
| <b>Recommendation</b> of Highway Superintendent or Commissioner of Public Works for expenditure of highway or road fund money:  | 6 years  |
| <b>Report or "inventory"</b> received from and submitted to New York State Department of Transportation on status, mileage, improvements, or other characteristics of highways and bridges:   | 5 years  |

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| <b>Complaint or request for service</b> , including notification (including communication log and telephone call log) of unsafe, dangerous or defective condition of highway, street, road, bridge, sidewalk, or other capital improvement, including but not limited to inspection report and record of abatement of condition   |   |
| a. Summary record (such as log or register) of complaints or requests:  | 6 years after disposition of all complaints, petitions or requests listed                 |
| b. Complaint or request for service, including follow-up records, where remedial action is taken:   | 6 years after remedial action taken or condition otherwise abated, whichever occurs first |
| c. Complaint or request for service, including follow-up records, where <b>no</b> remedial action is taken:   | 1 year  |
| <b>Transportation- or engineering-related reports, studies or data queries</b> , including their supporting documentation, covering subjects such as traffic congestion studies, traffic safety studies, traffic sign or signal survey, speed limit change request, including but not limited to information gathering forms; copies of accident reports and court records; copies of maps, plans and surveys; and correspondence |   |
| a. Reports, studies or queries having legal or fiscal value:  | 6 years   |
| b. Reports, studies or queries having no legal or fiscal value, such as daily activity, individual "crew" or "shift" reports," daily communications or other routine internal reports:  | 0 after no longer needed  |
| <b>Traffic sign or signal erection, relocation, or removal records</b>  |   |
| a. Records relating to individual or group of interconnected signs or signals, such as authorization for actions taken, photographs, copies of accident reports, copies of maps and surveys, sketches and diagrams, traffic surveys and correspondence:   | 6 years after sign or signal replaced or no longer exists, whichever is shorter           |
| b. Road sign or signal listing:   | 0 after superseded or obsolete  |
| c. Reports and other records of malfunctioning or missing sign or signal:   | 1 year after sign or signal repaired, removed or replaced                                 |
| <b>Copies of motor vehicle accident reports</b> received from law-enforcement or other government agency  |   |
| a. Accident reports where design or maintenance of highway or structure is relevant to accident:  | 6 years   |
| b. Routine accident reports:  | 1 year  |

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| <b>Highway related permit file</b> covering handling of oversized vehicles or equipment, or temporary barricading, obstruction, closing, excavation, construction or encroachment:  | 6 years after expiration or denial of permit                                      |
| <b>Public improvement permit file</b> covering construction work which improves facilities benefiting the public:   | 6 years after expiration or denial of permit                                      |
| <b>Inspection records</b> for bridges, elevated railways and similar structures:  | 6 years after structure no longer in use or inspected features have been replaced |
| <b>Intergovernmental agreements, contracts or orders</b> relative to highway maintenance, and sharing of equipment, materials or services:  | 6 years after expiration  |
| <b>Engineer's reference files</b> , usually arranged by topic, name or number of road, or name of municipality or other government agency:  | 0 after no longer needed  |
| <b>Parking lot or garage usage records</b>  |   |
| a. Summary record of usage:   | 6 years   |
| b. Traffic counts, permit applications, or other records of original entry:   | 6 years   |
| c. Tickets, copies or stubs of tickets:   | 1 year  |
| <b>Handicapped parking permit records</b>   |   |
| a. Copies of permits, applications and related records:   | 3 years after expiration  |
| b. Master listing of permits or designated parking spaces:  | 0 after obsolete or superseded  |
| <b>Copies of highway, street, road or bridge records received from other governmental jurisdiction:</b>   |   |
| a. Where construction or maintenance of highway, street, road or bridge in question is responsibility of local government which receives the records, including instances where highways, streets or roads under separate jurisdictions abut: | 6 years after highway or structure no longer exists                               |
| b. Copies of records received for information purposes only:  | 1 year  |

**PUBLIC TRANSPORTATION SYSTEM**

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| <b>Map, plan, schedule, diagram or sketch</b> of entire system or specific branch or route providing information on stations, stops, dates of operation and times of arrival and departure |  |
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| a. Final or "as built" copies of official maps, plans and designs showing system route and details of structures, along with draft or intermediary copies that document significant changes:   | <b>PERMANENT</b>                    |
| b. Draft or intermediary copies of official maps, plans and designs showing system route and details of structures, that do <b>not</b> document significant changes:   | 0 after no longer needed            |
| c. Schedules and diagrams showing individual routes and route and time changes:  | 1 year after superseded or obsolete |
| <b>Automated operational system</b> used to monitor and schedule operation of public transportation passenger vehicles (busses and subway vehicles), including Supply Control and Data Acquisition (SCADA) or equivalent system, used to monitor environmental conditions (temperature, humidity, air quality) in vehicles or various areas accessible to the public |                                     |
| a. Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:  | 0 after no longer needed            |
| b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:   | 6 years                             |
| c. Voice data maintained in or by automated system, including conversations between central operational unit and individual vehicle operators, and voice data used for annunciation on vehicles:   | 0 after no longer needed            |
| <b>System operational records of original entry</b> created in non-automated system or used for data entry or verification, where significant information is data entered or posted to reports and other summary records (including but not limited to passenger counts, tickets, and stubs):  | 0 after posted to summary record    |
| <b>Operational reports and queries for public transportation system</b> , including macros, queries and necessary documentation used in report and query generation  |                                     |
| a. Reports and queries dealing with serious incidents or problems, or major issues with long-term implications:  | <b>PERMANENT</b>                    |
| b. Reports on routine activities, which contain information of legal or fiscal value:  | 6 years                             |
| c. Reports on routine activities, which <b>do not</b> contain information of legal or fiscal value:  | 0 after no longer needed            |
| <b>Public transportation system alarm, problem and emergency records</b>   |                                     |
| a. Narrative records documenting serious problems or emergencies, including data necessary to support such records:  | <b>PERMANENT</b>                    |

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| b. Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:   | 3 years                                    |
| c. Contingency or similar plans to deal with emergency situations:   | <b>PERMANENT</b>                           |
| <b>Bus driver's daily work or tour of duty report</b> , reporting road failures and any defects noted, created pursuant to <i>17NYCRR</i> Section 721.21 (b)   |  |
| a. If report indicates no maintenance problems, or when no significant work is performed and no funds expended:  | 6 months                                   |
| b. If significant work is performed and funds are expended:  | 6 years after vehicle no longer in use     |
| <b>Public transportation safety plan files</b> , covering plans submitted to New York State Department of Transportation pursuant to Part 975, <i>17NYCRR</i>  |  |
| a. Copy of plan, including all amendments:   | <b>PERMANENT</b>                           |
| b. Background materials and supporting documentation:  | 6 years                                    |
| <b>Operational certification and review records</b> relating to approval and inspection by New York State Department of Transportation   |  |
| a. Operations review records:  | <b>PERMANENT</b>                           |
| b. Certificate of inspection and approval to operate:  | 6 years after invalid                      |
| c. Copies of operational records received from private transportation companies serving local government under contract:   | 0 after no longer needed                   |
| d. Data collected in preparation of annual fiscal and service data reports, including statistical sampling records:  | 6 years after submission of related report |
| <b>Special federal or state funded public transportation program records</b> , covering Special Transportation Services for the Transportation Disabled, special mobility improvement projects related to transportation enhancements within the Metropolitan Commuter Transportation District, and Rural Public Transportation Assistance Program |  |
| a. Service plans (including all amendments), final or annual reports, results of audits and reviews, and related policies and procedures, including eligibility requirements and documentation of provider or services coordinator selection:  | <b>PERMANENT</b>                           |
| b. Background materials and supporting documentation:  | 6 years                                    |
| <b>Commuter traffic reduction program records</b> , covering Employee Commute Option (ECO), Transportation Demand Management (TDM), or similar program records   |  |

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| a. Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates, including records relating to agency review, approval, disapproval and appeal (copies maintained by local government acting as Local Administrative Agency): | 6 years after superseded or obsolete                                      |
| b. Compliance plan (initial or consolidated), including but not limited to such records as worksite profile, survey results, average passenger occupancy (APO) calculations, forecasted participation, summary of trip reduction strategies, list of worksites and implementation schedule, and also covering revisions and updates (copy maintained by local government employer):   | 3 years after superseded or obsolete                                      |
| c. Bi-annual maintenance report (copy maintained by local government employer or local government acting as Local Administrative Agency):   | 6 years   |
| d. Information on potential participants, including list of applicants and individual employee surveys:   | 3 years   |
| <b>Special public transportation related studies</b> , covering subjects such as commuter parking, carpooling, bicycle paths, bicycle lanes, and bus route changes  |   |
| a. Final reports, including all attachments:  | <b>PERMANENT</b>  |
| b. Background materials and supporting documentation:   | 6 years after completion of report or date of most recent entry in record |
| <b>Special bus trip records</b> covering trips conducted outside normal public transportation schedule, such as "curb-to-curb" handicapped vehicle use; transportation provided by aging, youth, veterans' and other specialized services; and trips to special events; and including applications for service, lists of attendees, trip reports, and records of fees collected:  | 6 years   |
| <b>Annual affidavit of compliance</b> submitted to the New York State Department of Motor Vehicles certifying compliance with requirements for bus drivers as indicated in Article 19-A of Vehicle and Traffic Law, including accompanying annual statistical report on miles traveled by buses, driver convictions and accidents, and related information:   | 3 years after end of current year   |

**YOUTH SERVICES**

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| <b>Annual comprehensive plan and compliance report</b> relating to youth services, also includes detention care plan or report: | <b>PERMANENT</b> |
| <b>Master summary record</b> (log or master index) of youths served by youth service program:                                   | 15 years         |

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| <p><b>Individual client consultation case file:</b></p>  | <p>6 years, or 3 years after individual attains age 18, whichever is longer</p>                  |
| <p><b>Youth court case files</b>, documenting the operation of youth courts, including but not limited to records of cases heard by the courts; forms signed by defendants, their guardians, and youth court staff; records concerning completion of sentence requirements, such as community service; and case notes of contacts made in reference to a defendant's case:</p> | <p>6 years after case closed or 3 years after individual attains age 18, whichever is longer</p> |