



*"Service with Excellence
& Integrity"*

Arkansas Department of Community Correction

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ADMINISTRATIVE DIRECTIVE: 07-08 RECORDS MANAGEMENT

TO: DEPARTMENT OF COMMUNITY CORRECTION EMPLOYEES

FROM: G. DAVID GUNTARP, DIRECTOR

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SUPERSEDES: NONE

APPROVED: _____ Signature on File

EFFECTIVE: JUNE 18, 2007

I. APPLICABILITY.

This policy applies to all Department of Community Correction (DCC) employees.

II. POLICY.

DCC shall comply with the State Records Retention law and the rules and regulations pertaining to records specified in those rules and regulations.

III. DEFINITION.

Official Version of a Record. The Official Version of a record is, in most cases, the record kept by the organization responsible for the authoritative copy and is usually the version created by the originator of the record. The policy does not apply to duplicate records or copies. Under state policy, for internal electronic communications (e-mail), the official version of a record is defined as the "sender" of the communication, not the recipient of any messages. Recipients of internal e-mail messages do not have any obligation to retain the document. For e-mail messages that are sent to any employee from the public, the official version of the e-mail is the message which the original employee received and that employee is responsible for maintaining that record in accordance to the schedule.

IV. BACKGROUND.

The Arkansas Records Retention Workgroup developed and maintains “The Arkansas General Records Retention Schedule” to designate minimum retention requirements for records commonly found in state government. The schedule does not govern the retention of records that are unique to individual agencies. Although an agency can supplement the schedule with agency-specific records, at this time the DCC has not done so. Records are organized into seven categories: 1) General Administrative; 2) Meetings; 3) Automated Systems; 4) Personnel and Human Resources; 5) Fiscal; 6) Legal, and 7) Grants. The name of a record category may or may not correspond to the area or section of an agency that handles the record. This retention schedule addresses all record formats and media (i.e. electronic, paper, microfiche, etc.). The minimum retention requirement is determined by content, not by format or media (i.e., electronic, paper, microfiche). The agency does have agency specific records that are not addressed by the Records Retention Schedule. In some situations other policy guidance may address these “other records.” For example, there is a policy governing “Offender Records.”

IV. RESPONSIBILITIES AND PROCEDURES.

A. Parole/Probation Managers and Residential Center Supervisors must:

1. Ensure staff complies with this policy.
2. Appoint Records Custodian(s) who will be responsible for management of the records within areas managed by the manager/supervisor.

B. All employees must:

1. Ensure the official version of a record (as defined) is retained as required by the Records Retention Schedule (Attachment 2). This means maintaining the official version or, when the schedule calls for another office to maintain it, ensuring the record is provided to the responsible office. This guidance applies to all official versions of records addressed in the Records Retention Schedule, to include every “medium” (to include but not limited to paper, microfilm, hard/removable computer disks, optical disks, and magnetic tapes).
2. Manage their e-mail messages the same as they do for other records. This includes organizing their e-mail messages so they can be located and used as may be required; using the state retention law and DCC policy on retention to identify how long e-mail messages must be kept; ensuring that e-mail messages are accessible for the duration of applicable state or federal retention schedules, and; deleting e-mail messages in accordance with the Record Retention Schedule and DCC policy.
3. Cooperate with the designated Records Custodian or the office of primary responsibility to ensure documents are filed properly.

C. Records Custodians must:

1. On behalf of the manager/supervisor, monitor to ensure employees understand and comply with this policy, providing assistance as necessary to facilitate compliance.
2. Establish a filing system to facilitate organization, maintenance (according to the records retention schedule) and disposition of records.
3. Move files to an inactive/storage area as appropriate. Include a destruction date on each storage box and/or inactive file.
4. Destroy records governed by the Records Retention Schedule according to guidance in this policy.

D. Destruction of Documents Addressed in the Records Retention Schedule.

All documents addressed in the Records Retention Schedule must be destroyed at the end of their retention period unless the Director, Chief Deputy Director, Deputy Director or Office of Primary Responsibility has specified in writing that a specified set of documents must be kept longer. Documents containing sensitive information, such as bank account numbers, names of any person for any reason, offender identification numbers (PID) must be shredded on-site or through a contracted secured third-party. Documents that do not contain sensitive information may be recycled or discarded with regular trash.

V. ATTACHMENTS.

- Attachment 1. Suggestions for Organizing, Maintaining and Disposition of Records
- Attachment 2. Records Retention Schedule

Suggestions for Organizing, Maintaining and Disposition of Records

Organize office files in a logical way.

For filed items that are governed by the records retention schedule, mark the applicable General Schedule (GS) number on the file folder label.

When the GS specifies a number of years for retention, choose a “cut off” day of 30 June for financial records or 31 December for other records.

On the “cut off” day, label the file folder as “inactive” put the full cut off date on the label (e.g., 31 Dec 2007) and move the folder to an inactive storage area (such as another file drawer if you may need to access it again or a storage box). Ensure storage boxes are appropriately labeled. The storage box and folders must allow someone to quickly determine whether the records have been kept the required amount of time, so the material can be properly disposed of in a timely manner.

Make a new folder to replace the folder that was moved to the inactive storage area.

Make a file plan such as the following:

Item	General Schedule Number	Cut Off	Description	Location
1.	N/A	None	File Plan	Main File Cabinet, Room 5 & Electronic Records (specify file path)
2.	GS 01002	31 Dec	Complaint Records	Main File Cabinet, Room 5
3.	GS 04007	31 Dec	Employee Personnel Records	Supervisor’s Desk, Room 1 & Electronic Records (specify file path)
4.	GS 05003	30 Jun	Account Reconciliation	Account’s Receivable Clerk’s File, Room 3

Example file folder labels for *Active* record:

1. File Plan

2. Complaint Records
GS 01002

3. Employee Personnel Records
GS 04007

Example file folder labels for *Inactive* record:

Note: Use the Cut off “CY” (Calendar year) or “FY” (Fiscal Year)

Note, there is no need to keep a copy of an obsolete file plan.

2. Complaint Records
GS 01002
Complaints Resolved in CY 2007
Destroy After: 31 Dec 2010

3. Employee Personnel Records
GS 04007 CY 2007
Destroy After: (Look at GS 04007, minimum retention period column to determine date)

Suggestions for Organizing, Maintaining and Disposition of Records (continued)

For electronic records, you can create file folders and manage records in the same manner as is done for paper records. Using the above file plan you would have the following electronic folders:

Electronic File Folders	Notes
0 To Be Filed	Everyone should know where to file documents they handle routinely. When an employee does not know where to file a document, they can place it in this “to be filed” folder. If this is used, responsibility for reviewing documents promptly and moving them to the proper folder belongs to the Records Custodian unless a supervisor has delegated this to another employee.
1 File Plan	Keep the electronic copy of your file plan here!
3 Employee Personnel Records	Item #2 on the file plan does not have an electronic folder because you do not anticipate having electronic records for complaints.
4 Account Reconciliation	

As with paper file folders, you can create additional electronic file folders in an “inactive” area for each calendar year (or fiscal year) as appropriate. Rather than have excessively long file folder names, you may want to include details about the applicable General Schedule number and “Destroy After...” date in a “Read Me for Disposition Instructions” document in the folder.

**Records Retention Schedule
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General Schedule (GS) 01 ~ General Administrative Records

General Schedule (GS) 02 ~ Meeting Records

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General Schedule (GS) 05 ~ Fiscal Records

General Schedule (GS) 06 ~ Legal Records

General Schedule (GS) 07 ~ Grant Records

General Schedule (GS) 01 ~ General Administrative Records

This category includes records regarding agency policies, activities and actions, including information releases, public information, office files, and requests for information.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 01001 Agency Directives, Internal Policies and Procedures	<p>Manuals, general guidelines, or similar records distributed internally for the use of employees that sets out agency policies and procedures and do not affect the private rights or procedures available to the public</p> <p>Any agency record that officially initiates, rescinds, or amends internal policies or procedures that are applicable to Arkansas agencies, boards, commissions.</p>	Until superseded plus 3 years	Each Deputy Director is responsible for ensuring the official version of all guidelines, manuals or other policy directives issued by them as a directive to their staff is maintained. The Chief Deputy Director is responsible for ensuring agency wide policies and procedures adhere to this policy.
GS 01002 Complaint Records	Formal complaint documents received by the agency from the public concerning general operations of the agency or its employees, and records pertaining to the resolution of the complain	3 years after the final disposition of the complaint <i>If a complaint becomes the subject of litigation, which involves the agency receiving the complaint, it must be included in and is subject to the minimum retention period of a litigation record - Refer to GS 06006 within this schedule</i>	Recipients of complaints are responsible for maintaining all records regarding a complaint unless the complaint is forwarded through the chain of supervision or it becomes the responsibility of legal counsel.
GS 01003 Correspondence – Substantive	<p>Communication that has significant administrative value and pertains to the implementation or modification of the agency’s administrative operations, rules, or policies and procedures that govern the agency.</p> <p>Examples include but are not limited to the following:</p> <ul style="list-style-type: none"> - Correspondence record that announces reports, decisions, or recommendations implemented in agency business - Correspondence that is essential to supporting a final decision related to the formulation, implementation or modification of an agency’s administrative operations, rules, procedures, or policies - Executive-level correspondence record regarding state agency policies and procedures <p>Executive-level correspondence record announcing a new internal policy to agency staff</p>	<p>4 years</p> <p>This records category should be used only for correspondence that is not included in or directly related to another records series in this schedule <i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i></p>	<p>All employees are responsible for determining if the content of a communication is substantive or non-substantive in nature. Substantive communications must be maintained by the employee who generates or receives the communication from outside sources.</p> <p><i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period.</i></p>

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 01004 Correspondence – Non-Substantive	<p>Communication that conveys information of temporary business importance or unremarkable communication concerning day-to-day office administration and activities.</p> <p>Examples include but are not limited to the following:</p> <ul style="list-style-type: none"> - Correspondence that includes information not attempting to influence policy - An e-mail message sent to a large number of people, at the same time via an e-mail distribution list software application (i.e. listserv message). - Agency event notices <ul style="list-style-type: none"> o A correspondence record notifying employees of an upcoming meeting would only have value until the meeting has been attended or the employee receiving the message has marked the date and time in his/her calendar - Routine requests for publications records <p>Incoming letters or memoranda of transmittal that add nothing of substance to enclosures</p>	<p>Record may be destroyed after it has served its intended purpose or is no longer of administrative value to the agency</p> <p><i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i></p>	<p>All employees are responsible for determining if the content of a communication is substantive or non-substantive in nature. Substantive communications must be maintained by the employee who generates or receives the communication from outside sources.</p> <p><i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period</i></p>
GS 01005 News or Press Releases	<p>News or press release issued by the agency</p>	<p>1 Year</p>	<p>The Public Relations Officer is responsible for maintaining any press releases issued by the agency or requests for information.</p>
GS 01006 Publications, State	<p>A record that is produced by the authority of or at the total or partial expense of the agency or is required to be distributed under law by the agency and is publicly distributed. One copy of each state publication as defined above except a publication that is subject to a different retention period in this schedule. For example, information pamphlets or booklets.</p>	<ul style="list-style-type: none"> - Until the release of the next part in a series (i.e. serial publications issued in successive parts bearing numerical or chronological designations). - If the publication is not part of a series: Until it has served its intended purpose. - Consistent with Arkansas Code Annotated: § 13-2-201 	<p>Copies of state publications must be submitted to the Arkansas State Library for document types and exemptions.</p> <p>The Public Relations Officer is responsible for maintaining an official version of any publication released by the agency. The Public Relations Officer is responsible for ensuring all publications are submitted to the Arkansas State Library</p>

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 01007 Presentations	Formal presentations delivered by the agency	1 year	Agency personnel who makes a formal presentation regarding DCC operations to any group is responsible for ensuring that a copy of that presentation and all materials distributed at the presentation, including a copy of any PowerPoint or other media presentation, is maintained according to the schedule. Presentations by agency an personnel who are acting as subject matter experts and whose presentation is not agency specific but is general in nature are not included under this policy.
GS 01008 Papers and Reports	Papers or reports as published by the agency	4 years	The Public Relations Officer is responsible for maintaining an official version of any publication released by the agency. The Public Relations Officer is responsible for ensuring all publications are submitted to the Arkansas State Library. The DCC Research & Evaluation Section will keep Annual Reports for the in-house library indefinitely but no less than the required time frame.
GS 01009 Training Materials	Instructional materials developed by, or for, the agency for training entities or individuals it regulates or serves	1 year after updated or after it has served its intended purpose	The Central Training Administrator is responsible for maintaining the official version of materials used in the training program or as part of the Central Training Section function.
GS 01010 Strategic Plans	Agency/division strategic plans which would also include, but not be limited to, Disaster Preparedness/Recovery Plans, Business Continuity Plans, and Information Technology Plans	Until plan is replaced by an updated version plus 1 year.	The Chief Deputy Director is responsible for maintaining an official version of the agency strategic plans developed by the agency.

General Schedule (GS) 02 ~ Meeting Records

This schedule does not pertain to any DCC records.

General Schedule (GS) 03 ~ Automated System Records

Automated System Records include those that are generated or produced in support of the agency's information system operations.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 03001 Data or Database Dictionary Documentation	Database and data file documentation, including, but not limited to, data dictionaries, metadata documentation, data element reports, diagram of logical data model, and any other database or data file documentation that could be used for reference material.	Until record is replaced by an updated version	The IT Administrator is responsible for ensuring that the Information Technology Section maintains all required documentation as detailed in this section of the schedule.
GS 03002 Network Design Files	Records that describe the agencies' local and wide area network schematics, including, but not limited to, records containing network topology, circuit descriptions, types of network connections, cable ID map, and other relevant network design information	Until record is replaced by an updated version	
GS 03003 Network and System Usage Files	Records created to monitor the use of the agency's network traffic and system access by its customers or employees <ul style="list-style-type: none"> • System usage files would include, but not be limited to, user account log records and access authorization log files • Network usage files would include, but not be limited to, log-in records, security logs, router logs and firewall logs 	As long as administratively valuable to the agency	
GS 03004 Support Services Files - Hardware	Records documenting support services provided to specific data processing equipment or installations, including site visit reports, program and equipment service reports, service histories, and related correspondence and memos	As long as administratively valuable to the agency	
GS 03005 Systems and Applications Development Records	Records created and used to develop, redesign or modify an automated software system or application, including user requirements, status reports, correspondence, and high-productivity tool logic constructs used to generate such components as reports, queries, forms, and macros; user and operational documentation describing system operations, including system documentation records, user guides, system diagrams, and input/output specifications	Production copies until no longer useful for tracking system changes or until transfer of system data to a new operating environment	

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 03006 System and Database Backup Files	Records needed to restore a system and its data in the event of system or data loss	Until 3 successive backup cycles have been completed; OR until the agency deems they are of no more value	The IT Administrator is responsible for ensuring that the Information Technology Section maintains all required documentation as detailed in this section of the schedule.
GS 03007 System Security Access Files	Records created to document users' access rights and privileges to data repositories or granting authorization to systems, applications or databases based on a unique user identity; this definition applies to mission-critical operations and financial applications that require monitoring and tracking to ensure the security of an enterprise's resources; records documenting general access given to a user to services such as active directory, file, print, email and network are not required to be retained unless there is significant security risk from unintended exposure	1 Year	
GS 03008 Source Code	Production source code that generates the machine language instructions used to operate an automated information system, including all support program-related files needed to generate objects	The 3 most recent versions of production source code; there is not a requirement to keep source code for systems that are no longer in production or service	
GS 03009 Computer Operation Documentation	Records concerning processes for data entry, the operation of computer equipment, production control, tape library, system backup, operation, and maintenance of an agency's data processing equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems and other aspects of a data processing operation	Until record is replaced by an updated version	

General Schedule (GS) 04 ~ Personnel and Human Resource Records

This category includes records of employees, showing the name, title, position held, organizational assignment, salary, changes of employment status, attendance, leave, performance evaluations, and such other information or policies as may be necessary for the administration of rules pertaining to this category of records.

If a personnel record is the subject of litigation or other official action, the retention period listed within this schedule will be superseded and the record will be retained until such action has been finalized.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 04001 Equal Employment Opportunity Plan	A plan that includes goals and objectives which delineates the steps an agency will take to provide equal opportunity within its workforce	Until plan is replaced by an updated version	Human Resources Administrator
GS 04002 Training and HRA Education Records	Documents classes, meetings, and seminars for training or education purposes	4 years or as long as administratively necessary to the agency, whichever is greater	The Central Training Administrator is responsible for maintaining all records regarding classes, meeting and/or seminars conducted by the agency for agency staff.
GS 04003 Discrimination Complaint Case Files -Charges Filed	Any charge of discrimination filed against the agency including all records of the charge	3 years or until final disposition of the charge or action, whichever is greater	The Human Resources Administrator is responsible for forwarding all Discrimination Complaint files to Legal Counsel. At that time, agency Legal Counsel is responsible for the proper retention of the record.
GS 04004 Discrimination Complaint Case Files -Charges Not Filed	Any allegation of discrimination where a charge has not been filed	3 years from the incident report	Human Resources Administrator
GS 04005 Eligibility Verification Form and Records (I-9)	Documents that an employer has verified prospective employee / recruit is a U.S. citizen, resident alien or legal immigrant eligible to work in U.S., as required by U.S. Immigration and Naturalization Service	3 years after date of hire or one year after separation date, whichever is later (as required within The Immigration Reform & Control Act of 1986/PL 99-603, Sec. 274)	
GS 04006 Employee Benefit Records	Documents pertaining to an employee's personal health information such as medical and dental benefit records	5 years after separation or until closure of unresolved personnel issues, whichever is greater	
GS 04007 Employee Personnel Records	Records documenting an individual's employment, such as professional certification, promotions, evaluations, disciplinary actions, and security check records	5 years from the date of separation or until closure of unresolved personnel issues, whichever is greater	
GS 04008 Employment History Records	Documents pertaining to an employee's length of service and pay-grade evidencing proof of service	Permanent	

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 04009 Employee Wage and Hour Records	Records pertaining to time and leave information	Until authorized by the legislative auditor	Human Resources Administrator
GS 04010 Grievance Records and Reports	Documents the proceedings of an employee grievance, including the initial complaint, actions, investigation, summary and disposition	3 years after closure	Agency Grievance Officer
GS 04011 Position Classification and Description Files	Documents job description by a position or class of positions	Until superseded plus three years	Human Resources Administrator
GS 04012 Recruitment, Hiring, Interview and Selection Records	Documentation of recruitment, selection, hire, and promotion of employees. Includes position descriptions, job announcements and advertisements, selection criteria, evaluations, rankings, and employment applications of successful and unsuccessful applicants.	3 years from date position is filled or until final disposition of the charge or action, whichever is greater. (see U.S. Code 29 C.F.R. § 1602.31)	
GS 04013 Unemployment Insurance Records and Reports	Documents payment or denial of unemployment claims.	5 years after case closure	
GS 04014 Workers Compensation Accident Reports	Documents the occurrence of occupational injuries as reported to the Arkansas Workers Compensation Commission	3 years from date of injury	
GS 04015 Workers Compensation Illness Reports	Documents the occurrence of occupational disease or occupational infection as reported to the Arkansas Workers Compensation Commission	6 years from the date incident occurred (refer to Arkansas Code Annotated: § 11-9-702)	

General Schedule (GS) 05 ~ Fiscal Records

This category focuses on records documenting fiscal operations encompassing most activities undertaken by state agencies to manage, account for, collect and expend funds. These would include general accounting records, banking, budget, allotment and expenditure records, contract accounting, central payroll accounting, and appropriation requests.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 05001 Accounts Payable	Current outstanding liabilities of the agency including records of payments of bills, goods and services, contracts, vendor payments, and travel	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)	The Deputy Director of Administrative Services is responsible for ensuring all fiscal records of the agency adhere to the retention schedule, requesting authorization to destroy outdated records from the legislative auditor and destroying records in the proper manner.
GS 05002 Accounts Receivable	Current outstanding monies and funds owed the agency for goods and services		
GS 05003 Account Reconciliation	Reconciliation of agency funds and accounts, federal revenues/federal expenditures, capital asset/capital expenditures		
GS 05004 Legislative Adopted Budgets	The comprehensive financial plan for the agency's biennial operating budget that was approved by the legislature and forms a basis of the appropriations	Until authorized by the legislative auditor	
GS 05005 Appropriation, Budget and Fund Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency	Until authorized by the legislative auditor	
GS 05006 Audit Report Prepared by the Arkansas Division of Legislative Audit	The final report of an audit performed on an Arkansas agency, board or commission under the Arkansas Division of Legislative Audit but not including the supporting audit records, only the final audit report; any supporting audit records may be covered under other record categories of this schedule	Until the next audit report is issued by Legislative Audit	
GS 05007 Bank Statements	Current status of transaction activity of agency funds held at the State Treasury and/or a bank	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)	
GS 05007 Bank Statements	Current status of transaction activity of agency funds held at the State Treasury and/or a bank	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)	

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 05008 Cash Receipt Registers	Cash receipt transactions for each agency including, but not limited to, deposit slips and other records used to verify receipts, estimate revenues, and reconcile accounts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)	The Deputy Director of Administrative Services is responsible for ensuring all fiscal records of the agency adhere to the retention schedule, requesting authorization to destroy outdated records from the legislative auditor and destroying records in the proper manner.
GS 05009 Check Registers	Log of checks issued		
GS 05010 Checks: Not Redeemed/ Redeemed	Voided and not-redeemed checks, cancelled checks, and re-issued checks; redeemed checks written on agency accounts		
GS 05011 Competitive Bids	Evaluation and award of bids to vendors and/or agencies including, but not limited to, requests for proposals, bid and quote lists, notices of bid openings, comparison summaries, or evidence of rejected and accepted bids, vendor correspondence		
GS 05012 Debit/Credit	Adjustment of dollar amounts in funds due to recording errors, transfers between accounts, receipt and verification of special deposits, and/or withdrawals		
GS 05013 General Ledger Registers	An accounting of all fiscal transactions for the agency for each month		
GS 05014 Invoices	Record of demand for payment		
GS 05015 Journal Entry Registers	Account records of original entry/input and provides a record of debit and credit journal transactions		
GS 05016 Petty Cash Fund	Petty cash activity for the agency including requests and authorization to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices		
GS 05017 Purchasing	Purchase of goods and services by the agency including, but not limited to, purchase requisitions, orders, authorizations, contracts, encumbrances, maintenance contracts		
GS 05018 Inventory and Capital Assets	Documents a listing of equipment and furniture owned by the agency not including expendable supplies		
GS 05019 Transfers	Records that authorize the movement and transfer of funds between various accounting structures intra-agency and inter-agency		

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 05020 Travel Expenses	Travel expenses for agency employees including, but not limited to, reimbursement claims, travel detail sheets, and supporting documentation such as receipts	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)	<p>The Deputy Director of Administrative Services is responsible for ensuring all fiscal records of the agency adhere to the retention schedule, requesting authorization to destroy outdated records from the legislative auditor and destroying records in the proper manner.</p> <p>Employees may retain a copy of any request for reimbursement associated with travel for their personal needs; however, the official version of the document is the document submitted to fiscal services and which is either paid or denied by them.</p>

General Schedule (GS) 06 ~ Legal Records

Legal actions involving state agencies are handled by the Office of the Attorney General, primarily by Assistant Attorneys General assigned to each agency. Therefore, most records pertaining to legal actions are centralized under the auspices of the Attorney General. However, many state agencies maintain separate files on legal matters pertaining to the agency, informal letter opinions, and formal opinions.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 06001 Complaint Files – Agency	Communication and other relevant information concerning complaints filed, resulting in litigation that involve the agency or its employees	3 years after final disposition	DCC Legal Counsel is responsible for retaining and destruction of complaint records that involve litigation against the agency.
GS 06002 Complaint Files – Regulated Entity	Communication and other relevant information concerning complaints filed with an agency resulting in litigation that involves one of its regulated entities	3 years after final disposition	Transitional living facilities (TLF) licensed by the agency are considered regulated entities. Therefore, any complains from a TLF must be retained under this section of the retention policy. DCC Legal Counsel is responsible for retaining and destruction of complaint records that involve litigation against the agency. Otherwise, the Assistant Director for P&P Treatment is responsible for retaining documents.
GS 06003 Contracts / Agreements	Documents the contractual obligations of an agency or those owed to the agency	5 years after contract or agreement termination	The Deputy Director of Administrative Services is responsible for retaining all contracts and agreements pertaining to the agency.
GS 06004 Freedom of Information Act (FOIA) Documentation	State FOIA request and agency reply to the request - The reply does not include the records provided pursuant to the FOIA request	3 years	The agency Public Relations Officer is responsible for all FOIA requests and documents submitted under FOIA to a requesting party.
GS 06005 Legal Opinions	Legal opinions received from agency legal counsel including any requests eliciting the opinions	As long as administratively valuable to the agency	DCC Legal Counsel is responsible for retaining and destruction of legal opinion records.
GS 06006 Litigation Files	Documents the status of litigation involving an agency or its officials, employees, or departments	5 years after final disposition	DCC Legal Counsel is responsible for retaining and destruction of complaint records that involve litigation against the agency.
GS 06007 Permits / Licenses	Original and renewal of a license or permit issued by an agency	Period of license or permit plus 3 years	This section of the retention policy applies to applications for Transitional Living Licenses. The Assistant Director for P&P Treatment is responsible for retaining documents pertaining to the licenses issued within their area of responsibility.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 06008 Permits / Licenses Applications	Completed applications for licenses or permits	3 years	This section of the retention policy applies to applications submitted to a third party (e.g., ADAP). The Chief Deputy Director and each Deputy Director is responsible for retaining official documents pertaining to the licenses issued within their areas of responsibility.

General Schedule (GS) 07 ~ Grant Records

This category includes records generated in the administration of grants either issued by the agency or received by the agency. Records include grant applications, grantor and grantee correspondence and official responses, grant contracts, fiscal records, compliance reports, administrative correspondence, grant products and related records.

Category and Record Number	Description	Minimum Retention Period	Office of Primary Responsible and Notes
GS 07001 Grants Issued - Application, Administrative and Program Files	Documentation of awarding agency's grants and grant programs including grant announcements, parameters, grant applications, grant evaluation summaries, notification of grant awards, fiscal reports, correspondence related to grant monitoring, audit reports and related documentation including grant project status and progress and compliance reports prepared and submitted by grantees	Until authorized by the legislative auditor or in compliance with grant regulations and specifications, whichever is greater	Currently, the agency does not award or deny any grants.
GS 07002 Grants Denied	Documentation of grants administered by the agency in which the application has been denied including applications, grant evaluation summaries, letters of denial and other related documentation	1 year	Currently, the agency does not award or deny any grants.
GS 07003 Grants Received	Documentation of grant projects and funds received and expended by the agency including copies of Requests for Proposals, applications, notification of grant awards, fiscal reports and supporting documentation, reports and correspondence related to grant monitoring, audit reports, status reports, compliance reports, grant modification requests, progress reports and final reports	Until authorized by the legislative auditor or in compliance with grant regulations and specifications, whichever is greater	The Chief Deputy Director is responsible for maintaining and disposal of the agency's official version of all grants received.