Guidelines for Developing a Policy for Managing Email

Bulletin No. 1
Records Management Program
Guidelines for Developing an Agency Email Policy

Nevada State Library and Archives
Electronic Records Committee

Contents

1. Policy ...................................................................................................................................................... 1
   1.1 Background ................................................................................................................................... 1
   1.2 Scope ............................................................................................................................................. 1
   1.3 Authority ....................................................................................................................................... 1
   1.4 Policy ............................................................................................................................................ 1
   1.5 Responsibilities ............................................................................................................................. 1
2. Guidelines for Developing an Agency Email Policy .............................................................................. 2
   2.1 Overview ....................................................................................................................................... 2
   2.2 Types of Emails ............................................................................................................................ 2
      2.2.1 Routine Business Correspondence RDA#: 2010033 ............................................................... 2
      2.2.2 Transitory Correspondence RDA#: 2009023 .......................................................................... 2
      2.2.3 Executive Correspondence RDA#: 2010034 ........................................................................... 3
      2.2.4 Subject-matter Records and/or Correspondence ................................................................... 3
3. Identification of Email Records .............................................................................................................. 3
   3.1 Definition ...................................................................................................................................... 3
   3.2 Examples of Official email records ............................................................................................... 3
   3.3 Examples of Transitory email records .......................................................................................... 4
   3.4 Examples of Emails that are NOT records .................................................................................... 4
   3.5 Determine Official State Record ................................................................................................... 4
   3.6 Email: Official Record Decision Tree ........................................................................................... 5
   3.7 Checklist for Official and Transitory Records .............................................................................. 6
4. Email Management ......................................................................................................................................... 6
   4.1 Disclosure of Information ............................................................................................................. 7
   4.2 Legal Holds ................................................................................................................................... 7
   4.3 Confidential Records .................................................................................................................... 7
   4.4 Use of Private Email Accounts for Public Business ..................................................................... 8
   4.5 Default Email Retention Period .................................................................................................... 8
   4.6 Email Backups .................................................................................................................................. 8
   4.7 Capturing and maintaining emails ................................................................................................. 8
5. Responsibilities

5.1 Agency Records Officer

5.2 Employee

6. Definitions

7. APPENDIX 1

7.1 Examples: Subject-Matter Correspondence
1. Policy

1.1 Background

A properly implemented electronic mail (email) retention policy provides the framework for agencies to reduce record keeping costs, mitigate e-discovery risk and help to gain control of vast amounts of information.

There is no specific retention period for email because it is not a record in itself but merely a means of transmission. Email systems transmit a wide variety of information; therefore, the length of time that an email has to be retained varies according to the content of the message. Email should be retained for the same duration as other records that contain similar content included in a given record series on an approved records retention and disposition schedule.

*Any email made or received by a state agency may be considered a public record under NRS Chapter 239 and may be subject to public records requests.*

1.2 Scope

This applies to all executive branch agencies that send and accept emails to and from other persons and that otherwise create, generate, communicate, store, process, use, and rely upon emails to conduct business.

1.3 Authority

NRS Chapter 239

NRS Chapter 378

1.4 Policy

All agencies must maintain their emails in a manner that complies with approved retention schedules and established Records Management practices.

1.5 Responsibilities

Agencies are responsible for developing guidelines and procedures to manage emails as part of their overall recordkeeping systems. If a record series cannot be identified, a record series should be developed and included on the agency’s approved retention schedule. All agencies should communicate this policy to their employees and should take the steps necessary to ensure employee compliance with this policy.
2. Guidelines for Developing an Agency Email Policy

2.1 Overview
From a Records Management perspective, email content must be subjected to enforceable retention rules and policies. Uncontrolled retention of emails is not acceptable and will result in massive volumes of messages that are too costly to retain and even more expensive to search through in response to litigation discovery or public records request. An email system should be restricted to current communications and not used as a repository for old messages.

Email retention must be content-driven and related to an approved retention period identified on either the Nevada General Retention and Disposition Schedule or an Agency-Specific Authorized Retention and Disposition Schedule. It is suggested that email remain in the email system for a maximum of 90 days; records requiring longer retention periods should be moved and retained outside of the message system environment.

2.2 Types of Emails
Email is not a record type but simply a means of transmitting information. Email must be sorted, managed and either deleted or retained according to the subject matter of the information within the email.

The agency is responsible to identify all of the different types of email communications created or received by agency staff and establish the rules to determine if an email sender/receiver has the official record copy.

Emails that qualify as official state records should be classified (matched up to the appropriate retention schedule) according to their content so they either can be deleted or transferred to the States Archives for permanent retention and preservation.

2.2.1 Routine Business Correspondence RDA#: 2010033

Last Reviewed on: 01/19/2011

Correspondence (letters, memos, emails, social media, etc.) that is work related and deal with the day-to-day office administration and activities. Examples may include, but are not limited to:
- Internal correspondence;
- External correspondence from various individuals, companies, and organizations requesting information pertaining to the agency business and other routine inquiries

Authorized Retention: Retain these records for a period of one (1) calendar year from the end of the calendar year to which it pertains or for the authorized retention period per subject file.

Authorized Disposition: These records may be disposed of in a normal manner (See NAC 239.722).

2.2.2 Transitory Correspondence RDA#: 2009023

Last Reviewed on: 01/19/2011

These records consist of correspondence (letters, memos, emails, social media, etc.) that do not document core functions or activities of an agency or department and do not require an official action. Examples may include, but are not limited to:
- General announcements including meeting reminders, notices of upcoming events;
- Informational copies (cc or bc) of correspondence which do no document administrative action;
- Correspondence kept only for convenience, follow-up or suspense (tickler);

1 Nevada General Retention and Disposition Schedules and Agency-Specific Authorized Retention and Disposition Schedules are found at: http://nsla.nevadaculture.org

2 Except for systems with an email archiving solution with retention management capabilities that are implemented and mandated.
• Transmittal letters that do not add information to the transmitted material or attachments;
• Requests for routine information or publications provided to the public by the agency which are answered by standard form letters;
• Spam, junk mail, unsolicited vendor mail, personal mail

**Authorized Retention:** Retain only as long as the record holds value to the agency, but no longer than one (1) year.

**Authorized Disposition:** These records may be disposed of in a normal manner. These types of records should not be sent to the State Records Center.

### 2.2.3 Executive Correspondence RDA#: 2010034

**Last Reviewed on:** 01/19/2011

Executive-level correspondence (letters, memos, emails, social media, etc.) dealing with significant decisions and/or policies of the administration of a department, board, commission, division, bureau, program, etc. This correspondence documents the entity’s functions, patterns of action, policies and achievements. These files will contain correspondence pertaining to, but not limited to:

- Budgeting, fiscal;
- Decisions, positions;
- Planning, directing;
- Policy, rulemaking;
- Prominent, celebrated, and/or note-worthy achievements, announcements, awards and/or events

**Authorized Retention:** Retain these records for a period of four (4) calendar years from the end of the calendar year to which they pertain and then transfer to State Archives. Note: When an executive leaves a position, all correspondence under the control of that executive should be reviewed and managed by the department so that that important information is not inadvertently removed from the office, destroyed, or made public.

**Authorized Disposition:** Transfer these records to the State Archives.

### 2.2.4 Subject-matter Records and/or Correspondence

Emails that do not fit one of the above correspondence categories should be retained according to the retention schedule of the subject matter. This applies to the text of the email itself and any related attachments.

**Examples – See Appendix 1**

### 3. Identification of Email Records

#### 3.1 Definition

Emails are any messages created, sent, or received within an electronic mail system that are required by an agency to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities.

#### 3.2 Examples of Official3 email records

- Emails that reflect the position or business of the agency
- Emails that initiate, authorize, or complete official public business
- Emails received from external sources that form part of an official record

---

3 Official state record, See NRS 239.080(4) and NAC 239.705
• Copies containing more or less information than the original record
• Briefing notes, final reports and recommendations

3.3 Examples of Transitory email records
Transitory records are required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. Examples may include:

• Emails that are duplicate copies of information used only for convenience or reference
• Informal emails of rough drafts not required as evidence in the development of a document
• Miscellaneous notices of employee meetings, holidays, etc.
• Emails received as part of a distribution list or received from Listservs
• Emails that result from personal use of the official electronic messaging system

3.4 Examples of Emails that are NOT records
• Messages that contain information from sources external to the agency distributed solely for information or reference purposes and are not required as official business records
• Messages sent internally through broadcast or other agency distribution lists for administrative or business requirements
• Rough or working drafts that are not required to document the steps in the evolution of a document
• Additional information that has been incorporated into subsequent versions

3.5 Determine Official State Record
Email transactions automatically generate at least two copies, one for the sender and one for the receiver. There are often many more copies, such as courtesy or carbon copies (CC), blind copies (BCC), and forwarded messages.

Clearly communicate to staff that both the sender and the receiver may retain an official record copy to document transactions and responsibilities completely.

• Example #1: Person A sends an email to Person B with important information that affects agency policy. The transaction includes not only Person A’s sending of information, but Person B’s receipt of information. Both individuals may treat the email as an official record.

• Example #2: The Purchasing Division sends out an email reminding all employees to use specific vendor contracts when purchasing certain items. This message has only one official record, retained by the Purchasing Division. Everyone else may delete the message after reading it.

• Example #3: Your boss assigns work to you by sending you an email. You will be held responsible for completing the assignment, so reading the email and then following its instructions is part of your job. You must therefore treat it as an official record.

• Example #4: You are working on a project with others (e.g., a grant, a client case file) and sharing records. Any information sent via email should be retained in one file, a centralized container for the official record. All involved in the project contribute to this file so that the integrity of the file is complete. Individual participants may also keep their own convenience copies, which are not treated as official records.
3.6 Email: Official Record Decision Tree

How to decide if an email is a record:

[Diagram of decision tree explaining how to determine if an email is an official record based on various criteria such as whether it was created or received for business purposes, whether it supports program functions, and if it is a preliminary draft, published information, or correspondence kept for reference.]
3.7 Checklist for Official and Transitory Records

**Official Records**
Keep according to the retention schedule.

- ✔ Advice, recommendations, and decisions, as well as background material.
- ✔ Policies and procedures, as well as background material.
- ✔ Planning and budget records, as well as all background material.
- ✔ Records of contacts with clients, consultants, vendors, partners, agents, and the public. Examples: letters, memos, minutes, and meeting notes.
- ✔ Important telephone, email, and face-to-face discussions.
- ✔ Contracts and other legal agreements, as well as background material.
- ✔ Proposed legislation and regulations, as well as background material.
- ✔ Work done for government by consultants and others.
- ✔ All financial transactions.
- ✔ All records showing that services have been provided or obligations have been incurred.
- ✔ All information that shows that the government’s information systems have been maintained and are reliable.
- ✔ Draft legislation, budgets, policies, standards, guidelines, procedures, contracts, and other legal documents should be kept as a substantive record.

**Transitory Records**
Destroy when no longer needed.

- ✔ Temporary information, such as simple messages, routing slips, and post-it notes. Note: this information should be filed if it helps to show how a department reached a decision.
- ✔ Duplicate copies of a substantive record that do not have comments written on them.
- ✔ Notes and rough drafts of letters, memos, reports, minutes, etc. Note: this information should be filed if it contains major revisions or helps to show how the final document was created. It should also be filed if it records official decisions.
- ✔ Publications from outside your office, such as supply catalogues, brochures, and newsletters.
- ✔ Junk mail and spam.
- ✔ Mass distribution notices, messages, and memos that do not directly affect your duties.

4. Email Management

All agencies are responsible for the electronic mail activities of their users. State agencies have the responsibility to ensure that state-provided email services are used for internal and external communications which serve legitimate government functions and purposes. Managerial authority over email services should be defined, and user training programs provided which address electronic mail usage and policies.
Agencies may consider providing additional restrictions and guidelines regarding the use of email. In considering the need for additional restrictions and guidelines, each agency should take into account its particular needs, mission, and organizational culture.

Agencies should establish policies and procedures on and provide training for managing email created or received by the agency, including preserving and filing, access and use, and disposition. These should include procedures for organizing, storing, maintaining, accessing, and disposing of email records. Also, establish a procedure for documenting your email records policy, including the software and hardware in use, specific procedures, training efforts, staff member responsibilities, and records retention schedules.

4.1 Disclosure of Information

Some email may be subject to public disclosure. NRS Chapter 239 does not define “public record.” The assumption is all records are considered open (public) unless all or part of the record is declared by law (statute, regulation, governor’s proclamation, etc.) to be confidential. Confidential records are not subject to disclosure. (NRS 239.010§1)

All email records, like other electronic records, should be reasonably accessible for the purposes of legal discovery

4.2 Legal Holds

When litigation or an investigation is reasonably anticipated the agency must ensure the preservation of potentially relevant information. A reasonable and defensible Legal Hold process is important as penalties for the failure to preserve potentially relevant information, for the purposes of legal discovery can result in evidentiary sanctions, adverse rulings, and/or fines.

Example of legal hold policy:

Records may not be destroyed if any litigation, claim, negotiation, audit, public records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the approved records retention schedule of the agency until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later. If there is a “save order” on email, you must stop all automatic email deletion procedures.

4.3 Confidential Records

Do agency personnel send or receive confidential records via email? If so, the agency must have a confidential records email policy, provide a secured method of transmission, and conduct on-going awareness training for all staff who receive or transmit confidential records.

Example of an agency confidential email statement:

Email is a public record as such is subject to public access through NRS Chapter 239 Public Records and to subpoena by a court of law. Please be aware that any information submitted via email is not confidential and could be observed by a third party while it is in transit. Please keep in mind that users should never put anything in an email that must be kept confidential. Email must be treated the same way cellular or cordless phones are treated using the assumption that anyone could accidentally or intentionally overhear.

Example of an email disclaimer:

This message, including any attachments, is the property of [Agency] and is solely for the use of the individual or entity intended to receive it. It may contain confidential and proprietary information and any unauthorized review, use, disclosure or distribution is prohibited. If you are not the intended recipient(s) or if you have received this message in error, please contact the sender by reply email and permanently delete it.
4.4 Use of Private Email Accounts for Public Business

At the discretion of agency policy, agency staff should be discouraged from conducting any public business on private email accounts, e.g. Gmail, Yahoo, AOL, or any other private internet provider accounts. Staff should understand that any correspondence and/or documents created or received in private email accounts may be accessible, i.e., subject to public records requests and/or discovery. Therefore, agency staff should be instructed to copy official communications received or sent in a private email account to their State email accounts to meet State retention requirements.

4.5 Default Email Retention Period

Decide whether you will have a "default retention period" for messages remaining in employees' inboxes for long periods of time. If so, specify when the messages will be automatically deleted. For example, you might say that emails left in employees' inboxes for more than 90 days and not assigned to a record series (or RDA) with a retention period will be automatically removed by the system.

Default retention periods should be short – 30, 60, or 90 days – and may be enforced by incorporating “auto-delete” functionality in the email system to purge all messages that have aged to the desired period.

4.6 Email Backups

Email server backups should be retained for business continuity (disaster recovery) purposes only. System backups should never be retained for long-term retention or archival purposes. The backup retention period should not exceed the default retention period.

4.7 Capturing and maintaining emails

The recordkeeping system for your email records needs to be able to identify, retrieve, share, and retain the records for as long as they are needed. Identification means linking the record to the relevant business activity and to related records.

Principles

- Must be able to reproduce and view messages in their original electronic format, whether this be the actual email along with its transmission and receipt data, or an attachment such as a PDF, PDF/A, Word or Excel document
- File and store them based on a file classification structure in order to maintain a link between messages and attachments, and any other related records. The preferred method for doing this is by using an ERMS (Electronic Records Management System) that provides the required functionality (The Electronic Records Committee recommends use of an ERMS that is certified to be compliant with DoD 5015.2-STD)
- It is not necessary to keep more than one format of your email record. If an email record is filed in an ERMS, the copy in the message system can be deleted; if a copy is printed and the paper copy filed the copy in the message system can be deleted
- Retaining emails on a personal hard drive or networked directory is not recommended; doing so limits access to the records
- If no option is available to retain and file email records in an ERMS, print email records for filing within the applicable manual files
- The loss of transmission and receipt data (metadata) is a concern for the evidential value of printed copies of emails; if necessary, consult with IT personnel to ensure that all metadata are printed with the messages
5. Responsibilities

5.1 Agency Records Officer

- Ensure all agency records are listed on an approved Records Retention and Disposition Schedule.
- Establish policy and procedures for addressing email records retention requirements, including record-keeping requirements and disposition.
- Specify the location, manner, and media in which official email records will be maintained to meet temporary and permanent retention requirements.
- Ensure all employees (full-time, part-time, temporary, student, contract, consultants, etc.) with email accounts are fully trained on how to adequately implement this policy.
- Notify the appropriate IT personnel when the account of a departing employee is to be closed. Have a message put in place for emails sent to the departed employee’s email account that bounces back to the sender to notify the sender that the expected receiver is no longer in the employ of the agency and to identify the new agency contact.
- Ensure emails of the departing employee are retained in accordance with approved Retention and Disposal Schedules. If necessary, transfer the emails from the departing employee account to a designated account for follow-up and retention.
- Notify appropriate personnel when the agency becomes involved in litigation or receives a public records request.

5.2 Employee

- Evaluate each email (sent and received) to determine if the message should be kept to document its role in a business transaction.
- Evaluate the content and purpose of each email to determine which Records Retention and Disposition Schedule defines the message’s approved retention period.
- Organize emails so they can be easily accessed.
- Retain email for the full retention period that is identified in the Records Retention and Disposition Schedule. [Each agency shall identify the recommended preservation methods.]
- On a regular, routine basis, dispose of transitory and non-record (personal) emails from the email system.
- On a regular, routine basis, dispose of emails that document the official functions of the agency in accordance with an approved Records Retention and Disposition Schedule. Exceptions: Records may not be destroyed if any litigation, claim, negotiation, audit, public records request, administrative review, or other action involving the record has been initiated or is anticipated.
- It is recommended that employees retain only the final message in a communication string that documents the contents of all previous communications. This is preferable to retaining each individual message containing duplicate content.
- Provide public access of their email to the records officer or other agency official upon request.
- Recognize that emails sent and received via the State of Nevada email system [or agency system] are not private.
- Take all reasonable precautions to prevent the use of their email account by unauthorized individuals.
- Retain metadata information with the email if there is a substantial likelihood of relevancy to litigation.
6. Definitions

**Agency-Specific Records Retention and Disposition Schedule** - A schedule governing the disposition of records unique to one agency. See also Records Retention and Disposition Schedule

**Confidential Records** - Official State Records are regarded as public records unless they are declared by law to be confidential, see NRS 239.010. If a record is not expressly declared public by statute, a balancing test must be applied to determine if the record must be disclosed. This test begins with the presumption that the record is public and should be disclosed. The test is used to determine if the harm from disclosure of the record outweighs the public good from open access. *Donrey of Nevada v. Bradshaw*, 106 Nev. 630, 798 P2d 144 [1990]

**Correspondence** - The process of communicating in writing; intended to convey information to or from individuals within or outside an organization.

**Electronic Mail System** - A computer application used to create, receive, and transmit messages and other attached records.

**Electronic Records Management System (ERMS)** - Any computerized information system that produces, manipulates, and stores state electronic records. ERMS systems shall be capable of deleting records in accordance with an approved Records Disposition Authorization (RDA).

**Email** – A method of exchanging digital information over the Internet and/or other computer networks. An email message is comprised of: the textual message, the metadata (to, from, subject, time, date, system, etc.), and any attachments.

**Email record** - Any electronic messages created, sent, or received within an electronic mail system that meets the definition of an official state record in NRS 239.080. The email is classified as an official state record if the email is required by an agency to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities.

**Executive** - Employees, classified or unclassified, typically appointed to a position equivalent to a bureau chief or above. Each agency must define and identify the executive-level employees within their agency.

**File break** - The event date where existing file folders are closed and new file folders are opened. This action is necessary to implement retention periods and usually occurs at the end of the fiscal year or the end of the calendar year.

**General Retention Schedule** - Establishes minimum retention periods and authorizes dispositions for many of the administrative and legal records common to most state agencies. Using the schedule as a guide and without seeking further approval from the State Records Committee, any state agency may regularly dispose of any of its records which appear on this schedule. See also, Agency-Specific Retention Schedule.

**Listserv** - An electronic mailing list software application that automatically broadcasts messages to multiple email addresses on a mailing list. Emails submitted to the listserv are relayed to all members of the listserv to create an on-line discussion on select subjects.

**Metadata** - Data describing the context, content, and structure of records and their management through time.

**Non-record** - Published books and pamphlets, books and pamphlets printed by a governmental printer, answer pads for a telephone or other informal notes, desk calendars, stenographers’ notebooks after the information contained therein has been transcribed, unused forms except ballots and as indicated in a retention schedule, brochures, newsletters, magazines, newspapers except those excerpts used as evidence of publication, scrapbooks, physical property, artifacts, library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, or stocks of publications and processed documents. Workpapers used to collect or compile data, or drafts developed from those workpapers, unless an appraisal conducted by the Division indicates that the workpapers or drafts have legal, fiscal, research or archival value. NAC 239.705(2)
**Official public business** - Means any legally authorized transaction or communication between a public agency and any other person, [NAC 720.085](#).

**Official State Record** - As defined by [NRS 239.080(4)](#). (a) Papers, unpublished books, maps and photographs; (b) Information stored on magnetic tape or computer, laser or optical disc; (c) Materials which are capable of being read by a machine, including microforms and audio and visual materials; and (d) Materials which are made or received by a state agency and preserved by that agency or its successor as evidence of the organization, operation, policy or any other activity of that agency or because of the information contained in the material. The term does not include Nonrecords (See Also, Transitory Information). See also, [NAC 239.705](#).

**Office of Record** – That office which is designated as the primary repository for a record, and has the primary responsibility for producing the record if needed for public records request, audit or other purposes.

**Public Record** – “…all public books and public records of a governmental entity, the contents of which are not otherwise declared by law to be confidential, must be open at all times during office hours to inspection by any person, and may be fully copied or an abstract or memorandum may be prepared from those public books and public records.” [NRS 239.010](#)

**Records Disposition Authorization (RDA)** - Policies in the form of records retention schedules that are developed and approved according to Nevada public records law. The retention schedules identify relevant state and federal requirements that may apply to the particular set of records. They also indicate whether the records are confidential or contain sensitive information that may require special handling at the time of records destruction.

**Records Management** - Planning, controlling, directing, organizing, and other managerial activities related to the creation, use, storage and disposition of records to achieve adequate and proper documentation of an agency’s transactions, policies, and operations.

**Records Series** - Records kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of action, take a particular physical form, or because of some other relationship arising out of their creation, receipt, or use. Generally handled as a unit for retention and disposition purposes. See [NAC 239.685](#)

**Retention period** - The length of time records should be kept in a certain location or form for administrative, legal, fiscal, historical, or other purposes. The retention period is usually triggered by an event (see also File Break), such as end of calendar year, end of fiscal year, creation date, termination date, expiration date, cancellation date, etc. See also [NRS 719.290](#)

**Schedule** - The process by which an agency obtains approval for the disposition of agency records when agency business need for the records ceases, i.e., destruction of temporary records or transfer to the State Archives of permanent records. [NRS 239.080](#)

**State Agency** - The use of the term “state agency” in this document means every public agency, bureau, board, commission, department, division or any other unit of the executive branch of the government of the State of Nevada.

**State Records Committee** - The unofficial title of the Committee to Approve Schedules for the Retention and Disposition of Official State Records created in [NRS 239.073](#).

**Transitory Records** - Records of temporary usefulness that are not regularly filed within an agency’s recordkeeping system, that are required only for a limited period of time for the completion of an action by an official or employee of the agency, and kept solely for ease of access and reference. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.

**Workpapers** - Documents, such as notes, drafts, and calculations, created and acquired in the process of assembling another document.
7. APPENDIX 1

7.1 Examples: Subject-Matter Correspondence

<table>
<thead>
<tr>
<th>Audit Files: Performance Audit, Agency Copy</th>
<th>RDA#: 2005096</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong> These records are maintained by agency administrators to document performance audits of their agency conducted by regulatory or over-sight entities. The record may include but is not limited to:</td>
<td></td>
</tr>
<tr>
<td>• Audit report</td>
<td></td>
</tr>
<tr>
<td>• Agency reports relating to performance with supportive documentation</td>
<td></td>
</tr>
<tr>
<td>• Compliance documentation (correspondence and reports relating to how the agency complied with the audit recommendations)</td>
<td></td>
</tr>
<tr>
<td>• Related Correspondence</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Retention:</strong> Retain with the agency for six (6) calendar years from the date of the formal audit report and then transfer to the State Archives.</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Disposition:</strong> Transfer these records to the State Archives.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Bids, Requests for Proposals and Informal Quotes - Agency Copy</th>
<th>RDA#: 2002158</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong> These records document the procedures used by state agencies in the process for gathering information about or to purchase supplies, equipment and/or services. The files may include but are not limited to:</td>
<td></td>
</tr>
<tr>
<td>• Request for Quotation (an informal request for prices usually to three or less vendors for items of less than $25,000.00) and responses</td>
<td></td>
</tr>
<tr>
<td>• Requests for Proposals (to gather information which may or may not lead to a bid) and responses</td>
<td></td>
</tr>
<tr>
<td>• Invitation to Bid (on all items costing more than $25,000.00) and responses</td>
<td></td>
</tr>
<tr>
<td>• List of vendors</td>
<td></td>
</tr>
<tr>
<td>• Evaluations and related documentation</td>
<td></td>
</tr>
<tr>
<td>• Related correspondence</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Retention:</strong> Retain for three (3) fiscal years from the end of or from the date of the cancellation of the process for which the records were created. See also RDA# 1995086 Contracts and Agreements.</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Disposition:</strong> Destroy in a secure manner that will prevent reconstruction of the information.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Complaint Files</th>
<th>RDA#: 2004234</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong> These records are used administratively to investigate general complaints received over service related issues. The files may contain but are not limited to:</td>
<td></td>
</tr>
<tr>
<td>• Letter of complaint</td>
<td></td>
</tr>
<tr>
<td>• Administrative determination</td>
<td></td>
</tr>
<tr>
<td>• Investigation reports with supportive material</td>
<td></td>
</tr>
<tr>
<td>• Related correspondence</td>
<td></td>
</tr>
<tr>
<td>Note: This record series does not include Fair Hearing or other formal procedures (usually established in law or regulation) used for resolution of complaints found in an agency-specific records retention and disposition schedule.</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Retention:</strong> Retain for a period of three (3) calendar years from the date the action was resolved.</td>
<td></td>
</tr>
<tr>
<td><strong>Authorized Disposition:</strong> Destroy in a secure manner that will prevent reconstruction of the information.</td>
<td></td>
</tr>
</tbody>
</table>
Contracts and Agreements

These records document instruments of obligation, including contracts, cooperative agreements (both in and out of state), and may include:

- Lease/rental agreements
- Service contracts
- Contracts for program services
- Personnel contracts
- Similar documents
- Related correspondence

**Authorized Retention:** Retain these records for a period of six (6) fiscal years from the date of termination, completion or cancelation.

**Authorized Disposition:** This record series may be disposed of in a normal manner, such as dumping, recycling or deleting.