

IN THE CITY OF META, MISSOURI

BILL NO. 2020-09

ORDINANCE NO. 550

AN ORDINANCE ADOPTING A REVISED RECORD RETENTION AND DISPOSITION SCHEDULE FOR THE CITY OF META ADDING SECTIONS ASSESSOR AND WATER DISTRICT RECORDS

Whereas, the City of Meta accumulates records of various types including, but not limited to, payroll records, receipts, personal files, plans, permits, licenses, drafts, permits, bids, and general correspondence;

Whereas, these records take up space and need to be secured or disposed in an orderly and efficient manner;

Whereas the Board of Alderman feel the City of Meta needs to formally update its procedures and adopt a policy with regard to record retention;

Whereas, the Missouri Secretary of State has produced a Municipal and General Schedule for record retention and disposition as it relates to administrative, fiscal, and legal records created or maintained by local governments;

Whereas, a copy of said retention schedule is attached as EXHIBIT A and incorporated by referenced herein;

NOW THEREFORE BE IT ORDAINED BY THE BOARD OF ALDERMAN OF THE CITY OF META, MISSOURI, AS FOLLOWS:

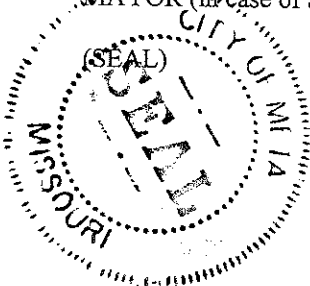
- Section 1: The City of Meta, Missouri hereby adopts EXHIBIT A as its record retention policy;
Section 2: Any inconsistent policies, procedures or ordinances are hereby terminated, revoked and/or repealed;
Section 3: A copy of this ordinance and EXHIBIT A shall be provided to each department head for distribution to any and all employees charged with handling any City-Related document or record.
Section 4: The ordinance shall be in full force from and after its passage and approval.

FIRST READING HELD THIS 13TH DAY OF MAY, 2020.

SECOND READING AND FINAL PASSAGE HELD THIS 13TH DAY OF MAY, 2020, by the following vote:

ALDERMEN
LAWRENCE HOFFMAN
IVE HELTON
OTTO WANKUM
STEVEN SHERRELL
MAYOR (in case of a tie vote)

AYE NAY
[checkmarks and lines]



Lawrence Hoffman, Mayor Pro-Tem

ATTEST: Deidra Buechter, City Clerk


MISSOURI SECRETARY OF STATE RECORDS MANAGEMENT
MUNICIPAL RETENTION & DISPOSITION SCHEDULE
And
GENERAL RETENTION & DISPOSITION SCHEDULE

Local Government Records Retention Schedules

Missouri Revised Statutes Chapter 109 (Public and Business Records) Section 255 authorizes the Local Records Board to establish minimum retention periods for the administrative, fiscal and legal records created by local governments.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules.

The Local Records Program welcomes all comments and suggestions concerned with improvement of record retention schedules.

General Records Retention Schedule  (Revised, 08/2018)

Using This Records Retention Schedule

Every day local government offices throughout Missouri produce records that document the rights of citizens, the actions of the government that serves them and the history of the community in which they live. It is the responsibility of local government to effectively maintain and manage these records and to ensure the continued preservation of those records of essential evidence that have enduring and permanent value. The introduction to this retention schedule provides local government officials with basic information on records and the application of retention schedules.

What is a Record?

A "record" is defined as any "document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business" (109.210(5) RSMo). This definition includes those records created, used and maintained in electronic form.

Non-Records

Even though records include a broad spectrum of recorded information, not all recorded information is a record. According to Section 109.210(5) RSMo, the following are not records: "...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, and stocks of publications and of processed documents are not included within the definition of records..."

Other examples of non-records include the following materials:

- Identical copies of documents maintained in the same file.
- Extra copies of printed or processed materials (official copies of which are retained by the office of record).
- Superseded manuals and other directives (maintained outside the office of record).
- Materials documenting employee fringe activities (blood donors, charitable funds, social and professional meetings, etc.)
- Work papers and drafts of reports or correspondence. Transcribed stenographic materials.
- Blank forms.
- Materials received from other activities that require no action (official copies of which are retained by the office of record).
- Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record.
- Survey forms

Non-records do not require retention scheduling or destruction authorization or reporting. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Avoid filing non-record material with records.

The Value of Local Government Records

Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require that special care and consideration be given to their storage conditions and the feasibility of preservation microfilming. Examples of permanent records include year-end reports; minutes; property records such as deeds; and birth, death and marriage records. Most records do not have values that warrant their permanent preservation. Those records with short-term value should, upon reaching end of the retention period, be destroyed.

Statutory Authority for Establishing Records Retention Requirements

In 1965, the Missouri General Assembly established a State Records Commission to approve retentions for records produced by state agencies. In 1972, Missouri's Business and Public Records Law (Chapter 109) was expanded to include local government. Thus, the Missouri Local Records Board was established to set retention times for local government records. The 16-member board, chaired by the Secretary of State, consists of local government officials from all classes of counties and cities, elementary and secondary education, higher education and a person active in historical society groups. Supplemental to the Local Records Board, the Records Management and Archives Service of the Secretary of State's office provides assistance to local governments and implements board policy.

Application of the Records Retention Schedule

This schedule establishes minimum retention periods and authorizes dispositions for many of the administrative, fiscal and legal records common to most local governments. Retention periods are based upon federal and state mandates, record surveys, business needs, and general knowledge as to how long records should be kept. Using the schedule as a guide and without seeking further approval from the Local Records Board, any local government may regularly dispose of any of its records that appear on this schedule. The schedule is subject to the following exceptions and limitations:

- A. Local government offices may retain any of their records beyond the retention periods set by the schedule, as they deem necessary. The schedule establishes only a minimum period of retention. Before retaining a record longer than the minimum time required, however, the office should be certain that it has good reason to do so. Unnecessary retention of records can be expensive in space and filing equipment and may expose the office to costly litigation and discovery requirements.
- B. This schedule does not relieve local governments of retention requirements mandated by other state and federal statutes and regulations. When such an obligation does exist, then the longer retention period takes precedence.
- C. This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record required for an audit must be retained until completion of that audit, regardless of its stated retention period in the schedule.
- D. This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules. All schedules are available on the Secretary of State's website at <http://www.sos.mo.gov/archives/localrecs/schedules>

Destruction of Records

The records classification and retention periods in this manual constitute legal authority for retention and disposal of official records. No records can be destroyed until they meet the minimum retention period listed in this manual. In cases where there is no schedule for a particular record series, the Local Records Board must grant permission for the destruction.

The disposition of records should be recorded in a document such as the minutes of the city council or other legally constituted authority that has permanent record status. The record should include the description and quantity of each record series disposed of, manner of destruction, inclusive dates covered and the date on which destruction was accomplished.

The retention schedule does not prescribe the method of destruction (shredding, burning, landfills, etc.), however, record series with a disposition of *Destroy securely* contain confidential data. These records should be destroyed under the supervision of a competent person(s) designated (or appointed) to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.

When records, open or confidential, have been destroyed by decay, vermin, fire, water or other means making their remains illegible, the custodian of records may dispose of the remains after verification and documentation by the Local Records Program, Office of the Secretary of State.

Preservation of Permanent Records

A fundamental, yet often neglected obligation of local government is to care for its permanent records-in this case, some of the records that it generates and receives. The records that have been identified as permanent require

special handling and storage if they are to be preserved. The continuous interaction between a record's medium paper, magnetic tape, film, etc. -and the quality of the environment in which it is kept-temperature, humidity, light, and air-determines the severity and rate of its deterioration.

By microfilming older, deteriorating, but permanently valuable records, local governments can generate durable copies for research and prevent further damage or deterioration of the original. When filmed, processed, and maintained to archival specifications, the master negative will ensure that permanently valuable records are preserved for generations to come.

The Missouri Local Records Grant program can provide financial assistance in the form of grants-in-aid to supplement local funds for preservation initiatives, such as archival supplies, shelving and preservation microfilming.

Reformatting Standards

In accordance with RSMo 109.241.4, the Local Records Board has adopted the following standards for microfilm and digitized records. To be in compliance for image permanence, microfilm must conform to the technical standards outlined in the *Guidelines for Microfilming Public Records*, drafted by the Local Records Program and available on the Secretary of State's website at: <http://www.sos.mo.gov/archives/pubs/mfmg>. To ensure the permanence of electronic records and digitized records, electronic records management systems must meet the standards outlined in the most current version of ISO 15489. Certification that records have been reformatted in accordance with these standards should be maintained locally and classified under *General Records Retention Schedule* "GS 018 Records Management Records."

A Note about Electronic Records

Permanent records existing solely in electronic form are in danger of becoming inaccessible through media decay and hardware/software obsolescence. Periodic migration and transfer of permanent records to stable preservation media, such as microfilm, should be considered as a best practice for local government to fulfill its statutory responsibility to maintain permanent records.

Vital Records

Certain records are so important to the essential operations of a government or to the protection of the rights and property of citizens that the records are considered vital. Vital records require special safeguards to ensure that the information and evidence in the records will survive a disaster.

The best method to safeguard vital records is to store a duplicate copy in another location (i.e., bank vault, off-site private storage, or Secretary of State's Office). In many instances, duplicate copies are created as part of the regular operating routine of the office—security copies on computer tapes, microfilm, or paper copies distributed to other offices or agencies. If these copies and the originals are stored in separate buildings, these vital records are adequately protected.

A Note about Retention Periods

This schedule provides minimum retentions. Local authorities may choose to keep a particular series or record for a longer period of time. It should be kept in mind, however, that a record kept beyond its listed retention must be made available for inspection upon request.

Retention Definitions:

COA=Completion of Audit. Note that COA is coupled with a lot of 5-year entries to help encourage regular audits. Not all jurisdictions are required to have audits by statute. Audits for some municipalities are governed by the level of federal financing for bonds and public improvements, and thus are governed by federal retentions. Most municipalities are governed by their local authority (alderman, council, mayor, etc.) for auditing policy. Local jurisdictions may consult RSMo 29 to review the State Auditor's chapter for petition audits (see RSMo 250 for large capital projects such as bonds for water and sewer). For general auditing explanations and advice we recommend that clerks contact the State Auditor's office at 573.751.4213.

DCA=Destroy in Current Area/Reference. Series with these retentions are considered "reference" records and may be destroyed when they are no longer of use.

Modifications and Additions

Because records reflect activities that are constantly changing, the retention requirements for them sometimes require revision as well. Consequently, records retention and disposition schedules often need modification or additions in order to be realistic and effective. Furthermore, because local governments are so large, it is impractical to consult with every office regarding specific schedule entries. There may be some retention periods and disposition requirements within this schedule

that fail to account for all relevant factors and there may be some important record series not addressed here which need to be added. The Local Records Program welcomes all comments and suggestions concerned with improvement of record retention schedules through modifications and additions.

For further information on any records management or preservation issue, please contact:

Missouri Secretary of State
 Local Records Preservation Program
 PO Box 1747, Jefferson City, MO 65101-1747
 Telephone: (573) 751-9047
 local.records@sos.mo.gov

MUNICIPAL RETENTION & DISPOSITION SCHEDULE

Administrative Records4
 Building Codes Records5
 Financial and Accounting Records6
 Public Works Records (Streets, Sewer, Refuse, Etc.)7
 Special Facilities Records7
 Utilities (Gas, Electric, Water, Steam).....8

GENERAL RETENTION & DISPOSITION SCHEDULE

Administrative Records..... 9
 Assessor Records 16
 Building Codes Records..... 19
 Environmental/Health/Safety Records..... 20
 Financial Records 20
 Legal Records 26
 Personnel Records 27
 Water District Records..... 31

MUNICIPAL RETENTION & DISPOSITION SCHEDULE

ADMINISTRATIVE RECORDS

0001 Accident Report Files

Also Called:
 Function: Reports describing accidents involving city employees resulting in personal injury.
 Content: May include copies of Workers' Compensation claims.
Retention: 5 years after case concluded
Disposition: Destroy securely
 Note:
 Approval Date:

0008.2 Budget Adjustments

Also Called:
 Function: Records documenting the transfer of or supplemental appropriation to departmental monies during the fiscal year.
 Content:

Retention: 5 years
Disposition:
Destroy Note:
Approval Date:

0012 City Seal

Also Called:
Function: Records documenting the current and past city seals.
Content:
Retention: Permanent
Disposition: Archive; microfilm for preservation
Note:
Approval Date:

0022 Franchises: Utilities, Cable TV, etc.

Also Called:
Function: Records regarding franchises granted by the city to utility companies or other non- public organizations permitting them to provide services within the city. NOTE: VITAL RECORDS: see introduction for further guidance.
Content:
Retention: Expiration/cancellation of franchise plus 5 years
Disposition: Destroy
Note:
Approval Date:

0024 Historic Preservation Files

Also Called:
Function: Records relating to historical preservation programs and projects in the city, be it individual historical structures or a district of the city.
Content: May include correspondence, plans, studies, progress reports, and grant records.
Retention: Permanent for historical purposes
Disposition: Archive; microfilm for preservation
Note:
Approval Date:

BUILDING CODES RECORDS

0207 Dangerous Building File

Also Called:
Function: Records relating to the demolition and boarding of buildings deemed unfit for human habitation by building inspectors.
Content: May include building reports, letters to property owners, and demolition documents. May include copies of contracts and payment documents.
Retention: 5 years after assessment is paid if building/structure is demolished or boarded-up by the city. All other demolitions or boardings of buildings by owner, 1 year after case is closed.
Retention Change:
Disposition: Destroy
Note:
Approval Date: August 28, 2012

FINANCIAL AND ACCOUNTING RECORDS

0713 Depreciation Schedules File

Also Called:

Function: Records that document the useful life of city-owned equipment and property for capital equipment budgeting and other financial planning and control purposes.

Content:

Retention: Life of equipment plus 3 years

Disposition: Destroy

Note:

Approval Date:

0717 Journal Entries, Journal Vouchers

Also Called:

Function: Records of adjustments to financial accounts and created in order to balance the city's books;
NOTE: VITAL RECORDS: see Introduction for further guidance.

Content: May include debits, credits, reason for adjustment, date, and amount.

Retention: 5 years

Disposition: Destroy securely

Note:

Approval Date:

0720 Street Paving File: Special Assessment Files

Also Called:

Function: Records used to account for street paving funds, verifying revenue contributions from citizens.

Content: May include street, property owner's name, amount due, and date of paving.

Retention: 5 years after last collection

Disposition: Destroy

Note:

Approval Date:

0764 Surplus Property

Also Called: Surplus Personal Property; Surplus Real Property.

Function: Records pertaining to property owned by the city that has been declared surplus.

Content: May include declarations, advertisements, notices, and transfer papers.

Retention: 5 years

Disposition: Destroy

Note:

Approval Date:

PUBLIC WORKS RECORDS (Streets, Sewer, Refuse, Etc.)

1306 Street Paving Log Book

Also Called:

Function: Provides a record of street maintenance.

Content: May include a summary of streets paved listing street name, material used, cost, date, and other related information.

Retention: 10 years after last entry in book.

Disposition: Destroy

Note:

Approval Date:

1317 City-owned Buildings Plan

Also Called:

Function:

Content: May include plans and specifications for city buildings.

Retention: Life of structure; evaluate for historical value.

Disposition: Destroy

Note:

Approval Date:

1317a Structure Inventory and Appraisal Sheet

Also Called:

Function:

Content:

Retention: Permanent and update for the life of the inventory.

Disposition: Destroy

Note:

Approval Date:

1323 Backflow Prevention Testing Records

Also Called:

Function: Documents tests to check for water contamination

Content:

Retention: 5 years

Disposition: Destroy

Note: Department of Natural Resources mandated test, see 10 CSR 60-11.

Approval Date: August 28, 2012

SPECIAL FACILITIES RECORDS

1401 Event Files

Also Called:

Function: Records relating to the leasing of municipal facilities to various groups.

Content: May include scheduling, license checklist, equipment rental requests and invoices, contracts, licenses, seating charts, floor plans, work orders, and sales and service reports.

Retention: 5 years after expiration or cancellation of lease.

Disposition: Destroy

Note:

Approval Date:

1403/1404 **Facility Event and Recreation Program Scheduling and Reservation File**
Also Called:
Function:
Content:
Retention: **5 years**
Disposition: **Destroy**
Note:
Approval Date:

UTILITIES (Gas, Electric, Water, Steam)

1602 **Customer Account Card File**
Also Called:
Function: Records showing a billing and payment history of all customers using city utilities.
Content: May include customer name and address, date account was opened, consumption, billing and payment history, date of account closure.
Retention: **5 years after last entry**
Disposition: **Destroy securely**
Note:
Approval Date:

1610 **Meter Books**
Also Called:
Function: Record documenting consumption statistics gathered when meters are read.
Content: May include make of meter, size, number, street, customer's name and address, readings, etc.
Retention: **5 years**
Disposition: **Destroy**
Note:
Approval Date:

1611 **Meter Reading Summary Reports**
Also Called:
Function: Monthly summary of meter readings by customer account number for utility consumption.
Content: May include old and new readings and actual consumption.
Retention: **5 years**
Disposition: **Destroy**
Note:
Approval Date:

1614 **Service Interruption Records**
Also Called: Service Interruption Log Book
Function: Records documenting the interruption of utility services.
Content: May include date of incident, name of person reporting, location, actions taken, and result.
Retention: **3 Years**
Disposition: **Destroy**
Note:
Approval Date: Revised, August 20, 2013

GENERAL RETENTION & DISPOSITION SCHEDULE

ADMINISTRATIVE RECORDS

GS 001	Annual and Special Reports
Also Called:	
Function:	Summary reports documenting the program or primary activities and accomplishments of the local government unit for the previous year. Often compiled from monthly, quarterly or other subsidiary activity reports, including surveys.
Content:	May include: statistics, narratives, graphs, diagrams, and similar information.
Minimum Retention:	Permanent
Disposition:	Archive. Microfilm for preservation
Note:	Provides administrative history of the office. Any report read into the official minutes may be destroyed.
Approval Date:	August 15, 2001
GS 012	Correspondence - General
Also Called:	Letters, Memoranda, E-mail
Function:	Correspondence that pertains to routine matters handled in accordance with existing policies and procedures. Does not contain significant information about office policies or programs.
Content:	May include: incoming and outgoing letters, memoranda, notes, acknowledgements, notices, non-Sunshine requests for information or publications, enclosures, and attachments.
Minimum Retention:	1 year
Disposition:	Destroy
Note:	See also GS 013 Correspondence-Policy; GS 066 Public Information Requests and Documentation.
Approval Date:	August 15, 2001; Revised August 23, 2011
GS 012.1	Correspondence - Transitory
Also Called:	Letters, Memoranda, E-mail
Function:	Documents of short-term interest that have no documentary or evidentiary value, which are not included in another record series.
Content:	May include: correspondence which requires no administrative action, policy decision, special compilation or research; quasi-official notices that do not serve as the basis of official action, such as holiday notices, reminders of charitable campaigns, upcoming events, unsolicited vendor solicitations, etc.
Minimum Retention:	None
Disposition:	Destroy
Note:	See also: GS 012 Correspondence-General; GS 013; GS 066
Approval Date:	August 25, 2009; Revised August 23, 2011

GS 013 **Correspondence - Policy**
Also Called: Letters, Memoranda, E-mail
Function: Correspondence which state or form the basis of policy, set important precedents or record important events in the operational and organizational history of the governmental body.
Content: May include: incoming and outgoing letters, memoranda, notes, reports, studies, and other records.
Minimum Retention: **Permanent**
Disposition: **Archive. Microfilm for preservation**
Note: This form of correspondence will come exclusively from elected officials, administrators, managers, or supervisors. See also GS 012; GS 012.1
Approval Date: August 15, 2001; Revised August 23 2011

GS 018 **Records Management Records**
Also Called:
Function: Documents the authorized retention, scheduling, inventory and disposition of public records.
Content: May include, but not limited to: procedural guidelines, records retention schedules, inventory reports, transfer agreements, disposal lists, destruction authorizations, and correspondence.
Minimum Retention: **Retain permanently all inventories; disposal lists; destruction authorizations and transfer agreements. Other records: Retain until superseded or no longer useful.**
Disposition: **Records with permanent value: Archive. Microfilm optional. Other records: destroy.**
Note:
Approval Date: August 15, 2001

GS 021 **Meeting Records (for Boards, Commissions, Committees, or Other Public Bodies)**
Also Called:
Function: Documents the proceedings of public bodies described in RSMo 610.010 (4).
Content: May include: minutes, agendas, exhibits, resolutions, indexes, staff reports, correspondence, related documentation, audio or visual recordings.
Minimum Retention: **Permanent - Minutes, agendas, exhibits, resolutions, and indexes (not retained permanently elsewhere); Other records - 1 year.**
Disposition: **Permanent records - Archive. Microfilm for preservation. Other records - Destroy.**
Note: See also: GS 085 Meeting Records (internal agency staff/committee).
Approval Date: August 19, 2003

GS 022 **Public Notice Records**
Also Called: Affidavits of Publication, Notice of Meetings, Public Notices, Proof of Publication.
Function: Records documenting compliance with laws requiring public notice of governmental activities.
Content: May include: public or legal notices, certificates, affidavits of publication, and similar documents.
Minimum Retention: **3 years**
Disposition: **Destroy**
Note: See also: GS 055 Bid Records
Approval Date: August 19, 2003

GS 023	Capital Improvement Projects Files
Also Called:	
Function:	Records related to construction/renovation/repair of publicly owned buildings, structures, streets, sidewalks or other infrastructure.
Content:	May include: correspondence, bids, specifications, plans, designs, drawings, reports, notes, change orders, etc.
Minimum Retention:	Retain for the life of the structure, sidewalk, or road, plus 10 years; May be subject to federal requirements.
Disposition:	Destroy
Note:	
Approval Date:	August 19, 2003; Revised August 23, 2011
GS 024	Computer Software Licensing Files
Also Called:	
Function:	Documents proving the licensure and implementation of computer software programs by the agency.
Content:	May include: permitted uses, rights and restrictions, warranty information, liability statement, and laws governing the product.
Minimum Retention:	Retain for the duration of license plus 5 years
Disposition:	Destroy
Note:	
Approval Date:	August 19, 2003
GS 036	Publications
Also Called:	
Function:	Published records produced by or for a local government entity or any of its departments or programs and made available to the public.
Content:	Includes newsletters, pamphlets, brochures, leaflets, reports, studies, proposals, and similar published records.
Minimum Retention:	Retain brochures, pamphlets, and leaflets until superseded or obsolete. Retain one copy of all others permanently.
Disposition:	Permanent records: Archive. Other records: Destroy.
Note:	Does not include publications received from federal, state, private or other sources – these publications and extra copies of local government-produced publications should be retained as needed.
Approval Date:	August 19, 2003
GS 038	Scrapbooks, Photographs and Clippings
Also Called:	News Clipping File; Scrapbooks; Photo File; Photograph Album
Function:	Documents a chronological or similar record of the local government entity.
Content:	May contain photographs, newspaper or magazine clippings, commentaries, and other items pertaining to the activities, actions, and reactions of the local government officials, personnel, and citizens. Scrapbooks vary greatly in their content and value. Some may have historical value e.g. World War II Servicemen/Women scrapbooks.
Minimum Retention:	Retain as needed.
Disposition:	Records with permanent value: Archive. Other records: destroy.
Note:	Contact the Missouri Local Records Program for historical evaluation.
Approval Date:	August 19, 2003

GS 039**Technical Manuals, Specifications, and Warranties**

Also Called:

Function:

Content:

Owners manuals and warranties for government-owned vehicles and equipment. Manuals often include specifications, operating instructions, and safety information. Warranties include terms of coverage for repair or replacement of equipment.

Minimum Retention: Retain manuals until disposition of vehicle or equipment. Retain warranties until expiration.

Disposition:**Destroy**

Note:

Approval Date:

August 19, 2003

GS 044**Commission and Appointment Records**

Also Called:

Board Committee files; Appointment files

Function:

Appointments made by authorized elected officials to committees, boards, commissions, task forces, other advisory groups, or public offices.

Content:

May include applications, interview notes, resumes, staff reports, letters of recommendation, letters of appointment, and related non-routine correspondence.

Minimum Retention: Record in official minutes. Retain records 1 year after expiration of appointment.

Disposition:**Destroy securely.**

Note:

Approval Date:

August 24, 2004

GS 046**Oaths of Office**

Also Called:

Oaths of Office of Elected and Appointed Officials

Function:

Signed oaths taken by various elected and appointed officials before discharging duties of office.

Content:

May include: date, name, office held, text, and signatures. May also include certificate of election.

Minimum Retention: Retain 1 year after expiration of term. Review for historical value.

Disposition:**Retain permanently those with historical value, destroy all others.**

Note:

May be filed separately or with appointment files.

Approval Date:

August 24, 2004

GS 047**Policy and Procedure Files**

Also Called:

Directives; Manuals

Function:

Documents policies, procedural directives and manuals developed by the agency to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

Content:

May include: internal rules and regulations, sometimes separated by departments; step-by-step procedures used as training manual for job functions; policies for vacation pay, hiring, firing, employee safety and other personnel matters. Often published in manual or booklet format,

Minimum Retention: Retain routine clerical manuals until superseded, updated, or no longer needed for reference. Retain one copy of all other policy documentation permanently.

Disposition:**Permanent records: Archive. Other records: Destroy securely.**

Note:

Approval Date:

August 24, 2004

GS 049**Request and Complaint Files**

Also Called:

Function:

Documents citizen requests or complaints about service, maintenance, repairs, materials, etc.

Content:

Information often includes name, phone number, and address of person making request or complaint, narration of request or complaint, name of person responding to request or complaint, dates of related activities, and other data.

Minimum Retention:**3 years after final disposition.****Disposition:****Destroy securely.**

Note:

See also: Equal Employment Opportunity (EEO) Records and Grievance and Complaint Records in the Personnel section; See also: Correspondence, General in this section for routine requests for information or publications.

Approval Date:

August 24, 2004

GS 050**Permits and Licenses**

Also Called:

Building Trades Certification; Contractor Licensing File; Application for Motor Vehicle License; Business License; Facility Use Permit; Parade Permit.

Function:

Records documenting review, background investigations, recommendations and other actions related to permits and licenses issued for various activities such as: the use of public facilities for dances, parades, etc.; the operation of retail and other businesses including sales, solicitors, second-hand dealers and taxi cabs; also tree removal, temporary signs, keeping livestock, billboards, etc.

Content:

May include: applications, background investigation reports, permits, licenses, renewals and related records.

Minimum Retention:**Retain 2 years after expiration.****Disposition:****Destroy securely**

Note:

This record series does not apply to several types of permit records related to construction, certain public works functions, and others. See: GS 052 for Building Permits and Applications. See: specific office schedules for other permits.

Approval Date:

August 24, 2004

GS 051**Disaster/Emergency Preparedness and Recovery Records**

Also Called:

Civil Defense Plans/Files; Homeland Security Plans; Emergency Management Files; Disaster Plan; Drill Records

Function:

Documents the plans for protection and reestablishment of services and equipment in the event of a disaster (natural, chemical, terrorist, etc.).

Content:

May include: plan, procedures, checklists, emergency phone numbers and addresses. Also records of practice drills and preparations.

Minimum Retention:**Retain until superseded or no longer needed. Evaluate for historical content.****Disposition:****Retain documents with historical value permanently; all others: Destroy securely**

Note:

Disaster/Emergency Preparedness and Recovery Plans are considered VITAL RECORDS (see note in introduction). Recommend duplicate copies be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

Approval Date:

August 24, 2004

GS 066**Public Information Requests and Documentation**

Also Called:

Sunshine Law Requests; Open Records Requests; Request for Voter Information Data

Function:

Requests for information pursuant to RSMo 610 (Sunshine Law) and related documentation.

Content:

May include, but is not limited to: a description of the records being requested (a specific document created on a certain date, or records of a general subject matter within a general date span); whether a copy will be required or the records will be viewed in person; and the name, address, phone number or electronic mail address of the person requesting information. If the record does not exist or cannot be found, certification of this information may be included. When a request is denied, contents may also include a statement of denial, appeal records, documentation of review and decision.

Minimum Retention:**Retain request forms for military information 5 years. (RSMO 59.480)****Retain all other requests 3 years.****Disposition:****Destroy**

Note:

For detailed information about Missouri's Sunshine Law, go to the Attorney General's web site: <http://www.ago.state.mo.us/sunshinelaw/sunshinelaw.htm>.

Approval Date:

August 24, 2005

GS 067**Vehicle Ownership and Maintenance Records**

Also Called:

Certificate of Title; Registration; Licenses; Warranties; Maintenance Record; Vehicle and Equipment Checklist.

Function:

Documents purchase, ownership, licensing and maintenance of all office-owned vehicles.

Content:

May include, but is not limited to: legal titles, registration documents, purchase invoice, contracts, warranties, inspections, maintenance logs.

Minimum Retention:**Retain titles, licenses, warranties, and maintenance records until vehicle is sold or disposed of. Retain registration records until superseded or disposition of vehicle.****Disposition:****Destroy**

Note:

Approval Date:

August 24, 2005

GS 069**Equipment Ownership and Maintenance Records**

Also Called:

Legal titles; warranties; maintenance log

Function:

Records documenting the legal ownership and maintenance of all office-owned equipment.

Content:

May include, but is not limited to: date of purchase or lease; purchase price; contract or lease agreement; warranty information; ownership information; make and model; owner's manual; maintenance/service agreements; maintenance logs.

Minimum Retention:**Retain for the life of the equipment, then transfer to the new owner of the equipment or destroy as appropriate.****Disposition:**

Note:

See also: Vehicle Ownership and Maintenance Records.

Approval Date:

August 24, 2005

GS 074**Audit Reports - Non-Financial**

Also Called:

Performance Audits; Attestation Engagements; Non-audit Services

Function:

Documents investigations or reviews prepared or conducted by internal/external auditors regarding the performance or management of a program, department or agency. Audits may assess effectiveness, economy, and efficiency; internal controls; and compliance with legal or other requirements. May also provide prospective analyses, guidance, or summary information.

Content:

May include, but is not limited to: reports; recommendations; working papers; analysis; supporting documents; correspondence.

Minimum Retention: Retain final reports permanently. Retain working papers and supporting Documentation 5 years from report date.
Disposition: Permanent records: Archive. Other records: Destroy.
Note: See also GS 002 Audit Reports - Financial.
Approval Date: August 24, 2005

GS 077 **Deeds and Conveyances**
Also Called: Dedication deeds; Record of Right of Way; Deed of Conveyance
Function: Transfer of property or property rights to/from a local government entity.
Content: May include, but is not limited to: names and addresses of grantors and grantees; description of property; date property was transferred or granted; cross-referenced volume; page number of recorder's plat books; and signature confirming transaction. Similar records in this series include title opinions, abstracts and certificates of title, title insurance, and documentation concerning alterations or transfer of title.

Minimum Retention: Permanent
Disposition: Archive
Note:
Approval Date: August 24, 2005

GS 078 **Ordinances and Resolutions**
Also Called:
Function: Legislative and non-legislative actions that document policy development. An ordinance defines a law set forth by the governmental authority; a resolution is a formal expression of opinion, will, or intent voted by the official body.
Content: May include, but is not limited to: ordinance or resolution number; title; text; date; appropriate signatures; seal; supporting documentation.

Minimum Retention: Permanent
Disposition: Archive. Microfilm for preservation.
Note: Codified ordinances and resolutions are considered reference copies and may be destroyed when superseded.
Approval Date: August 24, 2005; Revised August 25, 2015

GS 088 **Security Camera Video Recordings**
Also Called: Surveillance Camera Video
Function: Records activities in public area such as streets, parking garage, and public buildings— including city halls, schools, courthouses and jails.
Content:
Minimum Retention: 30 days and review
Disposition: Destroy/reuse
Note: Managers should extract significant information involving criminal or other liability issues prior to deleting video/reusing tape. Extracted video must be maintained until administrative/judicial proceedings are complete.
Approval Date: August 24, 2010

GS 098**Maps and Plats File**

Also Called:

Emergency Maps; Parking Meter Maps; Traffic Light Maps; Electrical Line Maps; Gas Line Maps; Water Pipe/Main Maps; Cemetery Maps and Plats; Landfill Site Map; Sewer Map; Street Map; Plat Map; etc.

Function:

General reference maps to political subdivision.

Content:

May include existing and proposed dwellings and structures, street maps, utility maps, annexation and zoning maps, landfill site location maps, etc.

Minimum Retention:**Original and all revisions, Permanent.****Disposition:****Archive; microfilm for preservation.**

Note:

Approval Date:

August 20, 2013

GS 101**Vehicle Operation Records**

Also Called:

Mileage log, Engine hours log, daily inspection reports, weekly inspection reports

Function:

Records documenting use of government vehicles, and daily safety inspections.

Content:

Minimum Retention:**Completion of Audit****Disposition:****Destroy**

Note:

Approval Date:

August 19, 2014

ASSESSOR RECORDS**002.004****Property Change Form**

Also Called:

Function:

Documents a legal change in property that affects taxation, such as owner, address, new parcel, acreage, dimensions, tax district, property lines or location, etc.

Content:

May include change code and number, parcel number, type of change, tax district code, owner and previous owner name and address, book and page of recording in county recorder's office for deed and plat, section, township and range, acreage, subdivision, lot and block, office routing documentation including map work, structure calculations, valuation, computer entry, assessment review, narrative description, and notations.

Minimum Retention:**5 Years****Disposition:****Destroy**

Note:

Approval Date:

November 19, 2003

002.006**Assessor's Books**

Also Called:

Abstracts

Function:

Summaries (alphabetical, numeric and map order) of all real estate and personal property assessments with values as of January 1. Data gathered from property record cards and personal property lists. Produced annually by the Assessor and forwarded to the Clerk for certification by the County Commission.

Content:

May include: name and address of property owner, legal description of property, assessed and appraised valuation by sub-classification, parcel identification number.

Minimum Retention:**5 Years****Disposition:****Destroy**

Note:

Approval Date:

November 19, 2003 7

002.009 **Tax Waiver**
Also Called: Tax Clearance Form, Clearance Slip, Licensing Permit
Function: Documents property not appearing on the tax record for previous year. Issued to new residents or persons in special circumstances. Original issued to taxpayer. copy retained in office.
Content: May include: name, address, account number, social security number, signature of applicant, Clerk, date, description of property.
Minimum Retention: **1 Year**
Disposition: **Destroy securely**
Note:
Approval Date: November 19, 2003 8

002.015 **Real Estate - Certificate of Value**
Also Called:
Function: Documents the nature and circumstances peculiar to the sale of real estate, whether any personal property was included in the sale price, whether the purchaser assumed any mortgages or liens, loans, leases or taxes, the method of financing, and whether any special assessments are levied against the property.
Content: May include: property address, parcel number, grantor, grantee and address, signature, purchase price, transaction information concerning market value, title transfer, reason for no exchange of money if applicable.
Minimum Retention: **5 Years**
Disposition: **Destroy**
Note: This records series is specific to charter forms of government and includes the City of St. Louis and the counties of Jackson, St. Charles, and St. Louis.
Approval Date: November 19, 2003

002.016 **Real Estate - Assessments**
Also Called: Assessment Book, Tax Register, City Block Order
Function: Shows current rate of assessment. Used at first of year.
Content: May include: name, address, valuation, legal description, parcel identification number, lending agency number, class code, redevelopment code, assessment district number, tax amount, and fees.
Minimum Retention: **5 Years**
Disposition: **Destroy securely**
Note:
Approval Date: November 19, 2003

002.020 **Tax Abatement Records**
Also Called: Abatement of Erroneous Tax Assessment, Abatement Form, Complaint for Review of Assessment
Function: Record of abatements or changes to tax assessments initiated in the Assessor's office.
Content: May include: date, name of taxpayer, type (real or personal) and amount of assessment, parcel number (if applicable), reason that original assessment was erroneous, corrected assessment amount, abated tax distribution, certification of Clerk, abatement number, property record number, date, name of employee who initiated abatement, final date, computer entry date, file number, and remarks.
Minimum Retention: **5 Years**
Disposition: **Destroy securely**
Note: See also: County Collector's schedule, 005.022 and County Clerk's schedule.
Approval Date: November 19, 2003

Board Approved 05-13-2020
Ordinance #559

002.024 **Maps - Aerial**
Also Called: Aerial photos
Function: An aerial photo or blueprint copy of photograph that serves as a base map for recording all changes in property which affect assessment and taxation. Includes any updated
Content: May include: land characteristics, including drainage, structures, vegetation and roads, dates of photography and subsequent updates, subdivision name, map legend, and locator index.
Minimum Retention: **Permanent**
Disposition: **Archive. Microfilm for preservation.**
Note:
Approval Date: November 19, 2003

002.025 **Maps - Composites**
Also Called:
Function: A paper map composed of all information contained in aerial maps and overlays.
Content: May include: land characteristics, including drainage, structures, vegetation and roads, dates of original photography and subsequent updates, subdivision name, map legend, and locator index.
Minimum Retention: **Permanent**
Disposition: **Archive. Microfilm for preservation.**
Note:
Approval Date: November 19, 2003 13

002.026 **Maps - Overlays**
Also Called:
Function: A Mylar original or blueprint copy of maps that documents changes to property subsequent to aerial photo base maps.
Content: May include: dates of original photography and subsequent updates, subdivision name, map legend and locator index. Information includes property plats, subdivision surveys, book and page of recording in county Recorder's office.
Minimum Retention: **Destroy when superseded. See Note.**
Disposition: **Destroy**
Note: Information from overlays should be included on composites before destruction.
Approval Date: November 19, 2003

002.027 **Maps - Reference**
Also Called:
Function: Lake, National Forest Land, Railroad Right of Ways, State Roads, Soil and Utility maps. Maps provided by outside sources to document land use/designation. Serves as reference copies for local government.
Content: May include: location of boundaries, roadways, structures, utilities, track, waterways, right-of-way and easements, acreage, survey data, plan and profile, construction data, ownership.
Minimum Retention: **Destroy when superseded.**
Disposition: **Destroy**
Note: Original records created and maintained by the issuing agency or body.
Approval Date: November 19, 2003

002.026 **Maps - Overlays**
Also Called:
Function: A Mylar original or blueprint copy of maps that documents changes to property subsequent to aerial photo base maps.

Content: May include: dates of original photography and subsequent updates, subdivision name, map legend and locator index. Information includes property plats, subdivision surveys, book and page of recording in county Recorder's office.

Minimum Retention: **Destroy when superseded. See Note.**

Disposition: **Destroy**

Note: Information from overlays should be included on composites before destruction.

Approval Date: November 19, 2003

002.027

Maps - Reference

Also Called: Lake, National Forest Land, Railroad Right of Ways, State Roads, Soil and Utility maps.

Function: Maps provided by outside sources to document land use/designation. Serves as reference copies for local government.

Content: May include: location of boundaries, roadways, structures, utilities, track, waterways, right-of-way and easements, acreage, survey data, plan and profile, construction data, ownership.

Minimum Retention: **Destroy when superseded.**

Disposition: **Destroy**

Note: Original records created and maintained by the issuing agency or body.

Approval Date: November 19, 2003

BUILDING RECORDS

GS 080

Buildings and Grounds Maintenance Records

Also Called:

Function: Documents all maintenance and repairs to buildings and grounds owned or leased by the local government entity. Used to verify that repairs were made.

Content: May include, but is not limited to: location, narrative of work completed, materials used, personnel completing work, authorization, dates of activities, and related data.

Minimum Retention: **3 years**

Disposition: **Destroy**

Note: See also: Capital Improvement Projects Files.

Approval Date: August 24, 2005

GS 099

Building Plans and Drawings

Also Called: Blueprint and Specification File

Function: Construction designs presented to local government for zoning/building approval

Content: Drawings and designs of proposed structures, may include specifications and construction documents.

Minimum Retention: **Commercial structures, 10 years after certificate of occupancy;**

Residential structures, 5 years after certificate of occupancy;

Other structures, 1 Year

Disposition: **Destroy**

Note: Local jurisdictions are encouraged to review plans for historical, legal, or administrative significance before destroying. "Other" plans include sheds, outbuildings, decks or other structures that do not fall under the categories of "Commercial" or "Residential." Please note, for government building plans and specification, see GS 023 Capital Improvement Projects File

Approval Date: August 20, 2013

ENVIRONMENTAL/HEALTH/SAFETY RECORDS

GS 083

Safety Incident Records

Also Called: Safety Investigation Records; Amusement Ride Accident Report
Function: Documents investigations of workplace injuries/amusement ride incidents.
Content: Includes at a minimum: date of incident, description of incident, factors that contributed to the incident, recommendations resulting from the investigation.
Minimum Retention: **5 years for workplace incidents;**
3 years for amusement ride incidents
Disposition: **Destroy**
Note: Workplace incident investigations retention mandated under 29 CFR 1904.33; 29 CFR 1910.119; Amusement ride maintenance, inspection and accident records mandated under RSMo 316.212.
Approval Date: August 24, 2010

GS 084

Maintenance Safety Compliance Records

Also Called: Lockout/Tag-out; Confined Workspace Permits; Hot work Permits
Function: Documents safety practices undertaken by maintenance staff in working on machinery, in confined spaces, in hazardous atmospheres, or performing operations capable of providing a source of ignition.
Content: Space to be entered; purpose of entry; date and authorized duration of entry; authorized personnel; personnel standing-by; entry supervisor; nature of hazard; measures taken to mitigate hazard before entry; acceptable entry conditions; results of condition testing; rescue/emergency service to contact; communication procedures; safety equipment provided; other information necessary to ensure employee safety.
Minimum Retention: **1 year**
Disposition: **Destroy**
Note: For more information, see 29 CFR 1910.146; permits should be reviewed annually to ensure compliance with confined-space program specified in CFR.
Approval Date: August 24, 2010

FINANCIAL RECORDS

GS 002

Audit Report - Financial

Also Called:
Function: Records documenting audits of the financial position of local government units. Conducted by local, state, federal and/or non-governmental auditing agencies in accordance with applicable statutory requirements. Subjects may include accounting principles and methods, the accuracy and legality of transactions, accounts, etc., and compliance with requirements, orders, and regulations of other public bodies pertaining to the financial condition or operation of the local government unit.
Content: May include: accountant's summary, combined financial statements, schedules, balance sheet details, comments, recommendations, and related data.
Minimum Retention: **Permanent**
Disposition: **Archive. Microfilm for preservation.**
Note: Provides administrative history of the office.
Approval Date: August 15, 2001

GS 003	Adopted Budget
Also Called:	Official Budget; Approved Budget
Function:	Records documenting the final annual financial plan approved by the city, county or other authorizing body.
Content:	May include: budget message, financial summaries, revenues and expenditures, operating programs, position and wage analysis, overhead allocations, organizational charts, previous actual and budgeted amounts, and related data.
Minimum Retention:	Permanent
Disposition:	Archive. Microfilm for preservation.
Note:	Provides administrative history of the office.
Approval Date:	August 15, 2001
GS 004	Budget Preparation Records
Also Called:	Budget Working Papers, Budget Requests
Function:	Documents used in the preparation of the annual office budget; Estimates, expenditures and disbursements.
Content:	May include: correspondence, budget requests, proposal and instructions, computer reports, notes, staff reports, worksheets, surveys, and other related materials.
Minimum Retention:	Completion of audit.
Disposition:	Destroy
Note:	
Approval Date:	August 15, 2001
GS 005	General Ledgers
Also Called:	Year end print-out with aggregate totals, Year-end ledger
Function:	Documents the summary of accounts, financial receipts and expenditures normally used to monitor, manage and verify the budget and financial position of the office.
Content:	May include: debit, credit and balance amounts per account, budget, fund and department numbers, and totals for notes receivable, interest income, amounts due from other funds, federal and state grants received, bank loans received, cash in escrow, deferred loans received, cash, encumbrances, revenues, accounts receivable, accounts payable and other data.
Minimum Retention:	Permanent
Disposition:	Archive. Microfilm for preservation.
Note:	Provides administrative history of the office.
Approval Date:	August 15, 2001
GS 006	Subsidiary Ledgers
Also Called:	Journals, Registers, Monthly Ledgers, Accounting Summary Report File, Revenue Sharing, Trial Balance Fund
Function:	
Content:	May include: date, payee, purpose, fund credited or debited, check number and similar or related data.
Minimum Retention:	Completion of audit.
Disposition:	Destroy
Note:	
Approval Date:	August 15, 2001

GS 007	Accounts Payable Records
Also Called:	Invoices, Vouchers, Warrants, Billing Records, Refund File
Function:	Records documenting payment of bills for goods and services received. Payment from general accounts.
Content:	May include: correspondence, reports, invoices, statements, vouchers, purchase orders, payment authorizations, receipt records, canceled checks or warrants, and similar documents.
Minimum Retention:	Completion of audit*#.
Disposition:	Destroy
Note:	*Per RSMo 50.172 (2), County Clerks must keep these records for five (5) years. #Per RSMo 198.052 and 19 CSR 30-85 Nursing Homes must keep these records for seven (7) years.
Approval Date:	August 15, 2001; Revised August 19, 2014
GS 008	Accounts Receivable Records
Also Called:	Cash Receipt File; Sales Tax/Use Tax Distribution
Function:	Records documenting revenues owed to the local government unit by citizens, organizations, other governmental units, vendors and others to be credited to general accounts. Also documents billing and collection of moneys.
Content:	May include: reports, receipts, invoices, awards, logs, lists, summaries, statements and similar records. Information may include: receipt amount, date, invoice number, name, account number, account balance, adjustment, and similar data.
Minimum Retention:	Completion of audit*
Disposition:	Destroy
Note:	*Per RSMo 198.052 and 19 CSR 30-85 Nursing Homes must keep these records for seven (7) years.
Approval Date:	August 15, 2001; Revised August 19, 2014; Updated July 11, 2018
GS 009	Purchasing Records
Also Called:	Purchase Orders Ledger, Purchasing Requests, Requisitions, Authorizations, Material and Cost specifications, Acquisition Orders.
Function:	Records documenting orders, authorization, and evidence of receipt of the purchase of goods and services by local government office.
Content:	May include: vendor number, project number, date of purchase order, department, vender name and address, shipping instructions, quantity ordered, unit of issue, description of goods/services ordered, unit price, extended price, purchasing agent signature, notations of shortages or damaged goods, signature of individual signing for receipt of goods/services.
Minimum Retention:	3 years plus completion of audit*
Disposition:	Destroy
Note:	*Per RSMo 198.052 and 19 CSR 30-85 Nursing Homes must keep these records for seven (7) years.
Approval Date:	August 15, 2001; Revised August 19, 2014
GS 010	Banking and Investment Records
Also Called:	Account Statements, Deposit books, Deposit and Withdrawal Slips, Cancelled checks, Check Registers, Passbooks, Statements and Receipts for Interest Income; Monthly Statements; Investment Returns; Certificates of Deposit; Treasury Bills.
Function:	Records documenting the transactions of government offices with financial institutions, the status of accounts, investments and the current status of public funds.

Content: May include: bank and/or account numbers, transaction dates, beginning balance, check or deposit amount, document numbers, adjustments, description of transaction, ending balance, and other related information.

Minimum Retention: **Completion of audit plus 1 year**

Disposition: **Destroy**

Note: This entry deals with the investment of public monies in banks, certificates of deposit, stocks and bonds. For the management of publically issued bonds, please see the appropriate office/entity retention schedule.

Approval Date: August 15, 2001; Revised August 28, 2012

GS 011 **Receipts**

Also Called:

Function: Copies of receipts issued by the office to persons paying fees, turning over funds, or for the accounting of petty cash expenses.

Content: May include: date, number, from whom received, amount, purpose, and authorizing signatures.

Minimum Retention: **Completion of audit**

Disposition: **Destroy**

Note:

Approval Date: August 15, 2001

GS 015 **Postal Records**

Also Called:

Function: Records documenting transactions with the US Postal Service and private carriers.

Content: May include: postal meter records, receipts for registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and related items.

Minimum Retention: **1 year**

Disposition: **Destroy**

Note:

Approval Date: August 15, 2001

GS 040 **Grant Records**

Also Called:

Function: Documents the application, evaluation, awarding, administration, monitoring, and status of grants in which a local government entity is the recipient, grantor, allocator, or administrator. Grants may come from federal or state governments or foundation and other private funding sources.

Content: Records may include but are not limited to: applications including project proposals, summaries, objectives, activities, budgets, exhibits, and award notification, grant evaluation records and recommendations concerning grant applications, grant administration records including progress reports, budgets, project objectives, proposals, and summaries, records documenting allocation of funds, contracts, records monitoring project plans and measuring achievement, equipment inventories, financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation.

Minimum Retention: **Retain final reports from significant grants permanently.**
Retain other grant records 3 years after submission of final report or as specified by the granting agency, whichever is longer.
Retain unsuccessful grant applications 1 year after rejection or withdrawal.

Disposition: **Permanent records: Archive. Other records: Destroy securely.**

Note:

Approval Date: August 19, 2003

GS 054

Fixed Assets Inventory

Also Called: Property Inventory; Property Control List; Equipment Inventory

Function: Listing of all fixed assets owned by local government.

Content: Information includes assets by department, method of acquisition, purchase authority, fund, origination, physical location.

Minimum Retention: Retain current inventory in office until superseded. Retain superseded inventories through Completion of Audit.

Disposition: Destroy

Note:

Approval Date: August 24, 2004

GS 055

Bid Records

Also Called: Bids and Quotes File, Bids and Specs

Function: Documents the publicizing, evaluation, and awarding of quoted bids to vendors and other individuals or organizations. Provides recorded evidence of accepted and rejected bids.

Content: May include requests for proposals (RFP), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, bid award letter and other related correspondence or records.

Minimum Retention: Accepted, destroy 5 years after contract expiration if filed separately from Contracts and Agreements.

Rejected, destroy when 3 years old or on completion of audit whichever is later.

Disposition: Destroy

Note:

Approval Date: August 24, 2004

GS 056

Insurance Policy Records

Also Called:

Function: Documents the terms and conditions of insurance policies between local government and insurers. Types of insurance include liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others.

Content: Records usually include policies, endorsements, premium rate change notices, agent of record, and related documents.

Minimum Retention: Retain until canceled or expired, plus 6 calendar years. Retain insurance policy and carrier information until all claims have been settled.

Disposition: Destroy securely.

Note: Policies in effect are considered VITAL RECORDS (see introduction) and as such, duplicate copies should be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

Approval Date: August 24, 2004

GS 068

Payroll Records

Also Called: Payroll Register; Payroll Earnings and Deduction Registers; Employee Earnings Record; Payroll Journal; Payroll Check Register; Employee Payroll Adjustment Files; CERF Form DE, County Deposit Exception; Garnishment File.

Function: Documents the earnings, deductions, and withholdings of employees.

Content: May include, but is not limited to: employee name; address; social security number; date of payment; hours worked; gross pay; withholdings for taxes and retirement; net pay; voluntary deductions for life or health insurance, credit union accounts, pension fund, etc. May also include year-to-date earnings and deductions which culminate in a final year-to-date summary report. Employee Payroll Adjustment Files include employee name or number and display current adjustments to payroll master file such as rate, marital status, insurance premiums, other deductions, garnishments, federal and state withholdings, errors, etc. Payroll Journal or Check Register may also include the payroll check number and the amount of the check.

Minimum Retention: **Retain Year-to-Date Annual Summary 70 years for administrative purposes. Retain all other records 5 years.**

Disposition: **Destroy securely.**

Note:

Approval Date: August 24, 2005

GS 070 Expense Reimbursement Records

Also Called: Travel Vouchers; Expense Reports; Uniform Allowance; Equipment Allowance

Function: Records documenting requests, authorizations, mileage, claims for reimbursements and other actions related to employment expenses.

Content: May include, but is not limited to: employee's expense report, expense receipts, check vouchers, authorizations to pay, purchase orders and other supporting papers.

Minimum Retention: **Completion of audit plus 1 year.**

Disposition: **Destroy**

Note:

Approval Date: August 24, 2005; Revised August 21, 2018

GS 073 Annual Financial Statements

Also Called: Annual Financial Reports; Financial Statement File; Semiannual Financial Statements

Function: Documents the general financial condition and operation of the local government entity on an annual basis.

Content: May include, but is not limited to: receipts or revenues for each of the funds set up by the local government during the designated year; disbursements or expenditures for each of the funds during the designated year; changes in cash for each of the funds during the designated year; comparisons of the receipts, disbursements, and change in cash with the corresponding budgeted information for the various funds.

Minimum Retention: **Retain 5 years; Retain permanently if not included in audit report file. ***

Disposition: **Archive. Microfilm for preservation.**

Note: *Semiannual financial reports which have not been compiled into a comprehensive annual report, must be maintained like annual reports. For examples of semiannual financial report requirements, see: RSMo 77.110; 79.160; 80.210. If an annual financial report is generated, see GS 076 for retention of semiannual report.

Approval Date: August 24, 2005; Updated May 4, 2015

LEGAL RECORDS

GS 057

Insurance Claims Files

Also Called:

Damage and Loss Report; Accident Report (government-owned) vehicle

Function:

Documents various types of insurance claims filed against local government. These include personal injury, property damage, motor vehicle accident, false arrest, and others.

Content:

May include: insurance claim forms, copy of hospital, physician, ambulance and medication bills, death and birth certificates, reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents used in processing the claim.

Minimum Retention: **If legal action taken, retain 10 years after case disposed, or date of last action; If no legal action taken, retain 5 years + legal review.**

Disposition:

Destroy securely.

Note:

Approval Date:

August 24, 2004; Revised August 24, 2017

GS 059

Legal Opinions

Also Called:

Legal opinions (requested by local government); Attorney General opinions; legal \ reviews.

Function:

Formal opinions rendered by government counsel. Documents the rationale for policy and maintains consistency in related issues.

Content:

Information usually includes date, office requesting opinion, and the text of the opinion.

Minimum Retention: **Retain until superseded, or outdated. ***

Disposition:

Destroy

Note:

*Counsel should review all legal records in this series before destruction for ongoing administrative, legal or policy value.

Approval Date:

August 24, 2004; Revised August 25, 2015

GS 060

Contracts, Leases, and Agreements

Also Called:

Memorandum of Understanding

Function:

Official agreements enforceable by law to acquire services, equipment, or maintenance. Documents the terms and conditions of agreements between local government(s), private companies, and individuals.

Content:

May include contracts, exhibits, bid documents, change orders and amendments, leases, agreements and significant related correspondence. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. May also include leases, rental schedules, specifications, bids awarded and attached copies of payments, receipts, and other supporting papers used in managing the contract.

Minimum Retention: **5 years after expiration***

Prevailing wage documentation – 1 Year after completion of contract

Disposition:

Destroy

Note:

Contracts, leases and agreements in effect are considered VITAL RECORDS (see introduction). Recommend duplicate copies be maintained in a secure location, accessible to authorized personnel in the event of an emergency.

*Consult RSM0 516.110 for any exceptions. Prevailing wage, see 8 CSR 30-3.010 Approval

Approval Date:

August 24, 2004; Revised August 28, 2012; Revised, August 24, 2017;
Revised August 21, 2018.

PERSONNEL RECORDS

GS 026

Employee Personnel Records

Also Called:

Function:

The master personnel records maintained for each employee.

Content:

May include: job application, notices of appointment, personnel transaction records reflecting position classification and salary level, employee orientation checklists, payroll withholding information, leave summary record, performance documentation, and other records related to an individual's employment.

Minimum Retention:

**Master personnel file, date of separation + 10 years;
Employment summary, date of separation + 20 years***

Disposition:

Destroy securely.

Note:

Duplicate copies may be kept at the office or department level. These records should be retained one year following separation, then transferred to the Personnel Officer for evaluation.

* If no employment summary is prepared, the personnel file is kept 20 years after separation. Summary files contain the following pertinent information condensed from the personnel files: appointments, resignations, promotions, salary history, years of service, and all accumulate leave.

Approval Date:

August 19, 2003; Revised August 20, 2013; Revised August 25, 2015

GS 027

Employee Medical Records

Also Called:

Family Medical Leave Act Records; Americans with Disabilities Act Records; Hazardous Exposure Records; Employment Physicals or Screenings.

Function:

Records documenting an individual employee's work related medical history.

Content:

Records may include but are not limited to: medical examination records (pre-employment, pre-assignment, periodic, or episodic), X-rays, records of significant health or disability limitations related to job assignments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records (see below), drug testing records, first aid incident records, physical examination statements, Family Medical Leave Act records, release consent forms, and related correspondence. Hazard exposure records document an employee's exposure to hazardous conditions such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous conditions.

Minimum Retention:

**Hazard Exposure Records 30 years after separation;
All other records 7 years after separation.**

Disposition:

Destroy securely

Note:

These records are not personnel records. Pursuant to the Americans with Disabilities Act, medical records must be kept physically separate from personnel records. See also: 29 CFR 1910.1020 for more information on the retention of Hazard Exposure Records.

Approval Date:

August 19, 2003; Updated January 8, 2015

GS 028

Time and Attendance Records

Also Called:

Time sheets, Time Cards, Attendance reports, Absence reports, Sign in/Sign out cards, Work Assignment Schedule, Work Schedule, Work Assignment File.

Function:

Records documenting hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. Also documents hours of court ordered community service completed by non-employees.

Content:

May include: name, social security number, hours worked, type and number of leave hours taken or accrued, total hours, dates, signatures and related data.

Minimum Retention: 3 years plus completion of audit.
Disposition: Destroy securely.
Note: See also: Leave Requests
Approval Date: August 19, 2003

GS 031 Employment Eligibility Verification Forms

Also Called: I-9 Forms
Function: Documents the filing of US Immigration and Naturalization Service form I-9, which verifies that an applicant or employee is eligible to work in the United States.
Content:
Minimum Retention: 3 years from date of hire, or 1 year after date of separation, whichever is later.
Disposition: Destroy securely.
Note: This form is not part of the Employee Personnel Record and should be filed separately.
Approval Date: August 19, 2003; Revised August 24, 2017

GS 033 Wage and Tax Statements

Also Called: Federal tax form W-2
Function: Annual statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax.
Content: Information includes employer name and tax identification number, employee name and social security number, wages paid, amounts withheld, and related data.
Minimum Retention: 5 years
Disposition: Destroy securely.
Note: See also: Federal and State Tax Forms in this section for related records.
Approval Date: August 19, 2003

GS 034 Federal and State Tax Records

Also Called:
Function: Records used to report the collection, distribution, deposit, and transmittal of federal and state income, social security, and unemployment taxes.
Content: Examples include the federal miscellaneous income statement (1099), request for taxpayer identification number and certificate (W-9), employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), and similar federal and state completed forms.
Minimum Retention: 5 years
Disposition: Destroy securely.
Note: See also: Wage and Tax Statements and Withholding Allowance Certificates in this section for related records.
Approval Date: August 19, 2003

GS 035 Employee's Withholding Allowance Certificates

Also Called: W-4 form
Function: Documents the exemption status of individual employees.
Content: Information includes employee name and address, social security number, designation of exemption status, and signature.
Minimum Retention: 5 years after superseded or employee separation.
Disposition: Destroy securely.
Note: See also: Federal and State Tax Forms for related information.
Approval Date: August 19, 2003

GS 042**Volunteer Worker Records**

Also Called:

Function:

Content:

Documents work performed by citizens without compensation for their services.

May include agreements, applications, skills test results, training documentation, tasks assigned and monitoring records, and related information.

Minimum Retention: 3 years after separation.**Disposition: Destroy securely.**

Note:

Approval Date: August 19, 2003

GS 061**Employment Grievance and Complaint Records**

Also Called:

Function:

Content:

Grievance Record

Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. Often relates to interpretations and alleged violations of employment contracts.

May include complaints, investigation records, interview and hearing reports, arbitrator's findings and decisions, tape recordings and related records.

Minimum Retention: 5 years after final disposition.**Disposition: Destroy securely.**

Note:

Approval Date: August 24, 2004
May be filed with employee's personnel records.**GS 062****Employment Recruitment and Selection Records**

Also Called:

Function:

Content:

Employee Application Files; Applications for Employment

Documents the recruitment and selection of employees. Records may also document the recruitment and selection of contracted service providers such as attorneys, auditors, insurance agents, consultants, and others.

Records may include but are not limited to job announcements and descriptions, applicant lists, applications and resumes, position advertisement records, civil service and other examination records, classification specifications, affirmative action records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certifications of eligible applicants, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and ratings levels), and related correspondence and documentation.

Minimum Retention: Retain announcement records, position description, and test and rating records 3 years; Retain unsolicited applications and resumes 6 months if not returned to the solicitor; Retain unsuccessful applications, background checks and other records 1 year after position filled or recruitment canceled.**Disposition: Destroy securely.**

Note:

See also: Employee Personnel Records and Employment Eligibility Verification Forms (1-9).

Approval Date: August 24, 2004

GS 063**Position Description, Classification, and Compensation Records**

Also Called:

Function:

Content:

Records document the description, classification, and compensation of jobs and positions. Usually includes details of duties and responsibilities of each position, time percentage breakdowns of tasks, skills and abilities needed for each position, and related records documenting the development, modification, or redefinition of each job or position. Records often include reports, position descriptions, position evaluations, compensation studies, wage determination surveys, job analyses, interview data, selection criteria, authorizations, agreements, and related records.

Minimum Retention: 3 years after obsolete or superseded.**Disposition:** Destroy

Note:

Approval Date: August 24, 2004

GS 091**Worker's Compensation Case File**

Also Called:

Function:

Content:

Worker's Compensation Claims; Worker's Comp

Documents claims filed against local government

May include: insurance claim forms, copy of hospital, physician, ambulance and medication bills, death and birth certificates, reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents used in processing the claim.

Minimum Retention: If action taken, retain 10 years after case closed, dismissed, or date of last action; If no action taken, retain 3 years.**Disposition:** Destroy

Note:

Approval Date: August 24, 2010

GS 100**Health Policy Documentation**

Also Called:

Function:

Content:

Documents HIPAA privacy notices of disclosure of health information

May include: policies, training provided, complaints, notice of privacy practices, authorizations, information required to be in accounting, restriction request agreements verification documents, etc.

Minimum Retention: 6 Years**Disposition:** Destroy

Note:

Per 45CFR164.530

Approval

Date: August 19, 2014

WATER DISTRICT RECORDS

WD001

Water Analyses-Reports and Data

Also Called:

Microbiological Analyses; Turbidity Analyses; Operational Analyses; Chemical Analyses

Function:

Document results of water supply analysis.

Content:

May be written report, or tabular data. Per CSR, should include: date, address, place, and time of sampling; identification of the sample (routine distribution system sample, check sample, raw or other special purpose water sample); date of analysis; laboratory and technician responsible for performing analysis; analytical method used and results.

Retention:

**Microbiological, Turbidity and Operational, 5 Years;
Chemical, 10 Years**

Disposition:

Destroy

Note:

10 CSR 60-9.010 (1)(A); copies of monitoring plans shall be kept for the same period of time as the records of analyses, except as specified elsewhere in 10 CSR 60

Approval Date:

August 20, 2013

WD002

Water Analyses-Original Records

Also Called:

Water Analysis Source Records; Water Analysis Procedure Records

Function:

Document the sampling and procedures of water supply analysis.

Content:

May contain sampling data, reports, surveys, letters, evaluations, schedules, state determinations.

Retention:

12 Years

Disposition:

Destroy

Note:

10 CSR 60-9.010 (1)(E); these document information required by 10 CSR 60-5.010, 10 CSR 60-5.020, 10 CSR 60-7.020, 10 CSR 60-15.010-10, 10 CSR 60-15.090

Approval Date:

August 20, 2013

WD003

Violations and Corrective Actions Records

Also Called:

Function:

Document actions taken to correct violations of clean water standards.

Content:

Retention:

3 Years after correction; corrections taken under the Ground Water Rule, 10 Years

Disposition:

Destroy

Note:

10 CSR 60-9.010 (1)(B); 10 CSR 60-9.010(4)(A)

Approval Date:

August 20, 2013

WD004

Variances and Exemptions

Also Called:

Function:

Records documenting variances and exemptions granted to water system by DNR.

Content:

Retention:

5 Years after expiration

Disposition:

Destroy

Note:

10 CSR 60-9.010 (1)(D)

Approval Date:

August 20, 2013

WD005	Public Notices and Certifications
Also Called:	
Function:	Documents notices of violations under 10 CSR 60-8.010, or of waterborne disease attributable to water system pursuant to 10 CSR 60-7.010(9).
Content:	
Retention:	3 Years after issuance
Disposition:	Destroy
Note:	10 CSR 60-9.010 (1)(F); 10 CSR 60-9.010(4)(B)
Approval Date:	August 20, 2013
WD006	Long-Term 2 Enhanced Surface Water Treatment Rule-Results
Also Called:	
Function:	Records from initial and second round of source water monitoring under 10 CSR 60-4.052 (2) (A-B) until bin classification under 10 CSR 60-4.053 (10).
Content:	
Retention:	3 Years
Disposition:	Destroy
Note:	10 CSR 60-9.010(3)(A)
Approval Date:	August 20, 2013
WD007	Long-Term 2 Enhanced Surface Water Treatment Rule-Exemptions
Also Called:	
Function:	Notices to DNR that system will not conduct source water monitoring due to meeting criteria of 10 CSR 60-4.052(2)(D).
Content:	
Retention:	3 Years
Disposition:	Destroy
Note:	10 CSR 60-9.010(3)(B)
Approval Date:	August 20, 2013
WD008	Long-Term 2 Enhanced Surface Water Treatment Rule-Microbial Toolbox Options
Also Called:	
Function:	Results of treatment monitoring under 10 CSR 60-052 (14-18).
Content:	
Retention:	3 Years
Disposition:	Destroy
Note:	10 CSR 60-9.010(3)(C)
Approval Date:	August 20, 2013 7
WD009	Ground Water Rule-Decisions and Invalidation
Also Called:	
Function:	Records of decisions under 10 CSR 60-4.025(3)(A)(6)(B) and records of invalidation of fecal indicator-positive ground water source samples under 10 CSR 60-4.025(3)(D).
Content:	
Retention:	5 Years
Disposition:	Destroy
Note:	10 CSR 60-9.010(4)(C)
Approval Date:	August 20, 2013

WD010**Ground Water Rule-Coliform Positive Samples**

Also Called:

Function:

Documentation of notification to the wholesale system(s) of total-coliform *positive* samples that are not invalidated under 10 CSR 60-4.020(3).

Content:

Retention:**5 Years****Disposition:****Destroy**

Note:

10 CSR 60-9.010(4)(D)

Approval Date:

August 20, 2013

WD011**Ground Water Rule-Minimum Disinfectant Residual Records**

Also Called:

Function:

Records from systems that are required to perform compliance monitoring under 10 CSR 60-4.025(4)(B). Records of the specified minimum disinfectant residual.

Content:

Retention:**10 Years****Disposition:****Destroy**

Note:

10 CSR 60-9.010(4)(E)(1)

Approval Date:

August 20, 2013

WD012**Ground Water Rule-Lowest Daily Disinfectant Concentration Records**

Also Called:

Function:

Records from systems that are required to perform compliance monitoring under 10 CSR 60-4.025(4)(B). Records of the lowest daily residual disinfectant concentration.

Content:

Retention:**5 Years****Disposition:****Destroy**

Note:

10 CSR 60-9.010(4)(E)(2)

Approval Date:

August 20, 2013

WD013**Ground Water Rule-Failure to Maintain Minimum Disinfectant Concentration Records**

Also Called:

Function:

Records from systems that are required to perform compliance monitoring under 10 CSR 60-4.025(4)(B). Records of the date and duration of any failure to maintain the prescribed minimum residual disinfectant concentration for a period of more than four hours.

Content:

Retention:**5 Years****Disposition:****Destroy**

Note:

10 CSR 60-9.010(4)(E)(2)

Approval Date:

August 20, 2013

WD014**Ground Water Rule-Membrane Filtration**

Also Called:

Function:

Records from systems that are required to perform compliance monitoring under 10 CSR 60-4.025(4)(B). Records of compliance requirements for membrane filtration and of parameters for alternative treatment and records of the date and duration of any failure to meet the membrane operating, membrane integrity, or alternative treatment operating requirements for more than four hours.

Content:

Retention:**5 Years****Disposition:****Destroy**

Board Approved 05-13-2020

Ordinance #559

Note: 10 CSR 60-9.010(4)(E)(3)
Approval Date: August 20, 2013

WD015 **Meter Records**
Also Called: Route book, Meter book
Function: Records documenting consumption statistics.
Content: May include make of meter, size, number, street, location, customer's name and address, readings, etc.
Retention: **5 Years**
Disposition: **Destroy**
Note:
Approval Date: August 20, 2013

WD016 **Summary Reports**
Also Called: Computer Sheets, Meter Reading Summary Reports
Function: Monthly summary of reading and amount of usage.
Content:
Retention: **5 Years**
Disposition: **Destroy**
Note:
Approval Date: August 20, 2013 9

WD017 **Delinquent Notices**
Also Called:
Function: Documentation of delinquent payments/non-payment by customers.
Content:
Retention: **2 Years + Audit**
Disposition: **Destroy**
Note:
Approval Date: August 20, 2013

WD018 **Inspection records**
Also Called: Backflow Prevention Records
Function: Documentation of inspections, tests, or repairs on equipment.
Content:
Retention: **5 Years**
Disposition: **Destroy**
Note:
Approval Date: August 20, 2013

WD019 **Complaint Records**
Also Called:
Function: Documentation of customer complaints.
Content:
Retention: **5 Years**
Disposition: **Destroy**
Note: Per 10 CSR 60-3.030(3)(B)(2). This is an exception to GS049 Request and Complaint Files.
Approval Date: August 20, 2013

WD020	Capital Improvement Plan
Also Called:	
Function:	Documents 5-year capital improvement budget and plan, updated annually.
Content:	
Retention:	10 Years
Disposition:	Destroy
Note:	10 CSR 60-3.030(3)(C)(2), mandates the creation of this record. For Capital Improvement Project Records, see General Schedule, GS 023.
Approval Date:	August 20, 2013
WD021	Infrastructure Records
Also Called:	Meter Location Records; Meter Location Cards; Valve Location Cards; Valve Location Records; District Maps.
Function:	Documentation of location of district infrastructure.
Content:	
Retention:	PERMANENT
Disposition:	
Note:	
Approval Date:	August 20, 2013 10
WD022	Sanitary Survey Records
Also Called:	
Function:	Documentation of sanitary surveys by the system, private consultant, or government agency.
Content:	May contain reports, summaries, correspondence.
Retention:	10 Years after completion of survey
Disposition:	Destroy
Note:	10 CSR 60-9.010(1)(C)
Approval Date:	August 20, 2013

Documents/Retention Schedule/COM Retention Disposition Schedule June 10 2020.docx

