

CITY OF ROCHESTER HILLS

**PUBLIC RECORDS RETENTION AND DISPOSAL
SCHEDULE—EXPLANATION AND BACKGROUND
INFORMATION**

Note: This Records Retention and Disposal Schedule has been prepared as part of the City's Records Automation Management Program (RAMP) Project. This project has been supported by the City's RAMP Project consultant, PlanGraphics, Inc. and has included participation from all City Departments and Offices. This work has been preceded by a detailed inventory of City records, research on applicable laws, regulations, and policies, and discussions with personnel of the State Dept of History Arts and Libraries-Records Management Services Division. This report accompanies the detailed RRDS which is in the form of a table formatted as an excel file (see file "1357.5 Records Retention Schedule Draft 5.1 12-2006.xls")

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1. Introduction

Records of all types generated and maintained by the City are the primary means by which public information is documented and conveyed. City officials and employees have a responsibility to manage these records properly in compliance with laws and policies under which the City operates (see Section 2). Public records are the property of the people of the State of Michigan. As a result, all Michigan government agencies are responsible for ensuring that the public records they create and receive while conducting public business are retained and destroyed in accordance with Michigan law. A “Retention and Disposal Schedule” identifies how long the records must be kept, when they may be destroyed or archived for permanent preservation. The underlying reason for establishing a formal records retention and disposal schedule is that public records have value and are needed for on-going operations of City programs and services. Retention schedules are driven by one or more of the following drivers:

- Legal: specific laws, regulations, contract requirements, or court mandates that require the maintenance of certain records.
- Administrative: City programs and the operational responsibilities dictate the need to maintain and allow access to records
- Historical: Cases in which records are not needed for routine operations but should be archived to preserve important information about the history of the City and governmental programs and actions.

Retention periods based on administrative requirements can in some cases, exceed legal requirements if City management personnel determine that this is necessary to support City programs and business needs. Records management programs often make a special designation for “vital records” which are considered to be mission-critical records essential for resumption/continuance of operations in the event of a disaster. This includes certain types of legal, human resources, and city infrastructure which are critical for on-going operations.

All Retention and Disposal Schedules must be formally approved by the State Dept. of History Arts, and Libraries-Records Management Services, the Archives of Michigan, and the State Administrative Board. Retention periods listed on approved Retention and Disposal Schedules have the force of law. A Records Retention and Disposal Schedule does not mandate that certain records be created by the City but if they are created in the normal course of business, the schedule establishes a retention period for them.

2. Legal and Policy Mandates Driving Records Management

A number of state laws and City mandates establish requirements and provide a formal foundation for the City's Records Management Program. Principle among these are the following:

- The Michigan Freedom of Information Act (FOIA) (Public Act 442 of 1976, as amended), defines public records as recorded information "prepared, owned, used, in the possession of, or retained by a public body in the performance of an official function, from the time it is created." FOIA places requirements upon government agencies to make public records available and defines rules under which records requests are responded to. FOIA also provides for exemptions on outside distribution for certain types of public records.
- Section 491 of the Michigan Penal Code (MCL 750.491) declares that all official books, papers, and records created by (or received in) any office or agency of the political subdivisions of the state of Michigan are considered public property, belonging to the people of the state. The law declares the improper disposal of local government records to be a crime and establishes criteria for criminal charges.
- Section 5 of the Michigan Historical Commission Act (MCL 399.5) provides that all records required to be kept by local public officers in the discharge of their duties, records required to be filed in local public offices, and records which represent memorials of transactions of local public officers, are considered to be property of this state.
- Open meetings Act of 1999 (MCL 15.261) defines requirements for open meeting forums for governmental bodies and associated records keeping and access.
- The City Charter (Section 12.6 affirms the responsibility of the City to comply with FOIA in the management of and providing access to public records. All City offices have a responsibility to meet the terms of public records management laws but the Charter (Section 8.11, places special responsibility upon the City Clerk's Office, specifically to: a) Keep a record of all ordinances, resolutions and actions of the Council, b) "be custodian of the City Seal, and affix it to all documents and instruments requiring the Seal and shall attest the same", c) "Be custodian of all papers, documents and records", d) "Issue and sign all licenses granted after the license fee has been paid to the Treasurer"

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In addition to the general rules above, there other state, federal, or local legislation, regulations, formal policies, and contract provisions identify specific records management requirements specific to certain types of documents or programs. Table 1 identifies many of the laws, regulations, formal policies which drive and influence records management practices.

Table 1: Formal Mandates Driving Public Agency Records Management

Federal US FOIA, Copyright law, HIPAA, federal regulations (e.g., EPA,

	NPDES, OSHA, IRS), laws governing records access for court proceedings, personal privacy laws and rules, Patriot Act
	Most important State laws and regulations include: State Constitution, Freedom of Information Act, Records Reproduction Act, Historic Records Commission Act, HAL existing records retention schedules, Email Retention Guidelines (HAL), State Penal Code.
State	Many other state laws, regulations, and rules that impact certain types of public records management. Examples include: General Property Tax Law, Uniform Budgeting and Accounting Act, State Financial Reporting Act , MCL 560(Land Divisions), State Election Law, Public Employee Relations Act, State municipal planning laws, State agency regulations (MDNR, MDEQ, State Open Meetings Act, Fire Prevention Act
Local	City Charter, City Ordinances, Council Rules and Procedures, various Council resolutions, Guidelines issues by independent boards, Executive Orders
Other (professional practices, formal agreements)	Formally defined best practices (e.g., GAAP, GASB), MITN agreements, Union contracts, professional certification and training guidelines, professional services or support contracts, project agreements with other government jurisdictions

3. Description of Retention Schedule and Disposal Schedule Components and Content

The Records Retention and Disposal Schedule (RRDS) is presented in table form. Columns of the table contain information identifying categories of records and retention information. This Section provides explanatory information about the RRDS so it can be interpreted properly.

3.1 Sources Consulted

A number of sources were used to prepare the RRDS. Principle among these are:

- Records retention schedules prepared by the Michigan Municipal League (MML schedule)
- City of Rochester Hills document inventory and input from City office management personnel
- Discussions with and guideline documents from the Michigan Dept. History, Arts, Libraries (HAL) Records Management Services Division including:
 - State of Michigan Local Government Records Management Manual (HAL publication,

- www.michigan.gov/documents/hal_mhc_rms_Local_RM_Manual_116243_7.pdf),
- Email Retention Guidelines (www.michigan.gov/documents/E-Mail_Retention_Guidelines_126565_7.pdf)
 - “Michigan Local Government Records are in Danger—Michigan Local Government Records Management Task Force” (HAL publication, www.michigan.gov/documents/hal_mhc_rms_localtf_whitepaper_149325_7.pdf)
- State of Michigan Legislation impacting records management including:
 - Freedom of Information Act ([www.legislature.mi.gov/\(z2tiz5552kk422ay5mlkbh2h\)/documents/mcl/pdf/mcl-Act-442-of-1976.pdf](http://www.legislature.mi.gov/(z2tiz5552kk422ay5mlkbh2h)/documents/mcl/pdf/mcl-Act-442-of-1976.pdf))
 - the Records Reproduction Act ([www.legislature.mi.gov/\(z2tiz5552kk422ay5mlkbh2h\)/documents/mcl/pdf/mcl-Act-116-of-1992.pdf](http://www.legislature.mi.gov/(z2tiz5552kk422ay5mlkbh2h)/documents/mcl/pdf/mcl-Act-116-of-1992.pdf))
 - Historic Records Commission Act ([www.legislature.mi.gov/\(z2tiz5552kk422ay5mlkbh2h\)/documents/mcl/pdf/mcl-Act-271-of-1913.pdf](http://www.legislature.mi.gov/(z2tiz5552kk422ay5mlkbh2h)/documents/mcl/pdf/mcl-Act-271-of-1913.pdf))
 - Records Retention Schedule from the Michigan Municipal League (MML)
 - Current Records Retention Schedules approved or under review by HAL (see www.michigan.gov/hal/0,1607,7-160-17451_18673_31548-56101--,00.html) including:
 - Schedule #1 (Non records material, www.michigan.gov/documents/hal_mhc_rms_GS1_local_110758_7.pdf)
 - Draft Schedule #18 (Fire Departments)
 - Schedule #6 (County Clerk, www.michigan.gov/documents/hal_mhc_rms_GS6_local_124246_7.pdf)
 - Records Retention Schedules for municipal governments in other states including Colorado (www.colorado.gov/dpa/doit/archives/rm/MunicipalRMM/index.htm) and Connecticut (www.cslib.org/retschedules.htm)
 - A number of books and professional publications including
 - Records and Information Management, ARMA publication #A4730, 2004
 - Retention Management for Records and Information, ARMA publication #V4758, 2005
 - Managing Electronic Records, ARMA publication #A4721, 3rd edition, 2002
 - Authentic Electronic Records, by C.M. Dollar, 2000, published by Cohasset Associates

3.2 Description of RRDS Components

This Section includes a description of the Records Retention and Disposal Schedule (RRDS) which is presented in table form which identifies “record series” for which

record retention period applies and includes other information necessary for managing records retention and disposal. This Section contains a full explanation of the components of the RRDS.

Record Series Name and Record Series ID

These columns in the RRDS table identify the particular category of records to which a retention period is assigned. A “records series” is a logical grouping of related records normally filed together to support a specific business process. Each record series general includes several types of records. For instance, the records series, “Building Permit Inspection Records” includes a number of different records (forms, sketches, related correspondence) that document City inspection action of permitted buildings or structures under construction. Each Record Series is assigned an ID code which is hierarchical in nature. The first level of the hierarchy, designated by a capital letter, refers to the major business area in the City--in most cases directly relating to a particular Department (i.e., the Assessing Department is “B”, the Building Department is “C”, etc.). While certain records may be produced, used, and stored by multiple Departments (original or duplicate copies), an attempt has been made to associate a record series with the City Department or Office that is most directly responsible for its creation and maintenance (so as not to have redundant set of record series shown in the schedule). There is a general category called “General Administrative Records”, assign a high-level code of “A” which is used to identify record series not associated with a specific Department or business area but which apply to multiple City offices.

The major Record Series categories are:

- A. General Administrative Records
- B. Assessing Department
- C. Building Department
- D. Clerk’s Office (including Accounting, Elections, Cemetery, Council support)
- E. Department of Public Services (including Engineering and Garage)
- F. Fire Department
- G. Human Resources
- H. Mayor’s Office (including Fiscal and Purchasing)
- I. Legal Cases and Litigation
- J. Parks & Forestry Department
- K. Planning and Development Department
- L. Treasurer’s Office

Record Series under each of the major categories above are identified with the letter and a sequential number (e.g., A1, A2, etc.). In many cases there is a third level of the hierarchy (e.g., A2.1) when it is useful to identify a Record Series in more detail.

Retention Period

This component of the retention schedule establishes a prescribed period of time for which records in each record series must be maintained by the City. This means that after this period has expired for a particular record, the record should be disposed of in the prescribed manner (see description under *Disposition Action*, below). Any record that is

subject to a FOIA request, legal or administrative investigation, or other formal proceedings may not be disposed of regardless of its assigned retention period.

HAL has suggested a consistent set of codes (see www.michigan.gov/hal/0,1607,7-160-17451_18673_31548-99621--,00.html) for describing the retention period. These codes associate the period with an event, starting point, or formally defined cycle (e.g., fiscal year) that establishes a basis for the retention period. In addition to the retention codes, described below, a segment of time, (normally years but months could also be used) are used to define the total retention period.

The retention codes used are described below:

ACT = Active: An active code is usually assigned to records that are case or project related (construction project, legal case, etc.). The records are retained “until the case or project is closed.” This code can also be applied to records where a subjective decision is needed to determine when the records become inactive, as with a subject file. The record is retained “until it is determined to be inactive.” The retention period is applied when the ACT condition has been met. For instance, a case file might be retained until the case is closed (ACT) plus five years.

CR = Creation: A creation code is assigned to records when a definitive retention period can be assigned. The retention period is usually based on a calendar year and where there are no conditions that must be met. For instance, correspondence has a two-year retention period. The retention period begins from the date the correspondence is created or received.

EXP = Expiration: An expiration code is typically assigned to contracts, grants or other types of agreements that must be retained until an expiration date or other legal condition has been met. For instance, contracts may be held until contract expiration (EXP) plus six years.

FY = Fiscal Year: A fiscal year code is similar to a CR code. The code is assigned to records when a definitive retention period can be assigned, however the retention is based on a fiscal year rather than a calendar year. This retention code is usually assigned to accounting records and their supporting documentation.

SUP = Superseded: A superseded code is typically assigned to records that are updated or revised at various times during the records lifetime. Examples would include policies or procedures, technical manuals, etc.. As a policy is updated and the old version is replaced or superseded, only the current version is needed.

EVT = Event: Event codes are assigned to records when a retention period is based on a future action or condition. We use this code when we know that a future action or condition will be met, but we don't know exactly when it will happen. For instance, the departure or termination of an employee impacts retention of various personnel records or the relinquishment of surplus property or equipment influences maintenance of fixed asset records.

DISP = Immediate Disposal: Immediate Disposal is a retention code that is used when an agency requires an authorization to destroy obsolete records upon the

approval of their Records Retention and Disposal Schedule. Once the Retention Schedule is approved the agency has the legal authority to destroy the obsolete records.

PERM = Permanent: These records are not authorized for destruction at any point in time, and will be retained in the custody of the creating agency.

In the retention schedule, the period for a given record series is presented in the form, [retention code]+[segment of time]. For example, a record category may have the retention period of “CR+3yrs”, meaning that the record must be maintained a minimum of 3 years after its creation. Likewise, a period of “EVT+6yrs” means that it must be maintained 6 years after an defined event has occurred (e.g., such as the completion of a formal audit).

Record Series Description

This is a text description of the record series to provide an understanding of the types of records that it encompasses.

Official Custodian

This is an identification of the City office agency which has been assigned responsibility as the custodian of the official record (the master copy in digital or hard copy form which is considered to be the most current and “original” copy). This designation of custodian recognizes that in some cases duplicate copies of a specific record may be maintained by more than one City office (or outside organization) but that these are only copies. It should be noted that the City Clerk’s Office is given a special role through the City Charter and certain ordinances as the custodian or oversight authority for official records. For many types of records, the Clerk’s Office is the official repository and the Clerk’s Office has the authority to “certify” records (such as those distributed to outside parties) as official copies.

Vital Record

This is a flag that indicates that a certain record series includes “vital records” meaning that these are mission-critical records essential for resumption/continuance of operations in the event of a disaster. This includes certain types of legal, human resources, and city infrastructure which a critical for on-going operations. There is no specific legislation or regulation governing the vital records designation. The City based on its analysis of operational requirements has made this identification. One basis for this is the “emergency/disaster plans for each Dept. **Decisions about vital records designation has been made by posing the following questions (see ARMA publication, *Retention Management for Records and Information*, for more discussion):

- What records are absolutely essential to resume critical city operations?
- What records are essential to protect the assets and the legal or financial status of the City?
- What records are essential to protect the City from risk (physical or legal)?

- What records are essential for protecting obligations to and the rights and safety of employees and citizens?
- Are there other outside sources of the records that would be available in the event of a disaster?

Disposition Action

This is a description of actions to be taken for specified records when they have aged to a certain point. This consists of a code and, where necessary descriptive text for the disposition action. The codes defining specific types of disposition actions include:

- **DD (Destroy or Discard):** Destroy or discard records or storage media, when they have reached the end of their retention period. This applies to records for which no security or privacy designations exist. These records may be destroyed, discarded, recycled, etc. in any manner deemed administratively expedient by the City.
- **DS (Secure Destruction):** Destroy records or storage media in a secure, prescribed manner after they have reached the end of their retention period. This applies to records for which certain security or privacy designations exist meaning that routine procedures for destruction or discarding (DD) may not be followed. Basic guidelines for records disposition from HAL may be found at: www.michigan.gov/hal/0,1607,7-160-17451_18673_31550-56141--,00.html. Various ARMA publications provide information about appropriate methods for document destruction. Secure means of destruction may include incineration, physical shredding or pulverizing, chemical destruction, or magnetic erasure (in the case of magnetic storage media).
- **LA (Long-term Archive):** Records are properly packaged, documented, and transported to a designated archive location for long-term or permanent storage **after they have reached the end of their retention period**. This implies that this location is off-site and provides an efficient, cost-effective, secure, and properly controlled environment for records storage (e.g., like facilities provide by the Iron Mountain company).
- **LA-BR (Long-term Archive before retention period reached):** This is the same as “LA” except that it applies to cases in which certain records are transported to the archive storage location before the retention time has been reached (e.g., record has a retention period of 6 years but a decision has been made to archive records after 6 years).

In the definitions above, “long-term archive” may either mean “permanent” or for a period of time exceeding the retention period of the record. In any case where records are part of an on-going legal action or administrative review, they will not be discarded or destroyed. Even if they have exceeded the retention time period, until the review or action has been concluded. Information from HAL about methods for disposition can be found at: www.michigan.gov/printerFriendly/0,1687,7-160-

[17451_18673_31550-56141--00.html](#). Also, the ARMA publication, *Retention Management for Records and Information* (Part 10), includes a discussion of disposition methods.

Revision Date

For each record series, a date is assigned. Initially, this date will be the date of approval of the final RRDS by the State. Over time, revisions will be made (addition of a record series, change the retention period, etc.). The date of such revisions will be entered for those Record Series to which revisions are made.

Comments

The comment field is used to include any additional brief comments that help to explain legal or policy mandates governing access to or retention of records in this record series or more detail about retention and disposal actions.

4. Non-Records Materials

Some documents generated and/or used by City employees do not have specific retention schedules. These fall under the category of “Non-records Materials” which include various documents that are common in most municipal offices and may be destroyed immediately after they have served their specific purpose. Non-records materials are defined in the State HAL Records Retention and Disposal Schedule #1 (2004, see www.michigan.gov/documents/hal_mhc_rms_GS1_local_110758_7.pdf). Non-records materials are defined as:

- Extra copies of documents retained only for convenience of reference such as “for your information” documents, tickler files, follow-up of correspondence, word processed files when the official record copy is printed and retained, and extra or identical duplicate copies of records if the official record has been retained by the agency
- Publications, forms, and printed documents, including stocks of those that are superseded or outdated
- Letters if transmittal (including routine slips) which do not add any information to the transmitted material and other types of routine correspondence (may include email messages) that do not document significant activities of the agency
- Shorthand notes and recordings that have been transcribed into another format for the official retention purposes
- Miscellaneous notices or memoranda (may include email messages) which do not relate to the legal and functional responsibilities of the agency, such as notices of community events, employee benefits, holidays, etc.
- Media used for printing or other record reproduction processes

- Catalogs, trade journals, and other publications or papers that are received from outside sources and are not essential to the operation of the agency

5. Management of Electronic Records

The RRDS applies to City records generally—whether they are created or stored on hardcopy media (paper, mylar, etc.) or as electronic files. HAL defines “electronic record” as follows:

“An *electronic record* is information recorded by a computer that is produced or received in the initiation, conduct or completion of an agency or individual activity. Examples of electronic records include: e-mail messages, word-processed documents, electronic spreadsheets, digital images and databases.”

More information about managing electronic records and media is available from the following sources: a) HAL seat www.michigan.gov/hal/0,1607,7-160-17445_19273_21738-96210--00.html; b) ARMA publication, *Managing Electronic Records*; c) The ERM Initiative of the National Archives and Records Administration (NARA) at: www.archives.gov/records-mgmt/initiatives/erm-products.html; d) the book, *Authentic Electronic Records*, 2000; e) *****something about media; f) *****; and g) electronic records management manuals prepared by a number of government agencies outside of Michigan. Some examples are: i) State of California Dept. of General Services *Electronic Records Management Handbook*, 2002 at www.documents.dgs.ca.gov/osp/recs/ERMHBkall.doc, ii) State of Delaware “Model Guidelines for Electronic Records” (www.state.de.us/sos/dpa/govsvcs/records_policies/model%20guidelines.shtml), iii) State of MN “Electronic Records Storage Facilities and Procedures” (www.mnhs.org/preserve/records/electronicrecords/erstorage.pdf), iv) State of KN “Electronic Records Management Guidelines” (www.kshs.org/government/records/electronic/electronicrecordsguidelines.htm)

Michigan Freedom of information Act (FOIA) includes electronic records and other formal legislative and regulatory mandates apply to electronic records as they do to hardcopy records. The Michigan Legislature has recently revised legislation that provides a basic set of rules for public agency management of electronic records in the Records Reproduction Act--Act 116 of 1992 as revised in 2005 ([www.legislature.mi.gov/\(g5ab3w55sam5gu45aqu4ddnt\)/documents/mcl/pdf/mcl-act-116-of-1992.pdf](http://www.legislature.mi.gov/(g5ab3w55sam5gu45aqu4ddnt)/documents/mcl/pdf/mcl-act-116-of-1992.pdf)). In summary, this Act provides public agencies in Michigan with great flexibility in the use of computer technology for creation and storage of records in electronic form (updating previous laws which were much more restrictive). It allows records to be stored in a variety of file formats and storage media.

In Rochester Hills, it will be important to decide on practices about creation and storage of hard copy and electronic records that are efficient and secure. In many cases, it may be most efficient and convenient to continue to store records in hardcopy form but there is an option to consider electronic means for short-term and long-term maintenance of certain records. The approach selected must take into account the following issues and requirements for compliance with laws and policies and well as cost-effectiveness and efficiency:

- Easy access to the record and efficiency in reproduction and distribution when this is necessary
- Digital signature and seal concerns to account for cases where a record requires formal approval and signature(s) by designated parties and/or an official stamp or seal
- Security and protection against unapproved access or alteration as well as protection from loss or destruction
- Technology obsolescence and migration (avoiding potential problems with outdated file formats or electronic storage media making it difficult to retrieve and read an electronic file)
- Stability of media and avoidance of degradation over time

There are issues about the long-term support for certain file formats (potential revisions in software that could make older digital documents difficult to open). This is of concern in any digital document storage strategy to seeks to store digital files for long-term archive (more than 5 to 10 years). While no file format can considered immune to this obsolescence, any long-term archive practice should seek to use a file format that is most likely to have long-life (be easily readable by future revisions to vendor software) while still preserving original document format. Currently, the file formats that adhere most to this criteria is the .rtf (rich text format recognized by many word processing software packages) and Adobe's .pdf format. In addition to these formats which maintain document text and graphic content and format, the .tiff image format is another option for long-term archive (although this only stores and document as an image--text content and format controls are not explicitly stored). There are two additional emerging formats for text documents, which, because of their wide support in the industry, may have considerable long-life and be an option for long-term archiving. The first is PDF/A, a file format standard based on Adobe's PDF format, which has been accepted as a standard by the International Organization for Standardization (see <http://en.wikipedia.org/wiki/PDF/A>). The other is the Open Document Format (ODF), at XML-based standard developed by a consortium of vendors. It is an approved by the Organization for Advancement of Structured Information Standards (OASIS) and is being reviewed for approval as an ISO standard (see <http://en.wikipedia.org/wiki/OpenDocument> and www.oasis-open.org/specs/index.php#opendocumentv1.0)

One additional concern in digital file archiving is the potential need to apply document security (encryption or some other sort of protection against unauthorized access or document changes) This increases security but potentially creates problems in more difficult access by authorized users who may not have ready access to passwords or and authentication service. Such a problem can become greater as documents age and employees leave. Software tools are addressing this concern but it is still necessary to have a well-thought-out file security strategy and to manage it.

Email messages constitute a category of electronic records that, because of their nature, can be difficult to manage and to apply specific retention and disposal schedules. As a general statement, some email messages should be considered public records subject to the approved RRDS and other email messages require no retention. Some email message clearly falls into the category of “non-records material” (see Section 4 above). Other messages are considered transitory, personal, or spam which do not need to be retained. Email messages however, which contain substantive information about City business does apply to the approved RRDS. HAL has prepared a set of “frequently asked questions” (FAQs) about Email Retention (www.michigan.gov/documents/hal_mhc_rms_local_FAQ_125543_7.pdf). In addition HAL provides the publication, State of Michigan Electronic Mail Retention Guidelines (www.michigan.gov/documents/E-Mail_Retention_Guidelines_126565_7.pdf) aimed at state government agencies but is applicable to all public agencies.

It will be important for the City to revise its email policy to address approved retention requirements. Effective management of email comes down to proper use of information technology as well as clearly articulated practices and proper use of these practices by all City employees.

Records Retention and Disposal Schedule (RRDS) for the City of Rochester Hills--Version 2.1, 9-2-2008

Note: See the accompanying document, "Public Records Retention and Disposal Schedule—Explanation and Background Information", for a detailed explanation about the RRDS.

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Footnotes:

(1) See accompanying explanation for retention period code and annotation.

(2) City Department or Office with designated custodial responsibility for maintaining the official version of a record: AC = Clerk's Office-Accounting; AS = Assessing; BD = Building Dept.; DPS = Dept. Public Service, FI = Mayor's Office-Fiscal; FR = Fire Dept.; HR = Human Resources; CL = Clerk's Office; MO = Mayor's Office; MIS = Management Information Systems Dept.; MU = Parks and Forestry-Museum; PF = Parks and Forestry Dept.; PD = Planning and Development Dept.; PR = Mayor's Office-Purchasing; TR = Treasurer's Office, DEP = Specific City Dept. or office that creates the document is the custodian of the official record.

(3) Flag (an "X") that indicates that a certain record series includes "vital records" meaning that these are mission-critical records essential for resumption/continuance of operations in the event of a disaster.

(4) The action to be taken for specified records when they have aged to a certain point. This consists of a code and, where necessary, descriptive text for the disposition action. Specific types of disposition actions include: DD (Destroy or Discard), DS (Secure Destruction), LA-BR (Long-term Archive before retention period reached), HI (Historical Record Transfer), and NC (Transfer to New Custodian). See accompanying explanation for the disposition action codes.

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
A. GENERAL ADMINISTRATIVE RECORDS (Records of a general administrative nature that are not associated with a specific retention schedule cited in other sections. This section includes records that may be generated or stored by any City office and are not associated with a specific department.)								
A1	General Reports, Internal Meeting Materials and Other Miscellaneous Administrative Records		Reports, meeting materials, and other miscellaneous administrative records not associated with a specific retention schedule					
A1.1	Annual, Monthly, Weekly Activity and Status Reports	CR+2yrs	This includes any regular activity or status reports intended mainly for internal tracking and communication. This includes text reports or tables that give a summary of employee work activities, project status, etc.	DEP		DD		
A1.2	Internal Meeting Materials and Summaries	Regular staff meetings: CR+5yrs; Informal meetings: CR+1 yr	Includes meeting agenda, attendee lists, summary reports for internal meetings for City staff and employees (information meetings for staff, project meetings, etc.)	DEP		DD		
A1.3	Miscellaneous Internal Administrative Materials	No specific period	Includes any other administrative materials of a general nature that are not covered under other record retention categories.	DEP		DD		Depends on nature or purpose of record
A2	General Correspondence and Memoranda		General correspondence or a routine or miscellaneous not falling under another specific retention schedule.					
A2.1	General or Routine Internal Correspondence	CR+2yrs	Letters, memoranda, and other correspondence between City offices. This covers miscellaneous correspondence that is not clearly covered under other record retention categories.	DEP		DD		Depending on nature of correspondence, period may be longer
A2.2	General or Routine External Correspondence	CR+2yrs	Incoming and outgoing letters, memoranda, and other correspondence between City and external parties (other governmental jurisdictions, businesses, not-for-profit groups, general public). This covers miscellaneous correspondence that is not clearly covered under other record retention categories.	DEP		DD		Depending on nature of correspondence, period may be longer
A3	Internal Plans and Tracking Documents	ACT(life of project/program)+2yrs	Work plans, operational plans, strategic plans, and associated tracking and reporting records associated with a City project or program and used primarily for internal purposes. This includes plans that are not clearly covered by another specific record retention category.	DEP		DD		
A4	Informational Literature, Guides, Announcements, Brochures	ACT(life of program or event)+2yrs	Materials prepared mainly for external distribution to provide information about City government operations and programs, meeting announcements, special events, or news.	DEP		DD or HI		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
A5	General Procedure Manuals, Instructional Materials, and Training Documents	ACT(life of program or procedure)+2yrs	Documents maintained primarily for City staff and contractors that explain procedures (e.g., purchasing, responding to public requests for information, building evacuation procedures, etc.) or that are used to support instruction or training (e.g., use of a computer application).	DEP		DD		
A6	Miscellaneous Lists, Logs, Directories	SUP	Hard copy or digital records for internal use, not tied to specific retention schedules, that serve as directories of contacts, documents, materials, activities.	DEP		DD		
A7	General Permission and Liability Waiver Documents	ACT(while in effect)+1yr	General forms and documents that describe waivers of rights or responsibilities or limits on liability. Includes all such materials that are not part of an employee's personnel file.	DEP		DD		
A8	General Information Requests and Complaints-- Non-FOIA	CR+2yrs	Forms and records for processing, tracking, and responding to general and routine non-FOIA requests and inquiries for information or complaints from the public, businesses, external agencies, or other parties external to the City. Also includes records that document the City's response.	CL		DD		
A9	City Fixed Asset Inventory information		Inventories and tracking of information about fixed assets (equipment, furniture, supplies) owned by the City. Includes any records that identify the item; its make, model, and specifications; dates; its location, etc. Does not include records on City maintained road and utility infrastructure.	DPS	X	DD or NC		
A10	City Property and Fixed Asset Maintenance							
A10.1	Routine Maintenance Records	CR+2yrs	Records documenting routine maintenance activities, including janitorial work at City buildings, minor repair and maintenance work, routine grounds maintenance at City buildings. Includes contracts for maintenance services, work schedules, work orders, and reports of work accomplished.	DPS		DD		
A10.2	Major Maintenance and Repair Records	CR+5yrs	All records associated with major, non-routine maintenance or repair activities (roof repair, room remodeling, major landscaping projects, etc.). Includes project specifications and project management information.	DPS		DD		
A10.3	City Facility Use Scheduling and Reservation Records	ACT(until event completion)+1yr	Records that document requests for reserving City facilities for use by outside parties, approval and confirmation of those requests, required documents (e.g., insurance), and other related forms, correspondence, and administrative materials.	DPS		DD		
A10.4	Maintenance/Support Agreements for Equipment/Assets	EVT (life/disposition of asset)+1yr	Contracts and agreements for contractor or vendor maintenance and support for products purchased by the City.	CL	X	DD		
A11	Computer System Project and System Administration Documentation and Files							
A11.1	IT Project Design, Planning, and Implementation Records	ACT(life of computer system)	All records that document computer-related application development, software implementation, or system enhancement/upgrade projects. This includes project specifications, project review documents and notes, related correspondence, and administrative records on computer system projects, and technical documentation.	MIS		DD		
A11.2	System/Network Configuration Diagrams or Descriptions	SUP	Any hard copy of digital documentation describing the City's system configuration (network, file system, folder architecture, security groups and assignments, etc.)	MIS	X	DD		
A11.3	Server or System Activity Logs	ACT(until reviewed)	Includes digital or hardcopy statistics on server or Web site use, security or system problems, etc. In most cases, these are continually updated logs and alert files maintained by the operating system and formal reports are not created. These should be maintained with historical information until any necessary review has been conducted	MIS		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
A11.4	Internet Site Content	ACT(until updated)+1yr	Includes digital materials stored as a source for posting to an active Web Site. It may include text or word processing documents, images, etc. It is maintained until updated for re-posting to a Web Site. With historical content maintained for one additional year.	MIS		DD		
A12	General Reference Materials	ACT(while of reference value)	Any general reference documents, maps, publications, or other records acquired from an outside source that are used for informational purposes to support City programs and business processes.	DEP		DD or HI		
A13	Fee Schedule and Rate Information	SUP	Records that identify fees and rates for City services and processing activities—associated with permit and plan submittal and review, utility service, charges for records reproduction and distribution, use of City facilities, etc.	DEP		DD		
A14	General Surveys and Polls	EVT(survey completion+3yrs)	Records associated with any surveys or polls conducted by City depts. to gather information about City conditions, residents, and services. This includes survey forms and directions and documents with a compilation of survey results.	DEP		DD or HI		A decision may be made to retain certain survey or poll results for a longer period of time
A15	General Information and Notes	ACT(while of reference value)	Individual's notes from meetings, project reviews, and other City activities that are not covered under other specific record retention categories. In general, these are considered internal records useful in the performance of a specific task but not normally distributed or needed on a long-term basis.	DEP		DD		
A16	Calendars and Appointment Information	ACT (calendar year)+2yrs	Formal calendars for employees or City offices.	DEP		DD		
A17	Legal Notices, Hearing Notices for Publication	ACT (calendar year)+2yrs	Official notices about City public hearings or legal announcements that are distributed to the new media for publication and serve as evidence that the municipality provided public notice of elections, hearings, ordinance enactments or revisions, auctions, bids, etc. They may include Affidavits of Publication and clippings.	CL		DD		
A18	Festival of the Hills Records	ACT (end of annual Festival)+3yrs	All records that pertain to the planning, tracking, and activity associated with the Festival of the Hills. Includes information on programs and events, sponsorships, attendance, etc.	MO, MU		DD or HI		
A19	Newsletters and Special Publications	ACT (while of reference value)	All newsletters and special publications, and associated records on production and distribution, which are produced by any City Department and are distributed internally or prepared for distribution to the public or other parties. Includes such items as the Hills Herald, Museum Newsletter, and others.	DEP		HI		
A20	General Administrative Databases	ACT(while in active use)	This includes a wide array of transactional databases, normally maintained using Microsoft Access or Excel software, that are used by individual Departments of workgroups, to capture and update information (e.g., tracking information, contact directory, indexes or directories to information sources, inventory information, etc.). This record series applies just to the databases, not specific reports generated from the databases.	DEP		DD		
A21	Historical Records	ACT(while of reference value)	These records document a department's history and are used primarily as reference material. They are typically "pulled" from another record series after it has met its retention period and is transferred into this category. The department determines what is "Historical" to them. Examples may include but are not limited to photos, newspaper clippings, documents of historical importance, etc..	DEP		DD		
B. ASSESSING DEPARTMENT								
B1	Real Property Characteristics and Appraisal Information							

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
B1.1	Private Real Property Characteristics and Appraisals	CR+5yrs	Records documenting property characteristics and conditions that contribute to appraisal calculations for real property (residential, commercial, industrial). Also includes records about property appraisal calculations, including any defined factors or parameters that are used in appraisal calculations.	AS		DD		
B1.2	City Real Property Appraisal	EVT(acquisition of property)+5yrs	Any records that contain information about the appraised value of real property owned by the City. Includes information on the property characteristics and calculations used in the appraisal.	AS		DD		
B2	Assessment and Tax Roll Records	CR+20yrs	The official assessment roll providing calculated assessment for real and personal property (for a specific year). This is the record from which tax bills are prepared.	AS	X	DD		
B3	Board of Review/STC/MTT Agenda, Minutes, and Records							
B3.1	Certification of Assessed Values, Tax Levy, and Affidavits	CR+1yr	Documentation of decisions and formal certification by the BOR, STC, or MTT that confirms and approves City property rates and assessments.	AS		DD		After 1 year, these are forwarded to the State. Assessor keeps a copy for convenience.
B3.2	Board of Review Appeal Records	ACT(until appeal is resolved)+3yrs	Petitions, applications, correspondence, supporting information, announcements, agendas, meeting materials, minutes, and follow-up records that document cases and decisions of the Rochester Hills Board of Review.	CL		DD		
B3.3	MTT/STC Appeals Records	ACT(until appeal is resolved)+3yrs	Petitions, applications, correspondence, supporting information, announcements, agendas, meeting materials, minutes, and follow-up records that document cases and decisions of the Michigan Tax Tribunal (MTT) and the State Tax Commission (STC).	AS		DD		
B4	Equalization and Tax Exemption/Assessment Adjustment Records							
B4.1	Notice of Assessment Change	CR+1yr	Notices to property owners or other parties about a formal change in assessed value.	AS		DD		
B4.2	Assessment Adjustment Records/L40 Reports	CR+5yrs	Includes formal records documenting adjustment of assessment, including state forms L-4018, L-4019, L-4021.	AS		NC		Records transferred to Oakland County in April or May of each year. County is the official long-term custodian.
B4.3	Hardship/Poverty Exemption or Adjustments	ACT(until tax payment)+3yrs	Records documenting review and decisions regarding hardship or poverty tax exemptions or adjustments.	AS		DS		
B4.4	Special Adapted Housing—Veterans	ACT(until tax payment)+3yrs	As defined in MCL 211.7b Part of Michigan Compiled Laws.	AS		DS		
B4.5	Homestead and Homeowner's Principle Residence Affidavit and Documentation	ACT(until tax payment)+3yrs	Any records that document and verify eligibility and decisions regarding Principle Homestead Exemptions	AS		DD, NC		State of Michigan is the official custodian but Assessing keeps copies for ready access
B4.6	Pollution Control Exemptions	EXP+2yrs	As defined in 323 Part of Michigan Compiled Laws.	AS		DD		
B4.7	Property Transfer Affidavits and Documentation	CR+3yrs	Copies of records that document the formal transfer of ownership of a property.	AS		DD, NC		Originals are filed with the State of Michigan
B4.8	Approved exemptions or tax rate adjustments for IFT, CFT, or LDFA properties	EXP+2yrs	Records that document approval on tax exemptions and adjustments under the Commercial Facilities Tax (CFT) or Industrial Facilities Tax (IFT), Local Development Finance Authority (LDFA) "smart zone" programs.	AS		DD		
B4.9	Other Exempt Property Information	EXP+2yrs	Any information or lists that identify certain properties as tax exempt.	AS		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
B4.10	Equalization Information, Reports, and Other Records	ACT(tax year)+3yrs	Collected data, tables, formal studies, etc., that support the property equalization process. This includes sales and market data and comparisons, identification of equalization factors applied to areas or parcels, official correspondence with the County or other parties about equalization, and other data or reports that document real property equalization calculations and decisions.	AS		DD		
B5	Personal Property Information and Appraisal	ACT(until tax payment)+3yrs	All information used in the appraisal of personal property (for non-residential). This includes records from field canvassing, statements and affidavits from property owners, documentation on the value of personal property, or other records that identify and describe personal property (type, age, condition, etc.). Also included are records of appraisal calculations and factors and parameters unused in the appraisal of personal property.	AS	X	DD		
B6	Deeds, Maps, Plats, and Addressing Records		Legal records that define the boundaries of land ownership and rights associated with the land. Includes approved plats, property surveys, land division records, deeds, easements, and other related records.	AS		DD		
B6.1	Land Division Records	CR+10yrs	Includes records associated with land division actions and combinations of adjacent parcels.	AS	X	DD		
B6.2	Deeds and Property Descriptions	CR+1yr	Recorded deeds or related written descriptions of property boundaries (normally those officially recorded with Oakland County). These are legal records that designate land ownership. County is official custodian of permanent records. Maintained by City for limited period for business use.	AS, CL	X	DD		City-owned property deeds are in the Clerk's Office
B6.3	Aerial Photos Used for Appraisal Support	ACT(current tax year)+3yrs	Any aerial photos or images used to support the appraisal process.	AS		DD		
B7	Special Assessments							
B7.1	SAD Applications/Petitions and Supporting Records	ACT(life of assessment)+5yrs	Records that document approval and identify specific parcels that are subject to special assessments and part of the City's Special Assessment District (SAD) program.	CL		DD		Originals are kept in the Clerk's Office
B7.2	Other Special Assessment Information	ACT(life of assessment)+5yrs	Information related to special assessments that are a levy upon property within a specific district. It is imposed to defray the cost of a specific local improvement.	CL		DD		
B8	Valuation Records	ACT(current tax year)+20yrs	Includes such information as property classification, zoning, land estimate (measurements, base value, appraised value), type of structure and construction information, utilities, location of deed.	AS	X	DD		
B9	Field Sketches, Property Photos, and Other Support Information	SUP (until updated)+3yrs	Sketches of parcels and structures on taxable parcels, photographs of buildings, structures, and other improvements associated with a parcel, or other similar information compiled to support the property appraisal process.	AS		DD		
B10	Property Appraisal/ Assessment Reports	CR+5yrs	Reports that present summary information about the property appraisal and property assessment process. This may include summary statistics for Assessing Dept. staff activities or other reports that present summary information about parcels and their appraised or assessed values.	AS		DD		
B11	Property Appraisal and Assessment and Appeal Rules, Procedures, and Public Information	SUP+3yrs	Documents and records that explain procedures and rules governing the property appraisal and assessment process, procedures for appeals, how to obtain property information, and other public information about property appraisals and assessments.	AS		DD		
B12	Assessing Database	CR+20yrs	Multi-user database, used by Departmental personnel for capturing, querying, tracking, and reporting on information about real and personal property. The database information includes information on property characteristics, appraisals, property ownership, tax exemptions, and other information that supports required property assessment functions. The database is used to generate certain standard real property forms and reports referenced in other record series.	AS		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
C. BUILDING DEPARTMENT								
C1	Addressing Records	SUP+1yr	Forms created by the City, along with any accompanying instructions, for applying for a building permit.	BD	X	DD		
C2	Building Plan/Permit Submittal and Review		Includes plans and permit forms submitted by applicants for review by the Dept. These records are differentiated from approved building permit records in Category C8.					
C2.1	Building Permit Applications	ACT(life of building)	Submitted permits and related documentation. This includes submitted building permit forms and all necessary supplemented information, including plan drawings, architectural data, "trade" information (electrical, mechanical, electrical, etc.), construction specifications, etc.	BD		DD		
C2.2	Final Building Plan Drawings (non-residential)	ACT(life of building)	Final plans (for commercial, industrial, institutional, and other non-residential construction) submitted after all Departmental review and comment has been completed and addressed by the applicant.	BD		DD		
C2.3	Final Building Plan Drawings (residential)	ACT(life of structure)	Final plans (for residential construction) submitted after all Departmental review and comment has been completed and addressed by the applicant.	BD		DD		
C2.4	Sign Permit Applications	ACT(life of sign)	Submitted permits and associated information for sign construction and placement.	BD		DD		
C2.5	Tree or Landscape Permit Applications	CR+5yrs	Records that document the review of permits for planting, removal, or treatment of trees or landscape work inside the public right-of-way or on private land.	BD		DD		
C2.6	Other Permit Submittals and Review Records	ACT(until permit activity completed)+5yrs	Records that document the submittal and review of other permits (not building, tree, or sign permits) for which the Building Dept. is primarily responsible.	BD		DD		
C3	Building Complaints and Enforcement Records							
C3.1	Complaint/Response Records	ACT(until settlement)+5yrs	Any records that document a verbal or written complaint, responses to complaints having to do with building codes, or related ordinances associated with the construction and maintenance of buildings and structures.	BD		DD		
C3.2	Building Code Enforcement Inspections	ACT(life of structure)	Records that document the occurrence and results of a site inspection relating to buildings and structures. This includes inspections relating directly to code enforcement actions initiated as a follow-up to a complaint or incident impacting the property (fire call). Includes field notes, sketches, or photographs, compiled inspection reports, inspection records describing actions taken, and communications with the permittee.	BD		DD		Building Dept. does not keep original- just a copy. Information is input in computer and printed out at end of project.
C3.3	Building Code Citations/Tickets and Actions	ACT (life of building)	Records of citations given for violations of building codes, including the ticket and follow-up documentation about response and resolution of the citation. Includes records of any building posting or "red tagging."	BD		DD		Building Dept. does not keep original- just a copy. Information is input in computer and printed out at end of project.
C4	UNUSED AT THIS TIME							
C5	Building Contractor Licensing Record	ACT(life of structure)	Records that verify the licensing of contractors performing permitted construction work.	BD		DD		
C6	Building Permit Review Records	ACT(life of structure)	Records that document the review of permits for building construction and all associated trade permits (plumbing, electrical, etc.). Also included are records that document any site visits or correspondence related to the permit review process.	BD		DD		
C7	Records of Board Meetings and Hearings	PERM	Agendas, supporting materials, meeting/hearing announcements, related correspondence, meeting materials, summary reports, synopses, minutes, and other information relating to the meetings of independent boards that the Building Dept. has the primary role in supporting. This includes the Construction/Fire Prevention Board of Appeals.	CL				
C8	Issued Permits and Related Approval Records		Copies of issued permits and related records documenting approval for construction and work related to permits for which the Building Dept. has primary responsibility.	BD				Records in this category are filed together for each permit as part of a "permit package"

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
C8.1	Building Permits	ACT(life of structure)+5yrs	Permits allowing for building construction and related surface grading or for the demolition or removal of a building or structure.	BD	X	DD		
C8.2	Wrecking and Demolition Permits	ACT(life of structure)+5yrs	Permits that allow for the wrecking, demolition, or removal of structures.	BD		DD		
C8.3	Fire Safety, Alarm, Suppression Permits	ACT(while permit is active)+5yrs	Permits allowing the installation and operation of fire safety equipment, alarms, and fire suppression systems in buildings and structures.	BD		DD		
C8.4	Mechanical Permits	ACT(while permit is active)+5yrs	Permit for mechanical work associated with the permitted building or structure.	BD		DD		
C8.5	Plumbing, Heating, Electrical Permits	ACT(while permit is active)+5yrs	Permit for plumbing, heating, A/C, or electrical work associated with the permitted building or structure.	BD		DD		
C8.6	Sign Permits	ACT(life of sign)+5yrs	Permits and related records documenting approval of work for the construction or erection of signs.	BD		DD		
C8.7	Tree or Landscape Permits	CR+5yrs	Permits and related records documenting approval of work for the planting, removal, or treatment of trees or landscape work inside the public right-of-way or on private land.	BD		DD		
C8.8	Receipts for Fees Paid for Permits or for Citations	CR+6yrs	Copies of receipts documenting payment of fees for permit issuance or payment for an enforcement citation.	BD		DD		
C8.9	Other Special Permits (roadside stands, soil erosion)	EXP+3yrs	Permits and related records documenting approval of work relating to other permits (not Building, Tree, or Sign permits) for which the Building Dept. is primarily responsible.	BD		DD		
C9	Building Permit Inspection Logs	ACT(life of structure)+5yrs	Inspection logs and associated notes or records prepared by inspectors during the course of permit inspection work.	BD		DD		Records in this category are filed together for each permit as part of a "permit package"
C10	Permit Summary Reports	ACT(life of structure)+5yrs	Any compiled reports or logs that contain summary information and statistics about building permit review and issuance, building inspections, and permit issuance for a specific time-period.	BD		DD		
C11	Construction Codes	PERM	Formal codes defining specifications and requirements for all aspects of building construction.	CL	X	DD		
C12	Certificate of Occupancy	ACT(life of structure)+5yrs	Document issued after completion of construction and City approval after completion of inspections. The CO verifies that the building meets all codes and may legally be occupied.	BD	X	DD		C of O records are filed together for each permit as part of a "permit package"
C13	Building Permit and Inspection Database	CR+20yrs	Multi-user database, used by Departmental personnel for capturing, querying, tracking, and reporting on information about building and construction permits, permit inspections, and related enforcement actions. Includes residential and commercial buildings and other structures covering work on the construction and internal infrastructure (plumbing, electrical, etc.)	AS		DD		
D. CLERK'S OFFICE								
Clerk's Office—Accounting								
D1	Accounts Payable Records		Records that document funds owed and paid by the City to outside sources (also known as payables). This includes information on all accounts, records of AP postings to other records, invoices, and records documenting payment (including checks).					
D1.1	AP Accounts Payable GL Posted Journals Receiver, Voucher and Check Batch Type Report	FY+10yrs	Various AP batch reports that post to the General Ledger. Includes receivers, vouchers, and checks.	AC	X	DS		
D1.2	AP Reports Edits through Check Posted Report	FY+7yrs	Supporting documentation of accounts payable check runs. This includes edit listing, create payment, and integrity reports.	AC		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D1.3	AP Cash Disbursement/Cash Requirements Reports	FY+10yrs	Report detailing cash disbursements to vendors.	AC	X	DS		
D1.4	AP Check Registers (Auto Payment Register)	FY+7yrs	Monthly listing of accounts payable checks issued by the City. Listed is check number, amount, and vendor.	AC	X	DS		
D1.5	AP Federal Tax Forms (1099 Forms) and Year End Supporting Documentation	FY+7yrs	Includes 1099 forms and information submitted to the Internal Revenue Service regarding payments made to certain vendors. A/P accrual-year end supporting documentation.	AC	X	DS		
D1.6	AP Checks - Original	FY+7yrs	Cleared or cancelled checks are retained with the bank statements by month cleared.	AC		DS		
D1.7	AP Check Copies	FY+7yrs	Attached to invoices (see D1.8).	AC		DS		
D1.8	AP Vendor Invoices, Vouchers, and Statements	FY+7yrs	Invoices/Vouchers paid by the City to vendors. This includes ACH monthly credit cards, utilities, and benefit premiums.	AC		DS		
D2	Accounts Receivable Records		Records that document funds owed to and paid to the City by outside sources. This includes GL entries of billings and receivables.					
D2.1	AR Accounts Receivable GL Post Reports	FY+10yrs	Accounts receivable (street lighting) supporting documentation. This includes GL Post Reports (Batch Types), Account Balance, Billings (street and misc.).	AC	X	DD		
D2.2	AR GL Journal Entry of Billings	FY+7yrs	Supporting documentation for billing (street lighting, police liaison, Cobra, other reimbursable insurances).	AC		DD		
D3	General Ledger Records		Records that comprise a comprehensive picture of the City's financial transactions and its financial status.					
D3.1	GL Audit Report (CAFR)	PERM	The Comprehensive Annual Financial Report (CAFR). Official City of Rochester Hills Financial Reports, including required disclosures and other supplemental data. This annual financial statement is the result of the City's annual audit.	CL	X			Official document retained by the Clerk's Office
D3.2	GL Audit Report (Federal Awards Audit - Single Audit)	PERM	Official audit and data collection form completed by the City's auditors of federal awards and/or grants received by the City in a particular year. Depending on the amount of federal dollars received, the City may not be required to have an audit done.	CL				
D3.3	GL Bank Statements	FY+7yrs	Monthly City bank statements of all checking and savings accounts. Bank statements are City transactions at the bank or financial institution with which the City does business.	AC, TR	X	DS		Also cited as L2.3 (Treasurer)
D3.4	GL Cash Advance Records-Work Papers	ACT (life of advance)+2yrs	Spreadsheet and supporting document of City funds advanced to the county for specific construction projects.	AC	X	DD		
D3.5	GL County Construction Projects	ACT (until project completed) +7yrs	Tracking of City funds for projects that Oakland County is constructing (example: water and sewer mains). Folder for each project with all supporting documentation. Journal entries are prepared.	AC		DD		
D3.6	GL Grants - Federal and State	ACT (until project completed) +7yrs	Supporting documentation of grant awards. This is the financial aspect of the grant.	AC		DS		
D3.7	GL Developer Escrow Account Records	ACT (until project completed) +7yrs	Supporting documentation of developers escrow account transactions. The accounts are City charges to the developers.	AC	X	DD		
D3.8	GL Financial Reports Monthly (Balance Sheet/Revenue/Expenditures)	FY+2yrs	Monthly financial reports generated by Fund from financial system includes Balance Sheet, Revenue vs. Budget, and Expenditure vs. Budget.	AC		DD		Reports generated from database and generally not stored or saved in digital or hard copy form
D3.9	GL Financial Reports Year End (Balance Sheet, Revenue/Expenditure Reports)	FY+20yrs	Year-end financial reports generated by Fund from the financial system includes Balance Sheet, Revenue vs. Budget, and Expenditure vs. Budget.	AC		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D3.10	GL General Ledger (Detailed Transaction Report)	FY+20yrs	The General Ledger is a comprehensive record of the City's assets, liabilities, equity, revenue, and expenses for a particular one-year period in time.	AC	X	DS		
D3.11	GL Journal Entries Folders (Supporting Documentation)	FY+7yrs	Monthly folders by year. Supporting documents/records documenting the reassignment of budget items, revenue or expenses, fixed assets, billings, and transfer with financial impact from one City office to another. Included are the written journal entries from which posting occurs.	AC		DS		
D3.12	GL Audit Schedules and Supporting Documentation	FY+7yrs	Year-end folder. Schedules, working papers, and other records prepared specifically for City audit.	AC		DS		
D3.13	GL State of MI Report-ACT 51-Street Financial Report	FY+20yrs	Required reporting to the State of Michigan regarding state transportation funds.	AC	X	DS		
D3.14	GL State of MI Report-F65-Annual Local Unit Fiscal Year End Report	FY+20yrs	Required reporting to the State of Michigan. Report 's City's financial activity at year end.	AC		DS		
D3.15	GL Pension, 457 Deferred Compensation, Retiree Health Savings Quarterly Statements	FY+7yrs	Quarterly statements of activity received from Pension Plan record keepers.	AC	X	DS		
D3.16	GL Cash Receipt and Cash Transactions	FY+7yrs	Daily supporting back-up of cash received over the counter in Treasury and other cash activity such as investment, sweeps, and other miscellaneous treasury entries.	AC	X	DS		
D3.17	GL Cash Receipt/Transaction GL Posted Journals	FY+10yrs	Daily posting of cash transactions. Various GL Batch Types.	AC	X	DD		
D3.18	GL Journal Entries GL Post Reports	FY+10yrs	GL Post Reports. Various batch types create journal entries that are posted to the GL. This includes but is not limited to journal entries, budgets, equipment, and inventory.	AC		DD		
D3.19	GL WS Adjustments and Billings	FY+10yrs	See D2.1. Supporting documentation for water and sewer adjustments to customer accounts. These reports are supporting back-up for journal entries to the General Ledger. Binder contains adjustments and total pages of the billing registers.	AC		DD		
D4	WS Utility Customer Records		Records that document water and sewer customer account transactions, including billing, payment, and tracking of depts. and penalties.					
D4.1	WS Adjustment Register and Billing Total	FY+10yrs	Supporting documentation for water and sewer adjustments to customer accounts. These reports are the supporting back-up for journal entries made to the General Ledger. Binder contains adjustments and total pages of the billing registers.	AC	X	DD		
D4.2	WS Customer Account History	ACT(until customer account is closed)	Computer System - ASI Utility System. This is the City's water and sewer software system that has a history on utility customer account information.	AC	X	DD		
D4.3	WS Work Orders-Customer Accounts	ACT(until customer account is closed)	Work orders for customer accounts are microfilmed. The blip numbers are recorded in the WS Computer Billing System to locate work order.	AC		DD		Hard copies kept until after audit.
D4.4	WS Billing Registers and Other Billing Reports	FY+7yrs	Supporting back-up and print-outs of customer billing on accounts. All billing reports are stored together. This includes ACH billings and finals, bills by zip code, Avon/Gibson, Clinton/Oakland, and the following before and after reports: debt balances, account status, arrears register, billing registers, final bills, flat rate sewer customers, and special bills.	AC	X	DD		
D4.5	WS Payment Registers	FY+7yrs	Daily payment registers of water and sewer accounts paid. Supporting back up for GL.	AC		DD		
D4.6	WS Penalty List	FY+7yrs	Calculated penalty reports that are added to the water and sewer accounts. Supporting back-up for GL.	AC		DD		
D4.7	WS Debt Service Balance Report	FY+7yrs	Debt listing by water and sewer.	AC		DD		
D4.8	WS Debt Service Arrears Register	FY+7yrs	Listing of debt accounts in the arrears.	AC		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D4.9	W/S Trial Balance Reconciliation Report	FY+7yrs	Retained in the monthly GL Journal Entry Folder.	AC		DD		
D5	Employee Payroll Records	EVT(Termination)+3yrs	Includes employee pay rate, payroll, and related records that are filed with the employee's folder.	AC		DS		
D6	EMP Employee Time Sheets/Time Card	FY+3yrs	Time sheets/time cards filled out/punched by each employee. Current year time cards kept in employee payroll file folder. Previous years' time sheet/card are stored by employee and year.	AC	X	DD		
D7	Employee Benefits and Payroll Records		Records that document the benefits plans, enrollment, payroll deductions, and various required reports and forms documenting payroll information.					
D7.1	BEN Employee/Employer Pension Plan	SUP+1yr	Documentation for the yearly activity of the pension plan. This includes disbursements, qualified domestic orders, and contributions.	AC	X	DS		
D7.2	BEN Employee Enrollment/Beneficiary Form (Pension)	ACT(until retiree or beneficiary dies or former employee becomes ineligible)	Active account enrollment and beneficiary forms.	AC		DS		
D7.3	BEN Employee Deferred Compensation Plan (457)	ACT(until retiree or beneficiary dies or former employee becomes ineligible)	Active 457 enrollment forms.	AC	X	DS		
D7.4	BEN Retiree Health Savings Plan	ACT(until retiree or beneficiary dies or former employee becomes ineligible)	Active RHS enrollment forms.	AC	X	DS		
D7.5	BEN Benefits Premiums and Payroll Deductions to Vendors	FY+7yrs	Documentation and supporting back-up for City-provided benefit premium payments, reconciliation, allocation, and payroll deductions.	AC	X	DS		
D7.6	BEN-Employees not covered by Social Security (paid on-call firefighters)	EVT(death)+6yrs	Forms signed by paid on-call firefighters stating no social security is being deducted/paid.	AC	X	DS		Part of Employee Folder
D7.7	PAY Departmental Time Entry Report	CR+5yrs	Reports printed by departments with employee and time entered and approved by the department director (or applicable designee). Stored with D5.15.	AC		DS		
D7.8	PAY GL Payroll Journal Report	FY+10yrs	General Ledger Post Report from Payroll. Summary Report.	AC	X	DS		
D7.9	PAY Payroll Preliminary Reports - Biweekly/Monthly	FY+7yrs	Reports for each payroll processing. This includes dept. time entry (D5.13), edits, ACH/bank information, deduction register, taxes (federal and state).	AC		DS		
D7.10	PAY Payroll Final Reports - Biweekly/Monthly	FY+10yrs	Biweekly Payroll Register (final biweekly report earnings - withholdings/deductions = net pay), Check Register/ACH Register, and Summary Payroll Register.	AC		DS		
D7.11	PAY Michigan Employment Security Commission (MESC) Reporting	FY+7yrs	Reporting requirement to the State of Michigan of employee wages and payment per unemployment factor. Stored with D3.16.	AC		DS		
D7.12	PAY Detailed Earnings History (Yearly)	FY+50yrs	Report of employee earnings by year. Biweekly earnings, withholdings, and deductions.	AC		DS		Reports generated from database and generally not stored or saved in digital or hard copy form
D7.13	PAY City's Federal and State Tax Reporting Forms and Documentation	FY+10yrs	Quarterly and annual mandatory Federal (IRS) and State (Michigan) Withholding Reporting Requirements. Supporting documentation and forms prepared per federal and state mandates. This includes federal, social security, Medicare, and state tax withholdings (state annual report) and MESC (Mich. Employment Security Comm.) earnings.	AC		DS		
D7.14	PAY Year End Preliminary Reporting-Payroll	FY+7yrs	Various reports in preparation and reconciliation of employees' W-2s. This includes federal and state taxes.	AC		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D7.15	PAY Year End Final Reporting - W-2s - Payroll	FY+10yrs	W-2 copies, W-3 Transmittal, W-2 Summary and Confirmations.	AC		DS		
D7.16	PAY Worker's Compensation Audit Report	FY+7yrs	Supporting documentation of wages by workers compensation code and the MML Audit Form.	AC		DS		
D7.17	PAY Check and Direct Deposit (ACH) Register	FY+7yrs	Listing of payroll checks and/or direct deposit. This report is by date, employee, and amount of check.	AC		DS		
D7.18	PAY Misc. Payroll Reports (by year)	FY+7yrs	Various misc. reports. This includes out-of-class pay report, new hire, Bureau of Labor Statistics, unemployment payments.	AC		DS		
D7.19	Quarterly Pension Report	FY+7yrs	Quarterly summary of the City's pension account and transactions. Includes information on market review, pension asset allocation, fund/manager performance and activity, legal administration.	FI		DS		
D8	Equipment and Fixed Asset Financial Records							
D8.1	FA Equipment/Asset/Capital Outlay Yearly Transaction Records	ACT(until disposal/relinquishment of asset)+2yrs	Supporting documentation of financial information regarding City-owned fixed assets, including minimal documentation of infrastructure recorded after 12/31/2002. Monthly folders are created to store copies of supporting documentation. Copies include: Balance Sheet (F/A accounts only), Revenue and Expenditures vs. Budget Reports, Invoice/Vouchers and Checks, Forms, Work Papers.	AC	X	DD		Prior to implementing GASB 34 (12/31/2002) no fixed asset infrastructure reports were maintained (roads, right-of-way, drain). After 12/31/2003, minimal supporting documentation).
D8.2	FA Fixed Asset Forms (Transfer, Storage, Retired, Addition, Disposal Forms)	ACT(until disposal/relinquishment of asset)+2yrs	Forms documenting actions of City-owned fixed asset or piece of equipment (prior to 12/31/2002 not including certain infrastructure). Retained with D4.1.	AC		DD		
D8.3	FA Misc. Reports	FY+3yrs	A record of accepted standards and practices that the City employs to show depreciation of value (usually on an annual basis) for fixed assets owned by the City.	AC		DD		
D8.4	FA GL Post Reports	FY+3yrs	Various fixed asset reports generated and posted monthly to the general ledger. This includes transfers, disposal, depreciation.	AC		DD		
D9	Financial Accounting Database							
D9	Financial Accounting Database	FY+7yrs	Database used to enter and track information on accounts receivable and accounts payable that supports City accounting requirements. Database supports creation of standard reports cited in specific record series.	AC		DS		
D10	Payroll Database	FY+7yrs	Database used to capture and managed information on employee time and pay to supporting reporting on compensation and issuance of paychecks.	AC		DS		
D11	Utility Customer Database	FY+7yrs	Database that captures information on water/sewer utility connections and utility usage supporting utility customer management and billing.	AC, DPS		DD		
Clerk's Office—Cemetery								
D12	Annual and Perpetual Care Record	PERM	All records associated with establishment and care of plots at the City's Cemetery. This includes such materials as sales records, checks and receipts, and records that document allocation of funds for operating vs. perpetual care accounts.	CL				
D13	Burial Records	PERM	Includes reports and other records that document burials in the City's Cemetery.	CL				
D14	UNUSED AT THIS TIME							
D16	Deeds, Easements, and Ownership Records	ACT(until property no longer owned)	Legal records that define land ownership and land rights associated with the City's Cemetery, includes deeds, official plats, easement records, etc.	CL		NC		If property sold or ownership is transferred, records are transferred to new owner
D16	Disinterment/Re-Interment Permits	PERM	Records that document requests and approvals for disinterment and re-burial in the City's cemetery.	CL		NC		
D17	Headstone Foundation Requests	PERM	Forms completed by funeral homes requesting a headstone installation that includes size, material color, and inscription.	CL		NC		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D18	Grave Records/Plot Sales Records	PERM	Records that document information about cemetery plots and sales of plots.	CL		NC		
D19	Interment Orders	PERM	Legal orders that call for burial.	CL		NC		
D20	Maps, Plans, and Blueprints	PERM	Drawings that geographically document cemetery boundaries, geographic features, infrastructure, topography, and layout of sections and plots.	CL		NC		
D21	UNUSED AT THIS TIME							
Clerk's Office—Council								
D22	City Council Meeting Materials							
D22.1	City Council Meeting Agendas, Synopsis, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the City Council. This includes meeting agenda, synopsis (reports of major actions), full minutes, and special notices.	CL	X			
D22.2	City Council Meeting Supporting Meeting Materials	PERM	All agenda-related documents that are placed before the City Council for action or consideration. Includes agenda summary sheets, proposed resolutions, and supporting material (e.g., minutes from past meetings, contracts, project materials, site plans, agreements, permit, easements, legal case papers, recommendations from Committees, Boards, Commissions, etc.).	CL	X			
D22.3	City Council Meeting Closed Session Minutes	CR+1yr and 1day	Written records documenting proceedings at closed session meetings of the City Council prepared by the Clerk or designee that are not available to the public and disclosed only if required by a civil action filed under Section 10, 11, or 13 of the Open Meetings Act.	CL	X	DS		
D23	City Council Communication Committees							
D23.1	Council Communication Committee Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the City Council Created Committees. This includes meeting agenda, full minutes, and special notices.	CL	X			
D23.2	Council Communication Committee Supporting Meeting Materials	PERM	All agenda-related documents that are placed before City Council Created Committees for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	CL	X			
D24	Committees formed by Council							
D24.1	Council Committee Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the City Council Created Committees. This includes meeting agenda, full minutes, and special notices.	CL	X			
D24.2	Council Committee Supporting Meeting Materials	PERM	All agenda-related documents that are placed before City Council Created Committees for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permit, referrals from Committees and City Council, etc.).	CL	X			
D25	Independent Boards, Commissions, and Committee Meeting Materials							
D25.1	Independent Board/Commission Agendas, Synopsis, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Independent Boards, Commissions, and Committees. This includes meeting agenda, summary reports, full minutes, and special notices.	DEP	X			Originals kept in respective Departments, except minutes are stored in Clerk's Office.
D25.2	Independent Board/Commission Supporting Meeting Materials	PERM	All agenda-related documents that are placed before Independent Boards, Commissions, and Committees for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permit, referrals from Committees and City Council, etc.).	DEP	X			Originals kept in respective Departments
D26	Council Audio Recordings	CR+1yr+1day	Audio tapes or other media sound recording of regular and special meetings of the City Council, its Committees, and Independent Boards, Commissions, and Committees.	CL		DS or HI		City Council, City Council Communication Committees & City Council Created Boards are in Clerk's Office; all others are in respective

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D27	Council Video Recordings	CR+1yr+1day	Video tapes or other video media recording of regular and special meetings of the City Council	CL		DS or HI		Since all others are in respective departments. Disposal action may include erasing or recording over media. Selected clips may be stored for historical purposes
D28	Policies							
D28.1	Council Policies	SUP	Formal policies that are prepared and adopted by the City Council include Rules of Procedures.	CL	X	HI		
D28.2	By-laws and Operating Procedures: Boards, Commissions, and Committees	SUP	Written documents adopted by the City Council, Board, Commissions, and Committees, to set out guidelines regarding the operation of the Boards, Commissions, or Committees.	CL	X	HI		Includes CC Committees and Independents Boards and Commissions
D29	Appointments by Council							Includes CC committees & Independents Boards & Commissions
D29.1	Appointments to Youth Council	ACT(while individual is serving)+5yrs	All records associated with appointment of Youth Representatives to serve on RHGYC. This includes candidate materials and records about review and appointment of individuals.	CL		DS		
D29.2	Non-Serving Candidate Information	SUP+1yr	All records associated with residents interested in serving on City Council Communication Committees, Council Created Committees, and Independent Boards, Commissions, and Committees, including candidate materials and correspondence.	CL		DS		Each year, a purge is conducted by sending letters to gauge interest and then old ones are disposed of.
D30	Legal and Attorney Actions for City Council							
D30.1	Opinions - Non-confidential	PERM	Written statements by City legal staff (internal or contracted) giving a legal interpretation or opinion about a particular issue or topic as initiated by the Mayor's Office, City Office, or City Council. Note: Records associated with actual legal cases and litigation are covered under retention Section I.	CL	X			
D30.2	Opinions - Confidential	PERM	Confidential written statements by City legal staff (internal or contracted) giving a legal interpretation or opinion about a particular issue or topic as initiated by the Mayor's Office, City Office, or City Council. Note: Records associated with actual legal cases and litigation are covered under retention Section I.	CL	X			
D30.3	Litigation - Non-confidential	PERM	All documents relating to the case generated by the City, parties involved, and the courts or arbitration entity. Includes records of claims and charges; response to claims; background data and materials; testimony by parties involved; subpoenas; court orders, proceedings records; rulings; related correspondence, etc.	CL	X			Generated by the City or against the City
D30.4	Litigation - Confidential	PERM	All confidential documents relating to the case generated by the City, parties involved, and the courts or arbitration entity. Includes records of claims and charges; response to claims; background data and materials; testimony by parties involved; subpoenas; court orders, proceedings records; rulings; related correspondence, etc.	CL	X			
D31	Council Meeting and Action Database	PERM	Main database that captures information on City Council Meetings and actions taken by the Council. This database serves as a type of directory to City Council activities and formal documents which are stored in hard copy and electronic form (e.g., agendas, minutes) and are referenced in separate record series.	CL	X			
D32	UNUSED AT THIS TIME							
Clerk's Office—Elections: Various retention periods are listed in 116 PA 1954 as amended; being Section 168.1 through 168.992 of the Michigan Compiled Laws. Consult that Act or contact the Secretary of State Bureau of Elections concerning any of the retention periods listed below.								
D33	Absentee Ballots and Voter Information							

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D33.1	Absentee Ballots Envelopes (opened and unopened)	ACT(completion of election)+2yrs	Official return envelopes use to transmit absentee. Envelopes containing valid ballots will be opened and emptied so the ballot can be counted. Invalid/rejected ballots remain inside the envelope and the envelope may remain sealed. In this case, the ballot is not counted	CL	X	DS		Envelopes containing valid ballots will be opened and emptied so the ballot can be counted. Invalid/rejected ballots remain inside the envelope and the envelope may remain sealed. In this case, the ballot is not counted
D33.2	Absentee Voter List	ACT(completion of election)+2yrs	This list identifies which voters in each precinct were mailed absentee ballots. It contains the name of the voter, address where the ballot was mailed, date the application was received, date the ballot was mailed, date the ballot was received, etc. This record includes the absentee ballots information posting. This list may be part of a poll book. List is on <u>Qualified Voter File</u>	CL	X	DS		
D33.3	Absentee Voter Applications *	ACT(completion of election)+2yrs	Applications submitted by voters, wishing to receive an absentee ballot for an upcoming election containing the voter's name, registered address, reason why they need an absentee ballot, where they want the ballot sent, and their signature for verification. These records also include "emergency" absentee ballot request.	CL		DS		
D34	Ballots and Election Results							
D34.1	Application to Vote (completed at the poll)	ACT(completion of election)+2yrs	Official forms used at precinct that is completed and signed by the voter which contains election date, precinct, voter's printed name and signature, address, and date of birth that are verified by the election inspector prior to a ballot being issued to the voter to confirm that the voter has a valid registration in the jurisdiction and they are used to verify the identity of the voter.	CL		DD		
D34.2	Affidavit of Voter Unable to Meet Photo ID Requirements	ACT(completion of election)+2yrs	This form is signed by voters who do not possess photo identification when attending the polls	CL		DD		
D34.3	Ballots (State and Local Offices)	ACT+30days (see ACT definition in Comments)	These records document votes in elections for state and local offices, some school district elections, and special elections in which candidates for federal offices did not appear on the ballot (including proof ballots, sample ballots, uncounted ballots, unused ballots, counted absentee ballots, provisional ballots, challenged ballots, spoiled ballots and ballots rejected for exposure). They include voting devices/tabulators, ballot containers containing optical scan ballots, programs, edit listing. NOTE: this series also applies to unused ballots for federal, state, and local offices.	CL	X	DS		ACT = until 30 days after the canvass of the election is completed, until a recount is completed, until a court order or a Secretary of State order to suspend destruction is lifted, or until an investigation into defective ballots or voting equipment is completed.
D34.4	Ballots (Federal offices)	ACT(until canvass of the election is completed)+22months	These records document votes in elections where the office of U.S. President, U.S. Senate, or Representative in Congress appears on the ballot (including proof ballots, sample ballots, uncounted ballots, unused ballots, counted absentee ballots, provisional ballots, challenged ballots, spoiled ballots and ballots rejected for exposure). They include optical scan ballots and the programs used to tabulate them, and Federal Write-In Absentee Ballots. Optical scan ballots shall be stored in sealed ballot bags in a secure place during this retention period, after the retention requirements under Michigan law have been met see (305 and 311).	CL	X	DS		
D34.5	Election Inspector Certificates	CR+2yrs	Documentation of Election Inspectors who attend Election Training	CL		DD		
D34.6	City Election Results	PERM	These records (also known as the "canvass of votes") are the An official report listing all candidates, write-ins, proposals, or questions on the ballot indicating the final number of votes cast per precinct and the number of votes given to each at an election as determined by the Board of Canvassers.	CL	X			
D34.7	City Board of Canvassers Minutes	PERM	Official minutes taken by the City Clerk at the City Board of Canvassers meeting held within 14 days of an election to certify the results which are then forwarded on to the County Board of Canvassers.	CL	X			

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D35	Election Commission and Nominations							
D35.1	Election Commission Minutes	PERM	Written records documenting proceedings at meetings of the Election Commission.	CL		DD		
D35.2	Election Notices (printer's bills)	ACT(until canvass of the election of completed)+2yrs	Published notice of election in local newspaper to notify the public of the close of registration to vote, of upcoming elections and of public accuracy tests of voting equipment. These records include a copy of the notice, the affidavit of publication and the invoices received from the newspaper indicating what was published and the dates.	CL		DD		
D35.3	Electronic Voting Devices	ACT+30 days (see ACT definition in Comments)	Includes any documentation for state and local offices, some school district elections, and special elections. They include electronic voting devices, ballot containers, and optical scan ballots, program, test decks, accuracy test results, the original edit listing, and any other related material. NOTE: If the electronic voting equipment is needed for an upcoming election, the original seal of record may be broken to permit the transfer of these records to sealed ballot bags for the remainder of their retention period.	CL	X	DD		ACT = until 30 days after the canvass of the election is completed, until a recount is completed, until a court order or a Secretary of State order to suspend destruction is lifted, or until an investigation into defective ballots or voting equipment is completed.
D35.4	Nominating Petition Record	ACT (until the petitions (see D31.4) are disposed of)+2yrs	This record lists which candidates submitted nominating petitions for each election cycle and contains the office, candidate filing date, determination date, number of signatures required and filed, date the petitions were returned or destroyed, and the date of the election.	CL	X	DD		
D35.5	Nominating and Qualifying Petitions	ACT(completion of election)	A document signed by qualified voters of the City nominating a candidate for a particular City office to be voted for at a specific election. These petitions contain signatures of registered voters living within the office's jurisdiction stating that they want to have the candidate's name placed on the ballot. All signatures are to be signed in the presence of the circulator. If sufficient valid signatures are collected, the candidate's name is placed on the ballot. NOTE: These records may be returned to the candidate or destroyed as requested by candidate at the end of their retention period.	CL	X	DD or NC		Returned to candidate or destroyed as requested by candidate
D35.6	Affidavit of Identity	ACT(completion of election)+2yrs	An identification document signed by a candidate for office whose signature has been notarized. This document is filed with nominating petitions.	CL	X	DD		Only City elections
D35.7	Candidate Listing	ACT(completion of election)+2yrs	This register is used to log when a candidate fills an Affidavit of Identity.	CL	X	DD		
D35.8	Poll Book Statement of Votes	ACT(completion of election)+2yrs	Written record of voter's name, voter number, and ballots issued for a specific election. Includes statement records and tally sheets. This record also includes any remarks made by the chairperson, tally of write-in votes, challengers, and ballot summary.	CL	X	DD		
D35.9	Tally Sheets/Books	ACT(completion of election)+2yrs	These documents are used to calculate the number of write-in votes. These sheets may be part of the poll book.	CL	X	DD		
D36	Voter Registration							
D36.1	Voter Registration Master Cards	ACT(until cancelled)+10yrs	Card which identifies who is registered to vote in elections which include: voter's name, address, registration date, date of birth, address changes, precinct, and petitions signed. The signatures on the cards are used to verify the identify of the voter.	CL	X	DS		Cancellation File separate
D36.2	Voter Identification Cards—returned non-deliverable	ACT(until voter's registration cancelled)	Voter identification card sent to voter indicating voter's name, address, precinct, and voting location which are returned to the Post Office as undeliverable	CL	X	DS		
D36.3	Voter Registration Applications	ACT(until a master card is generated)	Applications to become a registered voter are received in a variety of ways. The information from the application is entered into QVF and a master card is generated.	CL		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D36.4	Federal Post Card Applications	CR+4yrs	Voter Registration/absent voter ballot applications are produced and distributed by the federal government to permit eligible individuals to vote while outside the country.	CL		DD		
D36.5	Election Inspector Applications	ACT(while the person is eligible for appointment as an inspector)	These applications are submitted by people who are interested in serving as election inspectors. The local election commissions appoint inspectors.	CL		DD		
D36.6	Election Inspector Training	SUP	Records developed by the Bureau of Elections, the County Clerk, and the local Clerk to train election inspectors.	CL		DD		
D36.7	Oath of Office Taken by Election Officials	ACT(completion of election)+2yrs	This affidavit is signed by election officials who serve on Absent Voter Counting Boards, as election inspectors, etc who affirm that they will lawfully fulfill the duties to which they have been appointed. These oaths may be part of the poll book. Note: Poll watchers who observe the action of the absent voter counting board must also take and sign an oath of secrecy.	CL		DD		
D36.8	Precinct Maps	SUP	These maps define the boundaries of precincts within a jurisdiction.	CL		DD		
D36.9	Preliminary Accuracy Testing (Federal Offices)	ACT(completion of election)+2yrs	These records document tests of voting equipment prior to the election which include data containing voting formulas for the lection that is used to test the equipment's accuracy, AutoMARK testing, test ballots, test decks, documents and certification, edit listings, etc.	CL		DD		
D36.10	Preliminary Accuracy Testing (Federal Offices)	ACT(until the election is held)+30days	These records document tests of voting equipment prior to the election which include data containing voting formulas for the lection that is used to test the equipment's accuracy, AutoMARK testing, test ballots, test decks, documents and certification, edit listings, etc.	CL		DD		
D36.11	Proposal Petitions	ACT(until canvass of the election is completed)+2yrs	Petitions submitted by groups or individuals requesting to place a question on a local ballot. These petitions contain signatures of registered voters living within the jurisdiction stating that they want to have the proposal placed on the ballot.	CL		DD		
D36.12	QVF Precinct List	ACT(until the election is held)+ 2yrs	Lists generated from the Qualified Voter File to identify who is registered to vote at each precinct with the jurisdiction.	CL		DD		
D36.13	Voter Registration Cards-Voided	CR+2yrs	Clerks will void a registration application if the application's deficiency cannot be resolved. A notice of rejection is sent to the application.	CL		DS		
D36.14	Voter Registration Cards-Change of Address	ACT(until the official voter registration record is updated)	Written notice signed by the voter that he/she has changed his/her addresses. These records include Election Day Change of Address Notices and Address Confirmation Notices.	CL		DD		
D36.15	Voter Equipment Acquisition	ACT(life of equipment)+6yrs	Records that document the acquisition and maintenance of voting equipment including contracts, HAVA grants, maintenance agreements, serial numbers, resolution, correspondences, etc.	CL		DD		
D37	UNUSED AT THIS TIME							
	Clerk-Miscellaneous							
D38	Official Land Records Maintained by Clerk							
D38.1	Easements and Leases	PERM	Official copies of easements and leases granted by the City. Includes drawings and associated legal description records defining the location and boundary of easements for utility lines, use of right-of-way, or for the lease of City land or facilities.	CL	X			
D38.2	Real Estate Files (City-owned property)	PERM	Any official documents, including deeds, surveys, maps, property sales records, etc., about land and buildings owned by the City.	CL	X			
D38.3	Final Plats/Mylars	PERM	Final plats showing approved land subdivision after recordation by the County.	CL	X			

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D39	Freedom of Information Act (FOIA) Request and Response Records	CR+1yr	Official records associated with FOIA requests and responses. Includes documentation of the request and response (including denial) by the City and any related correspondence or administrative materials.	CL	X	DD		
D40	Insurance Policies (City Property/Fleets)	ACT(at policy expiration)+7yrs	Insurance policies that cover liability and damage on City-owned vehicles.	CL	X	DD		
D41	Agreements and Contracts	PERM	Official copies of formal agreements and contracts that the City enters into with outside parties.	CL	X			
D42	Non-Profit Charitable Gaming Qualifications	PERM	Records related to request of the City to recognize non-profit organizations that apply to the Michigan Lottery Charitable Gaming Division for a Charitable Gaming license for fundraising. These records may include correspondence, 501@3 documentations, bylaws and articles of incorporation.	CL				
D43	Traffic Control Orders	PERM	Records that establish regulatory control of vehicular traffic within the City of Rochester Hills city limits. Regulatory control could be in the form of establishing speed limits, stop and yield conditions at intersections, parking restrictions, signal operations, regulating traffic for special events, or other regulatory control	CL				
D44	Special Licenses and Permits Managed by Clerk		Includes records associated with the application and approval of special permits and licenses that are the main responsibility of the Clerk's Office.					
D44.1	Alcoholic Beverages Applications, Licenses, Inspections	ACT(while the business owns the license—including escrow period)+10yrs	Includes applications for licenses, and issued licenses, related information and correspondence about alcoholic beverage licenses. Also includes inspection records associated with alcoholic beverage licenses.	CL		DD		
D44.2	Solicitor License Applications and Records	CR+1yr	Includes, applications for solicitor licenses, issued licenses, related information, and correspondence.	CL		DD		
D44.3	"No Trespassing" Sign Registration Applications and Records	CR+1yr	Includes applications for No Trespassing sign registration, issued permits and signs, related information, and correspondence.	CL		DD		
D44.4	Fireworks Permits Applications and Records	CR+1yr	Includes applications for Fireworks permits, issued permits, related information, and correspondence.	CL		DD		
D44.5	Mechanical Device Licenses Applications and Records	CR+1yr	Includes applications for Mechanical Device licenses, issued licenses, related information, and correspondence.	CL		DD		
D44.6	Dance Hall Permit Applications and Records	CR+1yr	Includes applications for Dance Hall permits, issued permits, related information, and correspondence.	CL		DD		
D45	Annual Report/Message	CR+4yrs	Monthly statistics of Vital Stats filed, applications received, certified copies issued, and revenue collectively created year-end report.	CL		DD		
D46	Birth and Death Records							
D46.1	Death Records	PERM	Death certificates and related records filed with and maintained by the Clerk's Office.	CL	X			
D46.2	Birth Records	PERM	Birth certificates and related records filed with and maintained by the Clerk's Office.	CL	X			
D47	Passport Records	CR+1yr	Records associated with applications and issuance of passports for City residents.	CL		DD		
D48	City Charter	PERM	The City charter establishes the powers and duties of all City officials, prescribes procedures to be followed in operating the government, establishes safeguards to protect against misuse of authority, and provides opportunities for citizen involvement.	CL				
D49	Oath of Office Taken by Elected Officials	PERM	Documentation of administration of Oath of Office.	CL	X			

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
D50	Ordinances and Index	PERM	Laws of the City of Rochester Hills, adopted by the Rochester Hills City Council.	CL	X			
D51	UNUSED AT THIS TIME							
D52	UNUSED AT THIS TIME							
D53	Legal Files (official files in vault or archive storage)	PERM	These files document any litigation to which the City is a party, which may include decisions, correspondence, data exhibits, research materials, reports, etc	CL	X			
D54	Code Books	PERM	City Ordinance Book-official record of City ordinances.	CL	X			One copy kept permanently
D55	City Insurance Policies	EXP+6yrs	These files include insurance policies that provide coverage for property and casualty, workers compensation, errors and omission, fleet, general liability, umbrella, etc.	CL	X	DD		
D56	Records of Mailings	CR+1yr	Records and logs of monthly postage use reports of outgoing mail postal service.	CL		DD		
E. PUBLIC SERVICES DEPARTMENT (DPS) (includes Engineering and Garage)								
E1	Formal DPS Meeting and Hearing Records	PERM	Includes meeting materials for boards, commissions, or other groups for which the DPS is the primary City support/participant.	DPS, CL				Minutes in Clerk's Office
E1.1	Non-Council Meeting Materials	PERM	Includes agenda and supporting material, meeting notifications, minutes, synopses, meeting reports, correspondence related to the meeting, and other materials associated with non-Council created meetings for which DPS is the lead City agency. Mainly applies to Oakland County Drain Commission, and formal meetings or hearings related to a CIP or private development project under review.	DPS				
E1.3	Advisory Traffic and Safety Board Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Advisory Traffic and Safety Board. This includes meeting agenda, full minutes, and special notices.					
E1.2	Advisory Traffic and Safety Board Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Advisory Traffic and Safety Board for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).					
E2	CIP Design or Construction Project Design and Management Information		Includes all records that relate to the planning, design, approval, contractor selection, and execution of work for Capital Improvement Projects for which DPS is primarily responsible.					
E2.1	Preliminary CIP Project Investigations, Plans, and Cost Projections	ACT(end of project)+7yrs	Preliminary investigations, planning, cost estimation, budget projections, and other material prepared to support budget approval or as a step carried out prior to and in support of detailed design and contractor selection.	DPS		DD		
E2.2	Budget and Project Approval Records	ACT(end of project)+7yrs	Information that documents formal approval of CIP budget and approvals to proceed with a specific project.	DPS		DD		
E2.3	CIP Plans and Specifications Developed by DPS	ACT(end of project)+7yrs	CIP project specifications prepared by DPS to be included in RFB/RFP release to solicit responses from contractors.	DPS		DD		
E2.4	Contractor Work Monitoring, Inspection, and Acceptance Records	Contract Change orders: ACT(life of structure) Other records: ACT (end of project)+5yrs	Records that document DPS oversight, review, and approval of work on a CIP project. Includes notes, formal reports, correspondence, field inspection information, marked-up drawings, and other information about the project execution and review by DPS. Also includes records on any formal changes to project specifications, cost, or the exercise of contract terms relating to contractor performance.	DPS		DD		Engineering microfilms all
E2.5	CIP Construction Plans and As-built Drawings	ACT(life or removal of structure)	Final approved drawings and specifications for the CIP project.	DPS		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
E3	Deeds/Surveys/ Property Information	PERM	Official records, maps, and plans documenting property boundaries, ownership, and land rights associated with projects for which DPS has primary responsibility.	CL	X			Clerk's Office is official custodian but DPS keeps copies
E4	Easements	PERM	Legal documents that define boundaries or areas covering all or parts of land parcels that describe and convey certain rights for use of the land to a specific party. DPS has primary interest in easements that grant rights for utilities, road, and drainage improvements.	CL	X			Clerk's Office is official custodian but DPS keeps copies
E5	Equipment and Engineering Manuals, Guidelines, Standards		Formal documents that describe accepted engineering and project performance standards and procedures for engineering design, construction, and infrastructure operation.					
E5.1	Construction/Engineering Design and Construction Requirements, Standards, Specifications	SUP+6yrs	Any documents that describe requirements or procedures for engineering design, preparation of drawings and project specifications, and submittal of materials for review by DPS.	DPS		DD		
E5.2	Equipment/Vehicle Operations and Maintenance Manuals	ACT(Life of equipment)	Manuals or specifications defining practices for optimal set-up, operation, service, troubleshooting, and preventative maintenance for equipment and vehicles used by DPS.	DPS		DD		
E5.3	Standard Facility Drawings or Specifications	SUP+6yrs	Standard mechanical or design drawings and accompanying specifications of commonly used or constructed facilities or devices (e.g., hydrant placement and connection). These are readily available materials that should be used in engineering design projects.	DPS	X	DD		
E6	Construction and Land Development Project Review and Approval		All records associated with the submittal and review of proposed private development projects (residential, commercial, industrial) for which DPS is primarily responsible. Includes road, utility, drainage, and other types of construction projects.					
E6.1	Plans, Drawings Submitted for Review	ACT (until revised)	Initial engineering plan drawings submitted for review by a developer for a residential or commercial construction project.	DPS		DD		
E6.2	Final Approved Plans and Drawings	ACT(life or removal of structure)	Final engineering plan drawings with revisions made as a response to review by DPS (and other designated parties) for a residential or commercial construction project.	DPS	X	DD		
E6.3	Project Specifications and Details	For projects not approved: EVT(project rejection)+2yrs; Projects approved: ACT(life or removal of structure)	Any detailed descriptions, reports, data, results of testing, or other engineering specifications for the proposed project. These detailed specifications would accompany engineering drawings.	DPS		DD		
E6.4	County Drain Project Plans, Drawings, and Project Specifications	ACT(life or removal of structure)	Plans and specifications for drainage projects carried out under the auspices of the Oakland County Drain Commission.	DPS		DD		
E6.5	Private Development Project Review and Approval Records	ACT(life or removal of structure)	Any notes, reports, correspondence, marked-up plans, etc., that document the review and approval process for a proposed private development project. Includes records relating to preconstruction planning and meetings.	DPS		DD		
E7	Construction Project Inspection and Approval							
E7.1	Construction Project Inspection and Approval Records	ACT(life or removal of structure)	Records associated with the regular inspection process for private construction projects. Includes inspection scheduling information on logs, field notes, sketches, or photographs, compiled inspection reports, inspection records describing actions taken, and communications with the developer or contractor. Also includes formal documents granting temporary or final acceptance of work.	DPS		DD		
E7.2	As-built Drawings (Residential/Commercial projects)	ACT(life or removal of structure)	Engineering drawings completed after construction that capture actual construction information (including any changes that occurred after the final plan approval).	DPS	X	DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
E8	Water/Sewer Customer and Water Meter Records		Records associated with the installation and service of water meters, setting up utility customer accounts, handling customer service questions, and meter reading. Customer accounts are associated with a physical site (based on address location) and remain active through any ownership transfers, until the service connection is removed.					
E8.1	Application for Water Service	ACT(until termination of service to property)+1yr	Applications to the City by a property owner or developer to begin receiving water and sewer service from the City.	DPS		DD		
E8.2	Customer Complaints and Questions	ACT(until settlement)+5yrs	Complaints from customers relating to utility service, billing, water quality, etc., and records documenting the City's response.	DPS		DD		
E8.3	Connect/Disconnect Orders	ACT(life of connection)+2yrs	Requests for utility connect and disconnect and documents that order and confirm such actions by DPS.	DPS		DD		
E8.4	Meter Installation, Location, and History	ACT(life of meter)+2yrs	Any physical asset records that document the location, work order tracking information, installation, maintenance, or removal of meters. Includes records that document meter testing activities and the results of the tests.	DPS		DD		
E8.5	Meter Reading Data	FY+1yr	Data or records that document the reading of meters--results of manual or electronic reading of meters in the field that is used as a basis for customer billing.	DPS, AC		DD		
E9	Miss Dig Requests and Response Records	CR+1yr	Records of requests and actions by the City for the Miss Dig program (to locate underground utilities prior to excavation).	DPS		DD		
E10	Infrastructure Permits and Related Records		Records relating to the submittal, review, and approval of permits for which DPS has primary responsibility. This includes submitted permits and related material or attachments; records of fees paid; reports, notes, and tracking information concerning permit review; internal or external correspondence concerning the permits, and records relating to permit approval.					
E10.1	Environmental Permits Issued by State	PERM	Records relating to the submittal, review, and approval of permits issued by the State Dept. of Environmental Quality (DEQ) or the Department of Natural Resources (DNR) that are required for land development in the City. Includes permits issued under the NPDES, SWPPP programs, and permits for approval of water and sewer construction.	DPS		DD		
E10.2	Excavation/Grading/Soil Erosion Permits	CR+20yrs	Records relating to the submittal, review, and approval of permits giving approval for land grading and excavation. Includes Soil Erosion Permits issued by the Oakland County Drain Commission.	DPS		DD		
E10.3	Right-of-Way Permits	ACT(permit expiration)+30yrs	Records relating to the submittal, review, and approval of permits for use of the public right-of-way.	DPS		DD		
E10.4	Land Improvement Permits	ACT(permit expiration)+30yrs	Records relating to the submittal, review, and approval of permits required by the City prior to any land development work.	DPS		DD		
E10.5	Water/Sewer Connection Permits	ACT(life of active connection)	Records relating to the submittal, review, and approval of permits that allow a developer or property owner to connect a service line to a City water or sewer main and to become a water/sewer customer.	DPS	X	DD		
E10.6	Drain Permits	ACT(life of active connection)	Records relating to the submittal, review, and approval of permits granted by the Oakland County Drain Commission (OCDC) for use of drainage facilities or construction of land drainage improvements. The City works with OCDC in permit review.	DPS	X	DD		
E10.7	Traffic Permits	ACT(until end of event)+1yr	Records relating to the submittal, review, and approval of permits that allow special traffic control or re-routing (e.g., for a special event).	DPS		DD		
E10.8	Floodway Designation and Use Permits	ACT(life of structure)+1yr	Records relating to the submittal, review, and approval of permits that identify and allow development (with mitigation measures) inside designated floodways.	DPS		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
E10.9	Driveway Approach/Curb Cut Permits	CR+5yrs	Records relating to the submittal, review, and approval of permits granted to allow installation of a driveway or cut of a curb to allow egress from a property to a City road.	DPS		DD		
E10.10	Valve or Hydrant Use Permits	CR+5yrs	Records relating to the submittal, review, and approval of permits granted in response to an application for special access or use of water valves or hydrants.	DPS		DD		
E10.11	Wetland Use Permits	PERM	Records relating to the submittal, review, and approval of permits allowing development (with mitigation measures) in areas that could impact delineated wetlands. DPS handles these permits for residential land.	DPS		DD		
E10.12	Road Vacation or Road Closure Permits and Records	CR+5yrs	All records associated with temporary road closures or permanent road vacations. This includes applications and requests for closures or vacations, records documenting the review and approval, notifications, and other documentation about road closures and vacations.	DPS		DD		
E10.13	Other DPS Permits	EXP+5yrs	Records relating to the submittal, review, and approval of permits, not covered by other retention categories, for which DPS has primary responsibility.	DPS		DD		
E11	Water and Sanitary Sewer Inventory, Testing, and Maintenance Records	CR+20yrs	All records that contain information concerning condition, maintenance, cleaning, and repairs of the City's water and sanitary sewer utility systems. This includes inventories that identify status and condition, maintenance planning and scheduling records, work orders, field notes, and reports and logs documenting work performed. Also includes equipment test and performance records (e.g., pump stations, sewer lift stations, hydrants).	DPS	X	DD		
E12	Road, Pathway, and Streetlight Inventory and Maintenance Records	CR+20yrs	All records that contain information concerning condition, maintenance, cleaning, and repairs of the City's road, pathway, sidewalk, traffic control, and related transportation infrastructure and facilities (e.g., signs). This includes inventories that identify status and condition, maintenance planning and scheduling records, work orders, field notes, and reports and logs documenting work performed.	DPS	X	DD		
E13	Storm Sewer and Drainage System Inventory and Maintenance Records	CR+20yrs	All records that contain information concerning condition, maintenance, cleaning, and repairs of the City's storm sewer utility and drainage control facilities. This includes inventories that identify status and condition, maintenance planning and scheduling records, work orders, field notes, and reports and logs documenting work performed.	DPS	X	DD		
E14	Water/Wastewater Sampling Records			DPS				
E14.1	Standard Water Sampling and Testing with Detroit Water and Sewer Dept.	CR+12yrs	Records that show the location of sample points, history of the sampling activity, and results of lab testing of the samples that are conducted as part of the City's regular water sampling program with the Detroit Water and Sewer Dept.	DPS		DD		
E14.2	Project-related Sampling and Testing	CR+10yrs	Records that show the location of samples, history of the sampling activity, and results of lab testing for water sampling done in connection with specific projects, e.g., a) in coordination with a developer during a construction project, b) as part of an IDEP investigation or drainage study.	DPS		DD		
E14.3	Water Well Testing Records	CR+12yrs	Records that document testing of private or public wells for water quantity and sampling and testing of water quality.	DPS		DD		
E14.4	Treatment Plant Tests	CR+12yrs	Records of tests of water treatment equipment and processes and quality of water or wastewater at treatment plants.	DPS		DD		
E15	Special Infrastructure Studies and Investigations							
			Includes records of any special engineering project or study not associated with other DPS records retention categories that is carried out by DPS (or its contractors) or in projects carried out by external organizations in which DPS participates.					

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
E15.1	Illicit Discharge Analysis and Program (IDEP) Management	CR+20yrs	Records that document work done by the City under the IDEP program (to identify illegal/illicit connections to the storm sewers). Includes project specifications, data collected or generated, summary tables, reports, correspondence, etc., related to the project.	DPS		DD		At least one copy kept for historical purposes
E15.2	Special Utility Operations and Capacity Studies	CR+20yrs	Engineering or research studies to examine the operation or capacity of the City's water or sewer system. Includes project specifications, data collected or generated, summary tables, reports, correspondence, etc., related to the project.	DPS		HI		At least one copy kept for historical purposes
E15.3	Special Drainage Studies	CR+20yrs	Engineering studies to examine and provide the basis for action on runoff, drainage, and flood control problems or as a step in the design of a drainage improvement project. Includes project specifications, data collected or generated, summary tables, reports, correspondence, etc., related to the project.	DPS		HI		At least one copy kept for historical purposes
E15.4	Traffic Volume, Transportation Planning and Traffic Engineering Studies	CR+20yrs	Engineering or research studies to examine traffic flow and volume, long-range transportation planning, traffic engineering, or related topics. Includes project specifications, data collected or generated, summary tables, reports, correspondence, etc., related to the project.	DPS		HI		At least one copy kept for historical purposes
E16	Standard Reports Prepared or Filed by DPS		Standard reports concerning the City's transportation or utility infrastructure prepared by DPS for an external entity (e.g., county or state agency) or prepared by an outside group as maintained in DPS files.					
E16.1	Annual Summary to Michigan DEQ	CR+10yrs	Annual report on water quality and service	DPS		DD		
E16.2	CCR Water Quality Report to DEQ	CR+10yrs	Potable water report to the State. Data collected by DWSD at meter connections.	DPS		DD		
E16.3	Lead and Copper Report	CR+10yrs	Report to State on replacement of lead water lines.	DPS		DD		
E16.4	SWPPI Report	CR+10yrs	Stormwater permit support activities report.	DPS		DD		
E16.5	MS4 Report	CR+10yrs	Stormwater permit annual report.	DPS		DD		
E16.6	MI DEQ Progress Reports	CR+10yrs	Progress reports on stormwater activities periodically/annually.	DPS		DD		
E17	Vehicle Repair/Safety/Use Records							
E17.1	Safety Inspections	EVT(until vehicle disposition)+1yr	Official safety inspections and accompanying certification documents.	DPS		DD		
E17.2	Vehicle Maintenance Records	EVT(until vehicle disposition)+1yr	All records of service, maintenance, and repair, including routine checks and maintenance (e.g., oil change) and other repair activities.	DPS		DD		
E17.3	Vehicle Use Logs and Reports	FY+1yr	Records documenting actual use of the vehicle (day, times, person, mileage).	DPS		DD		
E18	Vehicle Purchase and Ownership Records		All records that document purchase, ownership, registration, and any reported incidents (accidents) in which the vehicle is involved (claims, police reports, etc.).					
E18.1	Vehicle Purchase/Acquisition/Disposition Records	EVT(until vehicle disposition)+1yr	Vehicle purchase invoice. Vehicle auction/trade-in receipt.	DPS		DD		
E18.2	Vehicle Title/Ownership Records	EVT(until vehicle disposition)+1yr	Vehicle title of ownership.	CL		DD		
E18.3	Vehicle License/Registration/Insurance Records	EVT(until vehicle disposition)+1yr	Vehicle license/certificate of registration and insurance certificate.	DPS		DD		
E18.4	Vehicle Incident Reports and Claims	CR+5yrs	Vehicle police accident reports involving City vehicles.	DPS		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
E19	Utility and Infrastructure Project and Service Agreements		Contracts, agreements, and associated documentation that document formal relationships with non-City parties (county, neighboring cities and townships, state government, utility companies and service providers) for provision of service, sharing of costs, or joint participation in infrastructure projects or utility services.					
E19.1	Interlocal Service/Maintenance Agreements	EXP+6yrs	Any formal agreement with an external entity (e.g., utility company) regarding the provision of infrastructure-related service (e.g., water supply).	CL	X	DD		
E19.2	Infrastructure Project Collaboration and Cost Share Agreements	EXP+6yrs	Any formal contracts or agreements for cost sharing or collaboration on an infrastructure-related project.	CL	X	DD		
E19.3	Street Lighting Agreements	EXP+6yrs	Street lighting agreements with Detroit Edison.	CL	X	DD		
E20	Asset Management Database	CR+20yrs	Database used to capture and track information on repair, maintenance, and other work on City owned infrastructure (roads, utilities, buildings, grounds, trails, etc.). Database is a running log of work activity and may reference other external sources of information and	DPS		DD		
E21	Building Security Access Records and Logs							
E21.1	Key Authorization	ACT(until key returned)	These records are used to track employees who have been assigned keys to City facilities. They may identify the person's name, employee identification number, date issued/returned, key code, the person authorizing the issuance of the key, etc.	DPS		DD		
E21.2	Security System-Movement Logs	CR+1yr	Identification badges are swiped for door entry at some parts of some facilities. This includes automated and hard copy records recording entry to City facilities with electronic security controls.	DPS		DD		
E21.3	Security System Access Authorization	ACT(while access authorization is valid)	Identification badges are swiped for door entry at some parts of some facilities. This includes all records documenting the issuance of badges to employees, contractors, and others for whom authorization has been granted.	DPS		DD		
F. FIRE DEPARTMENT								
F1	Fire Dept. Business Files	ACT(existing building)+5yrs	All files associated with the permitting, construction, inspection and maintenance of a building for which the Dept. has an assigned role. This includes records documenting the Department's review of building construction plans, fire alarm and sprinkler system plan reviews, piping plan reviews, site construction and system installation inspections, complaints, violations and correction orders, etc.	FR		DD		
F2	Investigative Reports	ACT(until investigation completed)+10yrs	Records that document special inspections about fire safety or related safety concerns. Includes consent to search forms, fire investigative reports, fire scene photos, and other investigative records.	FR		DD		
F3	Fire Dept. Annual and Monthly Reports	CR+2yrs	Any formal reports prepared on a regular basis that document Fire Dept. activities. This includes the Fire Dept Annual Report, Dept monthly reports, and the Fire Prevention Bureau Monthly Report.	FR		HI		
F4	Fire Equipment and Apparatus Inventory, Inspection, and Maintenance Records	ACT(life of vehicle)+1yr	Records relating to the type, condition, service, and maintenance of all Fire Dept. equipment, vehicles, and firefighting apparatus. Includes status information and service/maintenance of equipment and apparatus.	DPS		DD		
F5	Fire Activity Logs and Schedules	CR+1yr	All records documenting daily activities and work schedules. Includes EMT Bravo schedules, full-time firefighter schedules, dispatcher schedules, training schedules, and other activity log and schedule records.	FR		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
F6	Fire Dept. Guidelines and Procedures	SUP+1yr	Guidelines and procedures for various divisions within the Fire Dept. Includes firefighter guidelines, Fire Prevention Bureau Guidelines, Fire Dispatch Guidelines, Union Contract rules, and other official guideline or procedure documents.	FR		DD		
F7	Fire and EMS incidents and Response	CR+2yrs CR+30days (voice records)	Includes all records that document calls and response to fire and EMS incidents including EMS run sheets, NFIRS incident reports, carbon monoxide advisory notices, and other incident records.	FR	X	DD		
F8	Site-specific Facility and Hazardous Materials Information	ACT(until revised information)+1yr	Detailed information about specific sites that supports response activities. Includes such records as site specific plan drawings, Tier Two forms, and chemical surveys.	FR		DD		
F9	Fire Dept. Permit Review and Related Inspection Records	ACT(until permit expiration)+1 yr	Information submitted by applicant and records documenting review and approval relating to permits for which the Fire Dept. has prime responsibility. This includes such permit types as Burn Permits, Fireworks Permits, and Special Event Permits. Note: The Fire Dept is also a part of the process for plan and permit review coordinated by other Departments (Building, Planning, DPS).	FR		DD		
F10	Fire Dept Meeting Minutes	CR+5yrs	All documentation and minutes from standard scheduled meetings in the Fire Dept. including Monthly Paid-on-Call Officers meetings and Monthly Full-Time Officers meetings	FR		DD		
F11	Emergency Records Database	CR+2yrs	This includes transactional database used by the Fire Department to store and managed information about fire and emergency medical incident responses	FR, MIS		DD		
F12	Emergency/Disaster Preparedness Plans and Records of Events							
F12.1	Emergency or Disaster Plans	SUP+1yr	Emergency and disaster preparedness plans for the City of Rochester Hills or for specific City government buildings and facilities.	FR	X	DD		
F12.2	Records of Emergency or Disaster Events	PERM	Records that document an actual emergency event or disaster and the response to the event.	FR		DD		
F13	Safety Advisory Notices and Alerts	CR+10yrs	Record of any emergency notifications or alerts issued by the Fire Dept. or another agency in coordination with the Fire Dept. for distribution via broadcast media, newspaper, mail, or phone notification. Also includes tests of emergency notification systems and sirens.	FR		DD		
F14	Community Education and Training Records	ACT(until end of activity)+7yrs	Documentation about special educational programs, events and training (exhibitions, demonstrations, tours) on fire prevention and safety for the community in which the Fire Dept. has a lead role. This includes any plans, training materials, agreements, correspondence, attendance or activity reports about the program or event.	FR		DD		
G. HUMAN RESOURCES								
G1	Employee Accident/Incident Reports	CR+30yrs	Reports of accidents or related incidents impacting an employee's health that occurs in the workplace or during the performance of an employee's job.	HR		DD		Maintained in separate confidential file
G2	Applications for Employment	Candidate not hired: CR+6yrs; Candidate hired: EVT(termination)+30yrs	Employment applications, resumes, supporting information, interview records, correspondence.	HR		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
G3	Employee Service Records	ACT(until employment termination)+30yrs	Employee personal information, promotion/job status, termination records, employee evaluation and disciplinary records, employee recognition and award records and HIPAA compliance records.	HR		DS		Disciplinary record removed from personnel file per union contract, maximum 4yrs.
G4	Job Classification and Studies	ACT(while in active use)+5yrs	Records of studies performed to evaluate City positions and salary levels, compare City positions with those in other municipalities, and to provide recommendations for revision of job classifications, position descriptions, and salary levels.	HR		DD		
G5	Employee Grievance/ Complaint Records	EVT(settlement)+10yrs	Any records associated with a complaint by an employee (about working conditions, personnel actions, job duties, etc.). Includes written records of the complaint and documentation of the City's response.	HR		DS		Maintained in separate confidential file
G6	Job Posting	CR+6yrs	Advertisement for open positions (full-time, part-time, seasonal) posted for public distribution via news media, mail, Web site, etc.	HR		DD		
G7	Employee Information and Benefit Records		Records that document benefits for active employees. Includes enrollment information, documentation of employee's selection of benefit options, special deductions, etc. This includes documentation on all benefits offered for employees, including health and dental coverage, deferred comp plan, life insurance, disability insurance, etc.					Maintained in separate employee benefits file
G7.1	Information about Benefit Providers, Program, and Options	SUP+6yrs	Educational and descriptive information about benefit plans and options offered by the City.	HR		DD		
G7.2	Employee Benefit Enrollment Records	ACT(until employment termination)+6yrs	Records that document employee selections of benefit options and enrollment in the programs.	HR		DD		
G8	Job Descriptions and Pay Grades	ACT+6yrs	The City's official descriptions of job functions, qualification requirements, and associated pay grades.	HR	X	DD		
G9	Labor Negotiations and Agreements for City Employees							
G9.1	Union Negotiation and Communication Records	EXP(contract)+10yrs	Records that document negotiations, collective bargaining, and official communications with unions recognized by the City. This includes correspondence; all records associated with union negotiations and meetings with union representatives; records about union requests, complaints, and resolution of problems; draft contract terms; etc.	CL		DD		
G9.2	Labor Agreements and Contracts (Official Records)	ACT(until termination or expiration of contract or agreement)+30yrs	Ratified agreements with unions and employee organizations for applicable employment positions used by the City.	CL		DD		
G9.3	Employment Contracts and Agreements (Official Records)	ACT(until termination or expiration of contract or agreement)+30yrs	Records that document the preparation and ratification of employment contracts between the City and designated employees and officials.	CL		DD		Part of employee's personnel file
G10	Employee Leave and Overtime Applications, Authorizations, and Reports	FY+3yrs	Employee applications and supervisory approval of employee leave and overtime hours. Also includes summary reports of leave and overtime. These records are maintained by individual Departments	DEP	X	DD		
G11	Employee Disciplinary Actions	Non-Union: No suspension: EVT (until separation)+5yrs; Suspension or Dismissal: EVT+30yrs Union: EVT+30yrs	Formal records prepared by the City that document reprimands or other disciplinary action against an employee. This includes documentation of the City's action, responses by the employee, and any other records associated with the action.	HR		DS		Part of employee's personnel file. Union employee contracts call for 2 yr. retention in office file for 2491 and 3 years in office file for 3472, followed by 20 years in archive
G12	Position Requisitions and Related Records	ACT(until action taken)+2yrs	Documents relating to formal requests for creation of a new position or filling of an existing vacant position. These records include requests for budgeted funds and confirmation of budgeted items for the position and approval to proceed with job posting.	HR	X	DD		Permanent copy stored by Accounting

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
G13	Retirement—Membership/ Enrollment Records	EVT(audit following death of retiree or beneficiary or termination of benefits for living beneficiary)	All records associated with an employee's retirement, including applications and confirmation of retiree status and enrollment in programs and benefits available to retirees.	HR		DS		
G14	Employee/Retiree Medical Status and Drug Test Records	ACT(termination of employment or enrollment)+30yrs	Records that document a requirement for any medical testing and documentation about the results of such tests. This includes employee drug testing, any medical exams necessary to confirm eligibility for medical insurance or treatment, disability claims, etc.	HR		DS		
G15	Employee Training and Professional Development							
G14.1	Descriptions of Training/ Education Programs and Opportunities	SUP	Descriptions of training and education programs offered by the City or an outside training provider that the City offers to employees.	HR		DD		
G14.2	Employee Requests for Training/Conference/ Seminar Attendance	EVT(completion of training)+6yrs	Formal requests or applications from employees for participation in training/education programs and records that document City approval and actual participation by the employee.	HR		DD		Part of employee's personnel file
G14.3	Training Materials	SUP	Course books, agenda, presentation materials, and other material used in training programs sponsored, supported, or endorsed by the City.	HR or DEP		DD		
G16	Change of Employee/ Retiree Status	ACT(until termination or death)+6yrs	Records that document formal requests and confirmation of action by the City regarding a change in the status (job class, salary adjustment, benefits selection) of an employee or retiree.	HR	X	DD		Part of employee's personnel file
G17	HIPAA Compliance and Employee Information Release Records	ACT(until updated)	Formal documentation about the Health Insurance Portability and Accountability Act (HIPAA). Includes formal policies adopted by the City and all records that document HIPAA compliance. Also includes records that relate to other aspects and rules governing personal information privacy and release of employee information.	HR	X	DS		
G18	OSHA Time Tracking Information	CR+3yrs	Includes logs and other records that track lost employee time due to on the job injuries.	HR		DD		
G19	UNUSED AT THIS TIME							
G20	Employee Database	ACT(until termination)+6yrs	Database storing basic information about employees, job position, employment status, and other information necessary for Human Resources administration.	HR, MIS		DS		
H. MAYOR'S OFFICE								
H1	Administrative Policies and Executive Orders	PERM	Formal policies and executive orders that are formally issued and distributed by the Mayor's Office.	CL	X	DD		
H2	Citizen Inquiries and Complaints	ACT(until settlement)+5yrs	Records about formal complaints and inquiries that are submitted by external parties and responded to by the Mayor's Office. Note: Also see retention category A8 concerning non-FOIA requests that any City office may receive and respond to.	MA		DD		
H3	Complaint Information and Resolution Records	ACT(until settlement)+5yrs	Records that document the response from the Mayor's Office (or delegated City Office) to requests or complaints submitted to the Mayor's Office.	MA		DD		
H4	Legal Opinions	PERM	Written statements by City legal staff (internal or contracted) giving a legal interpretation or opinion about a particular issue or topic as initiated by the Mayor's Office or other City Office. Note: Records associated with actual legal cases and litigation are covered under retention Section I.	CL	X	DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
H5	Organizational Charts and Related Information on City Organizational Structure	PERM	Includes charts and related documentation defining the organizational structure of City government, the roles and functional relationships of City offices, organizational relationships with outside parties (e.g., Boards and Commissions), and other records that document the organizational structure and authority of City offices.	CL	X	HI		
H6	Press Releases, Announcements, and Published Materials for Public	PERM	Any records prepared for public release or distribution to mass media that convey information about City programs, policies, events, etc. This includes press releases, public flyers and pamphlets, and other information materials designed for external distribution.	MA		HI		
H7	Welcome Packet Information	CR+2yrs	Written materials included in Welcome Packets and records that document the distribution of Welcome Packets to new residents.	MA		DD		
H8	UNUSED AT THIS TIME							
H9	Formal Speeches and Addresses	PERM	Text versions of formal speeches given by the mayor (or mayor's representative) to internal staff and external audiences.	MA		HI		
H10	Broadcast Media Procedures and Programming Records		Operating procedures and other records that support preparation of material for broadcast programming (radio, TV).					
H10.1	Programming and Broadcast Procedures and Technical Documentation	SUP+1yr	Documents that describe procedures for planning and executing programs for cable TV and radio and technical information about preparing and running broadcast media programs and administration of broadcast activities.	MA		DD		
H10.2	Records from Specific Programs	CR+3yrs	Plans, scripts, directions, logs, etc., for specific programs.	MA		DD		
H11	UNUSED AT THIS TIME							
Mayor's Office—Fiscal/Purchasing								
H12	Building Authority Meeting Materials							
H12.1	Building Authority Study Committee Meeting Supporting Materials	PERM	All agenda-related documents that are placed before Historic Districts Study Committee for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	FI				
H12.2	Building Authority Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Brownfield Redevelopment Authority. This includes meeting agenda, full minutes, and special notices.	FI				
H13	Annual Budget Preparation and Adoption Records							
H13.1	Annual Budget (adopted)	PERM	Adopted annual budget for a specific Fiscal Year (final budget after approval by City Council).	CL	X	DD		
H13.2	Annual Budget (draft versions under consideration)	ACT(until budget adopted)	Draft versions of annual budget prepared for review and revision.	FI		DD		
H13.3	Budget Request Records	ACT(until final budget)	Annual requests for funding to be considered for upcoming budget adoption (submitted by City Offices).	FI		DD		
H13.4	Budget Support Documentation and Appendices	PERM	Any records or supplemental materials prepared to explain or justify budget items under consideration for approval and inclusion in the annual budget.	FI				
H13.5	Documentation from Public Budget Meetings and Hearings	PERM	Information relating to public meetings and hearings organized to get comments about draft versions of the budget.	CL				
H14	CIP Preparation and Adoption Records							
H14.1	Capital Improvement Plan (adopted)	PERM	Adopted CIP for a specific Fiscal Year (final CIP after approval by Planning Commission and incorporation into the budget).	CL				

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
H14.2	Capital Improvement Plan (draft versions under consideration)	CR+1yr	Draft versions of CIP prepared for review and revision.	FI	X	DD		
H14.3	CIP Project Application Records	CR+1yr	Annual requests for funding to be included in upcoming budget (submitted by City Offices).	FI		DD		
H14.4	CIP Support Documentation	CR+1yr	Any records or supplemental materials prepared to explain or justify CIP items under consideration for budget approval and adoption.	FI		DD		
H14.5	Documentation from Public Review of CIP	CR+1yr	Records that document any comments from the public on draft versions of the CIP. May be comments voiced at public meetings or submitted outside of a public meeting forum.	FI		DD		
H15	Vendor/Contractor Solicitation and Selection							
H15.1	Purchase Requisitions	ACT(until purchase is concluded)+7yrs	A request to obtain material or services and give approval for proceeding with a purchase.	PR		DD		3 most recent years kept in office, previous archived at Iron Mtn.
H15.2	Request for Quotations	ACT(until purchase is concluded)+7yrs	A formal document used to solicit responses from vendors and contractors for specified products and services that are under \$25,000 in price. Also includes all records regarding advertisement and distribution of the RFQ.	PR		DD		3 most recent years kept in office, previous archived at Iron Mtn.
H15.3	Request for Bids	ACT(until purchase is concluded)+7yrs	A formal document used to solicit bids from vendors and contractors (used in cases where the requested products or services are generally standard offerings and can be selected primarily based on lowest bid). Also includes all records regarding advertisement and distribution of the ITB.	PR		DD		3 most recent years kept in office, previous archived at Iron Mtn.
H15.4	Request for Proposals	ACT(until purchase is concluded)+7yrs	A formal document used to solicit proposals from vendors and contractors (used in cases mainly for the contracting of services where scope and quality are major factors in the selection process). Also includes all records regarding advertisement and distribution of the Bid or Bid Tab.	PR		DD		3 most recent years kept in office, previous archived at Iron Mtn.
H15.5	Vendor/Contracted Quotations Submitted	ACT(until purchase is concluded)+7yrs	Documents and supplementation materials submitted by vendors and contractors in response to an RFQ.	PR		DD		Non winning quotes may be kept longer if there is active protest.
H15.6	Vendor/Contractor Bids Submitted	ACT(until purchase is concluded)+7yrs	Documents and supplementation materials submitted by vendors and contractors in response to a Bid or Bid Tab.	PR		DD		
H15.7	Vendor/Contractor Proposals Submitted	ACT(until purchase is concluded)+7yrs	Documents and supplementation materials submitted by vendors and contractors in response to an RFP.	PR		DD		
H15.8	Internal Quote, Bid, Proposal Review and Scoring Records	ACT(until purchase is concluded)+7yrs	Internal records prepared by City personnel to support and document the evaluation of bids, quotes, or proposals submitted by vendors and contractors. Includes materials like scoring and comment forms, procedures for evaluation and scoring, etc. Also includes records that document decisions and recommendations for selection of a "shortlist" of vendors or contractors and a winning vendor or contractor.	PR		DD		
H15.9	Notification Letters to Vendors and Contractors	ACT(until purchase is concluded)+7yrs	Notifications and related correspondence to vendors and contractors about the selection. Includes letters to the recommended vendors or contractors and the losers.	PR		DD		
H15.10	Vendor/Contractor Protest Records	ACT(until purchase is concluded)+7yrs	Any records that document protests regarding the City's selection.	PR		DD		
H16	Purchase Contract and Agreement Records							
H16.1	Purchase Orders	ACT(until purchase is concluded)+7yrs	Formal documents authorizing payment for a product or service. All types of purchase orders, including Blanket POs.	PR		DS		# most current years stored at City Hall. Previous archived at Iron Mtn.
H16.2	Purchase Contract Negotiation and Draft Terms	ACT(until purchase is concluded)+7yrs	Records that document negotiations and communications with vendors or contractors during preparation of a purchase contract and any draft versions of the contract prepared prior to ratification.	PR		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
H16.3	Final Contracts for Products/ Professional Services	ACT(until purchase is concluded)+7yrs	Contracts or agreements with vendors or contractors that document terms governing products or services provided.	CL		DD		
H16.4	Contract Change Orders and Amendments	ACT(until purchase is concluded)+7yrs	Formal changes to the contract scope, timing, or pricing that are ratified and become part of the contract.	CL		DD		
H16.5	Contractor's Bonds and Insurance Records	- Insurance: EXP+7yrs - Bond Records: EXP+7yrs	Formal insurance certificates and records documenting posting of bid bonds or performance bonds as required for a particular purchase or project.	CL		DD		
H16.6	Blanket Purchase, P-Card, and Automatic Bill Paying Agreements	ACT(while agreement is active)+7yrs	Agreements and related policies, procedures, correspondence, etc., regarding blanket purchase orders, any electronic bill paying arrangements established for specific categories of products (Office Depot for on-line office supply purchase), and records documenting the P-Card program.	PR		DS		
H16.7	BidNet Records and MITN Records	ACT(while BidNet service active)+3yrs	All records associated with the City's participation in the Michigan Intergovernmental Trade Network and its work with the BidNet service (for on-line bid, quotation, and proposal solicitations). Includes formal agreements, policies, meeting notes, correspondence, and other administrative records.	PR		DD		
H17	P-Card Policies, Procedures, Reports and Related Documentation		Official policies and procedures governing the allocation and use of P-Cards and agreements signed by employees, who have been given P-Cards. Also includes expense reports.					
H17.1	P-Card Employee Agreements, Policies, and Procedures	EXP+2yrs	Official policies and procedures governing the allocation and use of P-Cards and agreements signed by employees who have been given P-cards.	PR		DD		
H17.2	P-Card and Blanket Purchase Records and Reports	CR+3yrs	Includes all statements and records of purchases made through P-cards. Includes lists of the transactions, records or approval by supervisors, and approval by Purchasing Division. Also includes bank statements documenting purchase transactions.	PR		DS		The actual statement is kept by Accounting as part of their invoices. Purchasing keeps records in paper format for 3 years and with on-line access from the Bank for 15 months.
H18	Vendor/Contractor Contact, Invoicing, and Management Records							
H18.1	Vendor Address Book and Documentation	SUP	Official list of vendors and contractors with which the City does business. Includes up-to-date contact information and verification of pertinent business information, current insurance, payment of bonds, etc. Also includes all necessary documents submitted by a vendor or contractor (insurance certificates, license documentation, financial information, etc.)	PR		DD		
H18.2	Vendor/Contractor Performance Problem Records and Claims	ACT(until settlement)+7yrs	Any records that document problems in performance or violation of contract terms by the vendor or contractor. Includes correspondence, results of meetings to resolve problems, and formal actions invoking terms for resolution of problems, penalties, or termination of contract.	PR		DD		
H19	City Property Auction Records	CR+5yrs	All records documenting auctions for City surplus property. Includes initial requests for auctioning items (by a City Dept.) and records documenting the placement of items for auction, results of the auction, and documentation of payment and transfer of the item.	PR		DD		
H20	Research Reports Supporting Purchasing	CR+3yrs	Documentation from any research performed relating to purchasing and prices for products and services used by the City. Includes any data or reports compiled about sources, opportunities for cost savings, or improved procedures for purchasing.	PR		DD		
H21	Risk Management Documentation		Records documenting City's liability insurance coverage, information about liability claims, and associated documentation					
H21.1	Certificates of City Insurance Coverage and Policy Documents	EXP+7yrs	Certificates of City's liability insurance coverage through contracted providers (e.g., MMRMA)	FI		DD		
H21.2	Monthly and Quarterly Insurance Claims Reports	CR+7yrs	Standard reports outlining the claims they have received by provider (e.g., MMRMA). This is used to ensure that they have received all claims received and to ensure that the City's database includes all claims.	FI		DD		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
H21.3	Fiduciary Liability Insurance Policy	EXP+7yrs	Provides information about the City's Fiduciary insurance coverage and is the official policy.	FI		DD		
H21.4	Incident and Claim Documents	CR+10yrs	Fiscal keeps records relating to each risk management incident and claim that is reported to the City. Documents include claim letters, internal incident reports, police reports, etc.	FI		DS		
H21.5	Underground Storage Tank Registration Documentation	PERM	Document registration of the City's underground storage tanks submitted to the State Dept of Environmental Quality and liability claims associated with the tanks.	FI				
H22	Purchasing and Procurements Database	ACT(until purchase is concluded)+7yrs	Database used to store information about procurements of products and services including information on bids and RFPs, selection of vendors, and purchasing information.	FI		DD		
Mayor's Office—Grants								
Successful Grants—Each grantor (state, federal or private sector) reserves the right to audit a grantee for a specific period of time after the grant concludes. This amount of time varies per grantor, and averages 5 years. It is the responsibility of the grantee to know how long this audit cycle runs and to retain the records for that amount of time. Thus the retention period is ACT (until project is completed, plus the audit cycle). Note that this applies to the original application, financial documents, administration materials, products of the grant, correspondence, reports, etc. The City may keep the final products or reports longer for reference or historical purposes.								
H23	Community Development Block Grant (CDBG) Records							
H23.1	Unsuccessful CDBG Request Records	CR+3yrs	Documentation about requests for allocation of CDBG funds.	FI		DD		
H23.2	Successful CDBG Application Materials	ACT(all activity completed)+4yrs	Documentation about requests for allocation of CDBG funds that are approved by government agencies in charge of allocating the funds.	FI		DD		
H23.3	CDBG Administration Records	ACT(all activity completed)+4yrs	All records that document plans for CDBG funding use, approval of funding use by the City Council, project specifications and contractor selection, and oversight of project funding through the CDBG program.	FI		DD		
H24	Other City Grant Application and Administration Records							
H24.1	Unsuccessful Grant Application Materials	ACT(date of rejection)+3yrs	Documentation about requests and applications for grant funding (non-CDBG) that are not approved.	FI		DD		
H24.2	Successful Grant Application Materials	ACT (all activity is completed)+4 OR as defined by terms of grant	Documentation about requests and applications for grant funding (non-CDBG) that are approved by the grant organization.	FI		DD		
H24.3	Grant Administration Records	ACT (all activity is completed)+4 OR as defined by terms of grant	All records that document use and administration of projects for which the grant funding is used.	FI		DD		
I. LEGAL CASES AND LITIGATION (Mayor's Office, Clerk's Office, Other): Includes all official legal records for legal cases, litigation, court rulings, arbitrated settlements, etc., in which the City is a party or participant. Legal cases may include any business or program area, including accounts receivable, contractor/vendor disputes, negligence/liability claims, criminal activity, real property acquisition/disposition, personnel or labor disputes, taxation or fee payment disputes, worker compensation, etc.								
I1	Indexes/Summaries	PERM	Lists or indexes of events and documents associated with the case or reports that summarize the case facts, proceedings, and actions.	CL				
I2	Case Files	ACT(close of case)+10yrs	All documents relating to the case generated by the City, parties involved, and the courts or arbitration entity. Includes records of claims and charges; response to claims; background data and materials; testimony by parties involved; subpoenas; court orders, proceedings records; rulings; related correspondence, etc.	MA, CL	X	DS		City uses contract attorneys to handle cases that relate to MMRMA claims, personnel cases, organized labor matters, and other litigation. Detailed case records are maintained at the attorney offices. The City maintains basic records relating to the initiation and settlement of the cases.

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
J. PARKS AND FORESTRY DEPARTMENT								
J1	Park and Museum Activity and Program Records							
J1.1	Park/Museum/Event Attendance Records	CR+3yrs	Summary statistics and reports providing information on the actual attendance at park facilities or at special programs and events sponsored by the Parks and Forestry Dept.	PF		DD		
J1.2	Team Sport Rosters and Schedules	SUP	Records documenting athletic programs, leagues, etc., that are sponsored or supported by the Parks and Forestry Dept.	PF		DD		
J1.3	Membership Lists	SUP	Lists and tables of memberships in programs sponsored by the Parks and Forestry Dept. (e.g., Museum members).	PF		DD or HI		
J1.4	Park and Museum Activity Schedules	SUP	Schedules for Park and Museum events, special programs, and activities.	PF		DD		
J1.5	Museum Collection and Exhibition Records	PERM	Information and inventories of items in the Museum's collection (including acquisition records) and any records providing information about display of the items in the Museum. This includes records on item deaccession.	MU				
J1.6	Museum and Park Special Event and Program Summaries and Reports	ACT(until end of event)+3yrs	Any records associated with the planning, organization, set-up, and management of special educational, recreational, or cultural programs provided or supported by the Parks and Forestry Dept.	PF		DD		
J1.7	Historic Marker Program Records	PERM	Records associated with the review or designation of sites for the Historic Marker Program.	PF				
J1.8	Museum Archives	PERM	Documents and images of historical value archived at the Museum	PF				
J2	Park Facility Use Permits, Reservation, and Rental Records	ACT(until end of facility use)+1yr	Records associated with applications and permits for use or rental of park facilities. Includes required forms, proof of insurance, records documenting payment of fees, other documentation required for use of certain facilities, and records confirming approval of park facility use.	PF		DD		
J3	Park and Museum Administration Records							
J3.1	Parks Activity Reports (all units)	CR+5yrs	Regular reports prepared on a weekly, monthly, or annual basis for internal or external use that summarize programs and activities of the Parks and Forestry Dept.	PF		DD		
J3.2	Records of Green Space Advisory Board Meetings	PERM	Agendas, supporting materials, meeting/hearing announcements, related correspondence, meeting materials, summary reports, synopses, minutes, and other information relating to the meetings of the Green Space Advisory Board. These are public meetings and records need to be maintained permanently	PF		DD		
J3.3	Museum/Park Volunteer Records	CR+3yrs	Applications and hiring information on volunteers selected for work at the Museum and Parks sites.	MU		DD		
J3.4	Park Concession and Museum Store Inventory, Ordering, and Sales Records	FY+3yrs	All records relating to sales of goods at parks or the Museum store. This includes inventory and ordering information and records documenting sales and monetary transactions.	PF		DD		
J3.5	Recreational Facility Lease Records	CR+1 yr	Field and shelter rentals.	PF		DD		
J3.6	Vendor Concession Permits and Records	CR+1 yr	Outside contractors for concessions at park events.	PF		DD		
J3.7	Park Facility Incident Reports and Claims	ACT(until claim is processed)+6yrs	Accidents, injuries, or incidents in the parks. Note: In cases of injuries to a minor, an incident report must be kept until the minor reaches 18 yrs old + 1 year).	PF		DD		
J4	Park Facility and Equipment Construction and Maintenance							
J4.1	Park Facility/Trail Construction and Development Plans and Design Specifications	ACT(life of facility or transfer of ownership)	Engineering plans and design specifications and drawings for the construction or improvement of park or trail facilities.	PF		DD		If facility is sold or ownership transferred, records are transferred.

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
J4.2	Park Facility Construction Project Management Records	ACT(life of facility or transfer of ownership)	Records that document the Parks and Forestry Dept. management and oversight of design and construction projects. Includes comments and mark-ups on plans, review notes, correspondence, records of inspection work, etc.	PF		DD		
J4.3	Park Facility Maps, As-built Drawings, and Property Information	ACT(life of facility or transfer of ownership)	Maps and property information of park boundaries and features and As-built drawings of park facilities.	PF		DD or NC		Final plans and project specifications maintained permanently. Interim plans maintained until superseded by revision.
J4.4	Park Facility/Equipment Inventory and Maintenance Records	ACT(life of facility or equipment)	Records that document information about the type, condition, status of park facilities and equipment, and all repair and maintenance activities. Includes inventory reports, work orders, and records of maintenance and repair work.	PF		DD		
J4.5	Park Facility Insurance and Certification Records	EXP+6yrs	Documentation of City insurance relating to use of park facilities and any records associated with safety inspections and certifications.	PF		DD		
J4.6	Special Park Facility or Equipment Studies	CR+15yrs	Any records associated with special reviews, inspections, or research about park facility or equipment that might contribute to park program planning or improved use and maintenance of existing facilities and equipment.	PF		DD		
J5	Park Master Plan and Associated Records							
J5.1	Project Design and Administration	CR+10yrs	Records that relate to initiating a project for Master Plan update (e.g., project specifications and requirements), coordination with contractor(s) providing support services, related correspondence, and other records relating to the Plan preparation effort.	PF		DD		
J5.2	Park Master Plan Drafts and Related Review and Revision Records	ACT(until final plan)	Drafts of the Master Plan prepared for formal review and comment and records associated with draft review, including correspondence and notices soliciting comments, directions or background information for reviewers, written comments from reviewers.	PF		DD		
J5.3	Final Park Master Plan	SUP	Final Park Master Plan after City Council approval	CL	X	DD or HI		Current Master Plan is maintained. Copies of old Plans may be archived for historical purposes. Official copies maintained by Clerk's Office.
J6	Forestry and Tree Management Records							
J6.1	Tree Inventory Records	SUP+5yrs	Documentation of the location, type, and condition of City trees (trees located in Parks and within the City right-of-way).	PF		DD		
J6.2	Tree Treatment, Planting, Removal Permits and Records	CR+3yrs	Records documenting the treatment, planting, trimming, or removal of trees. Includes activities associated with routine tree maintenance, special programs for disease control (Gypsy Moth, Ash Bore), planting and care of trees for new developments.	PF		DD		
J6.3	Tree-related Complaints and Violation Records	ACT(until settlement)+3yrs	Records that document complaints about trees on public or private land, inspections in response to complaints, records of violations and enforcement actions concerning tree removal, and other related records.	PF		DD		
J7	Parks/Museum Donation and Fundraising Records	FY+7yrs	Money donated for events or programs	PF		DD		
K. PLANNING AND DEVELOPMENT DEPARTMENT								
K1	Census Data	PERM	Any records, reports, statistical summaries that contain information about the City's or region's demography and population characteristics or trends that are prepared by the City, another government agency (including the U.S. Census Bureau), or other party.	PD				

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
K2	Formal Meeting Records for Council-Created Boards, Commissions, Committees		Agendas, supporting materials, meeting/hearing announcements, related correspondence, meeting materials, summary reports, synopses, minutes, and other information for meetings and actions of Boards and Commissions for which the Parks and Planning Dept. provides primary support.					
K2.1	Planning Commission Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Planning Commission. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.2	Planning Commission Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Planning Commission for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				
K2.3	Historic Districts Committee Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Historic Districts Commission. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.4	Historic Districts Committee Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Historic Districts Commission for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				
K2.5	Historic Districts Study Committee Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Historic Districts Study Committee. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.6	Historic Districts Study Committee Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Historic Districts Study Committee for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				
K2.7	Brownfield Redevelopment Authority (BRA) Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Brownfield Redevelopment Authority. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.8	Brownfield Redevelopment Authority (BRA) Meeting Supporting Materials	PERM	All agenda-related documents that are placed before Brownfield Redevelopment Authority for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				
K2.9	Zoning Board of Appeals (ZBA) Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Zoning Board of Appeals. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.9	Zoning Board of Appeals (ZBA) Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Zoning Board of Appeals for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				
K2.10	Local Development Finance Authority (LDFA) Meeting Agendas, Minutes, and Notices	PERM	Written records documenting proceedings and transactions at meetings of the Local Development Finance Authority. This includes meeting agenda, full minutes, and special notices.	PD				Minutes in Clerk's Office
K2.11	Local Development Finance Authority (LDFA) Meeting Supporting Materials	PERM	All agenda-related documents that are placed before the Local Development Finance Authority for discussion, recommendation, and action. Includes staff reports, proposed resolutions, and supporting material (e.g., minutes from past meetings, agreements, reports, permits, referrals from Committees and City Council, etc.).	PD				

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
K3	Wetlands Determination Records	PERM	Documentation of applications for wetlands delineation, fee payment, results of wetlands determination (done by contractor or DPS), and correspondence with the applicant.	PD				
K4	Concept Plan Records	SUP(until project is approved)	Records associated with Concept Plans (initial phase in review or possible developments). Includes forms for request of a Concept Plan meeting, documentation on scheduling of the meeting, the concept plan, and any records summarizing the meeting and prepared in follow up to the meeting.	PD		DD		
K5	Review and Approval Records for Land Development Projects or Re-Zoning Applications		All records associated with submittal and review of proposed land development projects and applications for re-zoning for which the Planning and Development Dept. has primary responsibility. This includes site plans, subdivisions, planned unit development, condominium development, and applications for rezoning and zoning variances.					
K5.1	Plans, Drawings Submitted for Review	ACT(until revised)	Initial engineering plats and plan drawings submitted for review by a developer.	PD		DD		
K5.2	Final Approved Plans and Drawings	PERM	Final plats and engineering plan drawings with revisions made as a response to review by DPS (and other designated parties).	PD	X	DD		
K5.3	Submitted Applications, Specifications, and Project Details	For approved projects: PERM; Projects not approved: ACT(until rejection)+2yrs	Any detailed descriptions, reports, data, results of testing, or other engineering specifications for the proposed subdivision, PUD, site plan, or condominium project or applications and supplemental information for zoning decisions. These detailed specifications would accompany plats and engineering drawings. Also includes administrative records for submittals, including any forms, documentation on fee payment, etc.	PD		DD		
K5.4	Private Development Project Review and Approval Records	PERM	Any notes, reports, correspondence, marked-up plans, etc., that document the review and approval process for a subdivision plat, PUD, site plan, or condominium project.	PD				
K6	Wetland Permits and Related Records	Applications for approved permits: 10yrs; Not approved: ACT(until rejection)+2yrs	Records relating to the submittal, review, and approval of permits allowing development (with mitigation measures) in areas that could impact delineated wetlands. The Planning and Development Dept. handles these permits for non-residential land. (DPS is responsible for residential land permits.)	PD		DD		
K7	Master Land Use Plan							
K7.1	Project Design and Administration	CR+10yrs	Records that relate to initiating a project for Master Plan update (e.g., project specifications and requirements), coordination with contractor(s) providing support services, related correspondence, and other records relating to the Plan preparation effort.	PD		DD		
K7.2	Master Land Use Plan Drafts and related Review and Revision Records	ACT(until final plan)	Drafts of the Master Plan prepared for formal review and comment and records associated with draft review, including correspondence and notices soliciting comments, directions, or background information for reviewers, written comments from reviewers.	PD		DD		
K7.3	Final Master Land Use Plan	PERM	Final approved version of the Land Use Plan.	CL	X			
K8	Special Planning or Environmental Research and Assessment Project Records	PERM	Documentation of any special studies or research projects carried out by the Planning and Development Dept. or another party that collects information and prepares projections or recommendations pertinent to planning issues.	PD		HI		
K9	Land Use Data or Records	PERM	Statistics, tables, maps, or reports containing information about demography and land use of the City.	PD				

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
K10	Economic Development Corporation Records		All records associated with the creation and work of the City's Economic Development Corporation in response to the Michigan Economic Development Corporations Act of 1974					
K10.1	EDC Foundational Documents	PERM	These documents establish the City's EDC as a non-profit organization. They include Articles of Incorporation, By-laws, etc.	PA				
K10.2	EDC Project Summaries	PERM	Records that explain or provide an index to EDC projects and project review. Includes records documenting submittal and review of projects, contains a short description of the project, incentives used, investment information, performance targets and results, etc.	PA				
L. TREASURER								
L1	UNUSED AT THIS TIME							
L2	Banking, Billing, and Investment Records					DS		
L1	Special Assessment District Billing and Payment Records	ACT(active account)+1yr	Includes billing and payment records for Special Assessment Districts.	TR	X			
L2.1	Deposit Slips and Records	EVT (audit)+1yr	Books containing duplicate copy of Treasury Bank deposit slip and any bank adjustment notices.	TR		DS		
L2.2	Bank Statements	EVT(audit)+1yr	Formal statements of account transactions from financial institutions.	TR, AC	X	DS		Also covered under D3.3. Accounting is main custodian, Treasurer keeps copy for reference until audit is complete.
L2.3	Investment Purchase Confirmations	EVT(maturity)+1yr	Records that serve as confirmation of purchase transactions for such investments as certificates of deposit, commercial paper, and US Treasury Bonds.		X	DS		
L2.4	Long-term Investment Records and Reports	EVT(audit)+1yr	Records and reports documenting decisions and transactions of long-term investments. Includes records of transactions with brokers and financial institutions concerning long-term investments in Govt. Obligations, CP and CDs, etc.	TR	X	DS		
L2.5	Special Assessment District Billing and Payment Records	CR+6yrs	Includes billing and payment records for Special Assessment Districts.	TR	X	DD		
L3	Canceled Bonds and Coupons	See MCL 1797CL 129.121 Et seq.	Records associated with the disposition and destruction of cancelled bonds and coupons in accordance with state law.	TR	X	DS		
L4	Receipts and Listings							
L4.1	Receipts	CR+6yrs	Receipts issued or obtained for fees and other payments to the City and payment by the City for goods and services.	TR		DD		
L4.2	Cashiers Interface Listing	CR+6yrs	Daily listing of all payments received in Treasury .	TR		DD		
L5	Duplicate Payment Refund Tax Distributions	ACT(until refund made)+2yrs	Records that document refunds of overpayments for personal or real property taxes. Includes associated forms, ACH transaction records, related correspondence, and other records.	TR		DS		
L6	Jeopardies	CR+2yrs	All records associated with the identification and processing of tax jeopardies. Includes records that document research of businesses that potentially may be in jeopardy situations and records associated with jeopardy tax billing and receipt of payment.	TR		DD		
L7	Various City Bonds							
L7.1	Bond Reports	CR+1yr	Listing of monthly bond activity, including outstanding bonds, new bonds, bond refunds, and adjustments.	TR	X	DD		
L7.2	Bond Forfeiture Reports	EVT(forfeiture)+20yrs	Reports that identify cases and document account information for bond forfeitures (e.g., bonds associated with building permits or other development projects).	TR		DS		

Record Series ID	Record Series Name	Retention Period (1) (see accompanying explanation of codes)	Retention Series Description	Official Custodian (2)	Vital Record (3)	Disposition Action (4)	Revision Date	Comments
L8	Parking Ticket Records	EVT(audit)+1yr	Parking tickets and records of payment for tickets.	TR		DD		
L9	Tax Billing and Payment Records	CR+1yr	Summer and winter tax calculation reports and payment activity.	TR	X	DD		
L10	Bankruptcy Claim Records	ACT(City claim satisfied)+5yrs	Records documenting bankruptcy filings with the City--where the City filed a claim.	TR		DS		
L11	Dog License Records	FY+1yr	Records documenting applications and issuance of dog licenses (on behalf of Oakland County Animal Control).	TR		DS		
L12	WS ACH Policies and Enrollment Records	EVT(ACH termination)+2yrs	Records that document the establishment of automatic clearinghouse (ACH) accounts for payment of water/sewer bills, documentation of ACH transactions.	TR		DD		
L13	Treasurer's Settlement Reports	ACT(current year)	Final settlement report used for turning over delinquent property taxes to Oakland County for collection.	TR		DD		Oakland County is permanent custodian. After active year, records are transferred to County

Records Retention and Disposal Schedule (RRDS) for the City of Rochester Hills

RETENTION CODE EXPLANATION

Note: this retention code explanation accompanies the City of Rochester Hills, "Records Retention and Disposal Schedule" (RRDS). These codes reflect those approved by MI State Dept of History, Arts, and Libraries: www.michigan.gov/hal/0,1607,7-160-17451_18673_31548-99621--,00.html

Explanation of how the retention period is coded:

These codes associate the period with an event, starting point, or formally defined cycle (e.g., fiscal year) that establishes a basis for the retention period. In addition to the retention codes, described below, a segment of time, (normally years but months could also be used) are used to define the total retention period.

In the retention schedule, the period for a given record series is presented in the form, *[retention code]+[segment of time]*. For example, a record category may have the retention period of "CR+3yrs", meaning that the record must be maintained a for 3 years after its creation. Likewise, a period of "EVT+6yrs" means that it must be maintained 6 years after an defined event has occurred (e.g., such as the completion of a formal audit). The retention period implies a requirement for the custodian to properly dispose of the records (hard copy or digital) when they have reached the end of their retention period.

Retention Code	Explanation of Code
ACT	Active: An active code is usually assigned to records that are case or project related (e.g., construction project, legal case, etc.). The records are retained "until the case or project is closed." This code can also be applied to records where a subjective decision is needed to determine when the records become inactive, as with a subject file. The record is retained "until it is determined to be inactive." The retention period is applied when the ACT condition has been met. For instance, a case file might be retained until the case is closed (ACT) plus five years.
CR	Creation: A creation code is assigned to records when a definitive retention period can be assigned. The retention period is usually based on a calendar year and where there are no conditions that must be met. For instance, correspondence has a two-year retention period. The retention period begins from the date the correspondence is created or received.
EXP	Expiration: An expiration code is typically assigned to contracts, grants or other types of agreements that must be retained until an expiration date or other legal condition has been met. For instance, contracts may be held until contract expiration (EXP) plus six years
FY	Fiscal Year: A fiscal year code is similar to a CR code. The code is assigned to records when a definitive retention period can be assigned, however the retention is based on a fiscal year rather than a calendar year. This retention code is usually assigned to accounting records and their supporting documentation.
SUP	Superseded: Assigned to records that are updated or revised at various times during the records lifetime. Examples would include policies or procedures, technical manuals, etc. As a policy is updated and the old version is replaced or superseded, only the current version is needed.
EVT	Event: Event codes are assigned to records when a retention period is based on a future action or condition. We use this code when we know that a future action or condition will be met, but we don't know exactly when it will happen. For instance, the departure or termination of an employee impacts retention of various personnel records or the relinquishment of surplus of property or equipment influences maintenance of fixed asset records.
DISP	Immediate Disposal: Immediate Disposal is a retention code that is used when an agency requires an authorization to destroy obsolete records upon the approval of their Records Retention and Disposal Schedule. Once the Retention Schedule is approved the agency has the legal authority to destroy the obsolete records.
PERM	Permanent: These records are not authorized for destruction at any point in time, and will be retained in the custody of the creating agency.

Records Retention and Disposal Schedule (RRDS) for the City of Rochester Hills

DISPOSITION ACTION CODE EXPLANATION

Disposition Action Code	Explanation of Code
DD	Destroy or Discard: Destroy or discard records or storage media, when they have reached the end of their retention period. This applies to records for which no security or privacy designations exist. These records may be destroyed, discarded, recycled, etc. in any manner deemed administratively expedient by the City
DS	Secure Destruction: Destroy records or storage media in a secure, permanent manner after they have reached the end of their retention period. This applies to records for which certain security or privacy designations exist meaning that routine procedures for destruction or discarding (DD) may not be followed. Prescribed procedures for destruction are suggested by HAL and in ARMA publications. Secure means of destruction may include incineration, physical shredding or pulverizing, chemical destruction, or magnetic erasure (in the case of magnetic storage media)
LA-BR	Long-term Archive before retention period reached: (Long-term Archive before retention period reached)—Records are properly packaged, documented, and transported to a designated archive location for long-term or permanent storage. This location is normally off-site and provides an efficient, cost-effective, secure, and properly controlled environment for records storage (e.g., like facilities provided by the Iron Mountain company). This applies to certain records that are no longer needed for operational or program administration purposes but which have not reached the end of their retention period.
HI	Historical Record Transfer: Selected records in the record series are designated as historical value and removed from the initial record series and stored for an additional period (possibly permanently) as "Historical Records" (Record Series A18)
NC	Transfer to New Custodian: This action occurs in cases where a record is not destroyed but is given to a new custodian for storage. This occurs primarily in cases where city property or facility ownership is transferred to a non-City party through sale, gift, or other method of relinquishment (e.g., sale of City land). In these cases, associated records would be transferred to the new owner.