

RECORDS RETENTION-DISPOSITION WORK SHEET SAMPLE

| CATEGORY | RECORD SERIES TITLE | TOTAL RETENTION PERIOD | | | REMARKS / CITATIONS |
|----------------|---|------------------------|--------|-------|---|
| | | Department | Fiscal | Legal | |
| Administration | VISITORS REGISTERS | 2 | | | --ERR [2], OC [1-3], Skupsky [1] |
| Finance | SECURITIES & EXCHANGE COMMISSION (SEC) FILES Includes: Work papers and monthly, quarterly, semi-annual and annual reports, such as S-8, 8K, 10K, 11K, S-14, and 100 | A+10 | | | --ERR [3+10], Skupsky [10] 67 CFR 257.2-3(a) [Life of Corp, A+3] 67 CFR 257.2-3(b) [A+3-10] 68 CFR 125.3-65(a) & (c) [A+3-10] 68 CFR 225.3-65(a) & (c) [A+3-10] 68 CFR 356.11-24(a) [10] |
| Human Res | DISCIPLINE FILES Pertaining to Individual Employees | A+6 | | | --ERR [A+6], OC [A+4-6], Skupsky [A+3] 68 CFR 125.327; 68 CFR 225.327 79 CFR 516.2 [2-3]; 79 CFR 516.3 [2-3] 79 CFR 1602.14 [A+1]; 79 CFR 1910 [1-30] |
| Operations | INCIDENT REPORTS Includes: Analyses, Investigation Reports, Security Breaches, Theft, Trespass, Vandalism Refer to Accident and Injury Reports relating to specific employee injuries. | 5 | | | --ERR [1-4 for Incident Rpts and Intrusion Logs, Perm for Violations/Infractions], OC [2-5], Skupsky [1] |

Key

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|------|-------------------------------|---------|------------------------|
| A | - Active Life of Record | OC | - Other Companies |
| CFR | - Code of Federal Regulations | PERM | - Permanent |
| CFY | - Current Fiscal Year | Skupsky | - Donald J Skupsky, JD |
| ERR | - Encyclopedia of Recs Rtnt | T | - Tax Audit Release |
| INDF | - Indefinite Retention | USC | - United States Code |

Approvals

| | | | |
|-----------------|-------|-------|-------|
| Department: | _____ | Date: | _____ |
| Fiscal Counsel: | _____ | Date: | _____ |
| Legal Counsel: | _____ | Date: | _____ |