



REAL ESTATE AND CONSTRUCTION SERVICES  
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DATE: July 10, 2008

## **RECORDS RETENTION and ARCHIVING POLICY**

### **A. PURPOSE**

1. To comply with Minnesota Statutes Section 15.17 and 138.17 regarding Records Retention and Minnesota Data Practices Act.
2. To retain project record documents for reference on future projects.

### **B. REFERENCES**

1. Statewide Accounting monitored by FMR, previous State Architect's Office and Real Estate Management policies.

### **C. GENERAL PROVISIONS and RESPONSIBILITIES**

1. Staff shall be aware that, under the Minnesota Data Practices Act, all emails, correspondence and documents are public data subject to public release upon request.
2. Project managers are responsible for structuring their files in the categories (as appropriate to project needs) during the progress of the project.
3. Project managers are responsible for delivering their organized files to the "staging area" for archiving at any time during the progress of the project.
4. Staff personnel can access the archived materials at any time on their own. All materials are tracked by project number either using micro fiche or DocuWare. Costs for retaining or archiving project documents, are to come from the project funds.
5. Copies of archived material are available at RECS or at an off site location.

### **D. ORGANIZATION OF DOCUMENTS TO BE ARCHIVED / RETAINED**

1. Consultant, Construction and Abatement files are to be organized per Attachment A.
2. Project Documents and/or files are to be organized for retention per Attachment B.

## E. RETENTION SCHEDULES- GENERAL RECORDS

1. Retention time periods of General Records shall be in accordance with Attachment B and C.
2. Retention time periods of Contracts and Certification forms for Statewide Accounting shall be in accordance with Attachment E.
3. Retention time periods for Leases and Land Acquisitions shall be in accordance with Attachment F.

## F. PROJECT RECORDS RETENTION SCHEDULE (Project Documents)

1. Record Documents for design and construction projects are useful throughout the life of a building. Construction drawings and specifications from previous projects serve as valuable tools of information for future projects within the building.
2. Project Documents are to be archived in accordance with the General Provisions of this Policy.
3. The hardcopy documents are to be scanned to an electronic disc. The electronic discs will be retained in the division then uploaded files from CD/DVD and import into DocuWare. The hardcopy drawings and specifications shall be returned to the agency that has custodial care of the building, contracts will be retained by agency for current year plus 6 fiscal years, and all other correspondence shall be recycled.
4. The retention schedule for project documents shall be for the lifetime of the building.

## G. DEMOLITION OF STATE BUILDINGS

1. Prior to and following demolition of a building or other structure, the Minnesota Historical Society shall be contacted to determine their intent for the building and specific building documents. Note: If the building to be demolished is on the National or State Historic Registers, you must coordinate activities with the State Historic Preservation Office (SHPO) prior to demolition.
2. Following demolition of a building or structure, should there be no interest in retaining building specifications or drawings, those records are to be destroyed.

## H. RETENTION / ARCHIVING PROCEDURE

1. During the progress of a project, Project Managers structure and organize the project files, in accordance with Attachment B. (Note: Small projects with few documents will not utilize all categories; Attachment B provides the full extent of categories that would be used for a major project).
2. At anytime during the project, or when the project has been completed, the RECS Project Manager shall complete Attachment "Archive Form" for each type of file and attach it to its respective file.
3. Place the file(s) with its Archive Form(s) in the Archive Staging Area.
4. The Archive Specialist shall periodically check the Archive Staging Area for staged documents that are ready for archiving.
5. The Archive Specialist shall make arrangements with the vendor to scan the documents.

6. The Archive Specialist then cleans all material (removing staples, paper clip, bull clips, etc.), removes duplicates, arranges in chronological order, creates and attaches a slip sheet for every bundle, boxes and schedules pick.
7. When the vendor has completed their scanning, the original documents will be returned to RECS.
8. The Archive Specialist shall return the original drawings and specifications to the facility where the project occurred.
9. Returned contracts will be filed by fiscal year, current year plus 6 fiscal years.
10. All remaining material shall be recycled.

#### I. LEASES

1. A completed lease is in the final format for archiving
2. Retained for 8 years
- 3.
- 4.

#### J. LAND SALES / EASEMENTS

1. Every thing is to be archived
2. Files are retained forever either on or off site
- 3.
- 4.

#### K. SPACE PLANNING (Known at this time)

1. Should space planning documents be archived?
2. They would need some type of project number to be archived (see Betsy or Crystal)
- 3.

# ATTACHMENT A

## ORGANIZATION of DOCUMENTS

### CONTRACT FILES

Centrally located; sorted by agency, facility, project and vendor

- **Consultant contract (Red) File**

Minimum list of items to be placed in “file sub-folders”

- **Inside cover**
  - Contract history log
  - Supplemental agreements
- **Section Two**
  - Contract
  - Copy of request for proposal (RFP)
  - Copy of successful RFP responses
  - Scoring results of RFP criteria
  - Project initiation form (PIF)
  - Director's notice to proceed letter
- **Section Three**
  - Letters giving consultant authorization to proceed to DD-CD-Bidding phases
  - Legislative notification letters
  - Legislative response letters
  - Emergency declaration
- **Section Four**
  - Pay requests
  - Payment report

- **Consultant contract (Green) File**

Specialty consultant files such as: Annual Contract/Master Design Contract, Owners Representatives

- Organization is same as Consultant (Red) file above

### CONTRACT FILES

Centrally located; sorted by agency, facility, project and vendor

- **Construction/contractor (Yellow) File**

Minimum list of items to be placed in “file sub-folders”

- **Inside cover**
  - Contract history log
  - Supplemental agreements
- **Section Two**
  - Contract from MMD
    - Performance Bond
    - Insurance certificate
  - Notice to proceed
  - Intent to award letter
  - Bid request form; targeted group goals setting document
  - Bid acceptance/rejection memo to MMD
  - Bid results (tabulation from MMD)
  - MMD's email with CEO & contract numbers
  - Consultant's recommendation to award letter
- **Section Three**
  - Consultant's recommendation to award letter
  - Building permit
  - Certificate of substantial completion (with punch list)
  - Signed off punch lists from contractor
- **Section Four**
  - Pay requests
  - Payment report

## **CONTRACT FILES**

Centrally located; sorted by agency, facility, project and vendor

- **Abatement (Blue) File**

Centrally located; sorted by agency, facility, and project

**Designer**

- **Inside Cover**
  - Pay requests
- **Section Two**
  - Amendments
  - Work order
  - Proposals
  - Certification form
  - Purchase order

**Air Monitor**

- **Section Three**
  - Pay requests
- **Section Four**
  - Amendments

- Work order
- Proposals
- Certification form
- Purchase order

**Contractor**

- **Section Five**
  - Pay request
- **Section Six**
  - Amendments
  - Project description
  - Budget
  - Purchase order
  - PIF

## **ATTACHMENT B**

### **PROJECT MANAGER FILES**

Kept during project and archived, category used on an “as needed” basis

- **General Project File**
  - Project directory (master list of all players involved in project)
- **Financial**
  - Project accounting worksheet
    - Budget
    - Project cost history
  - Legislative appropriation language
  - Construction cost estimates
  - PIF
- **Selection**
  - Unsuccessful RFP responses
- **Design**
  - Pre-design
  - Schematic design
  - Design development
  - Construction documents
  - Design guideline variance approvals
  - Design guideline checklist sign-offs
- **Bidding**
- **Construction**
  - Contractor record, list of sub-contractors
  - Correspondence and minutes
  - Request for information
  - Supplemental instructions

- Proposal requests
- Directives
- Permits
- Construction schedule
- Submittals
- Claims and disputes
- Test results
- Addenda
- **Project close-out**
  - Substantial completion
  - Final completion
  - Project record drawings/as built and specifications
    - Auto CAD
    - Project manual
  - Post-occupancy/warranty
- **Project schedule**

## Project Manager Specialty Files

Example of unique files that project managers create to suit project needs

- **Codes**
- **Abatement** (*cross reference project numbers – construction abatement*)
- **Permits/Inter-agency**
- **Voice and data**
- **Furniture, Fixtures and Equipment (FF&E)/space planning**

## KEY TERMS DEFINED

- **“Project:”** *An endeavor undertaken by a State Agency to plan and execute a capital improvement or asset preservation program.*
- **“Correspondence:”** *Any written, graphic or recorded oral information that will affect scope, performance, alters any contract, has possible legal consequence and/or affects the end users' expectations.*
- **“Financial data:”** *Documents and reports relating to project funding, budget, and actual cost.*
- **“Record documents:”** *Drawings and specifications that have been updated to accurately document all changes to construction work.*
- **“Cost estimates:”** *Estimated Cost of Construction that reflects a reasonable estimate of the probable cost of construction of the project, including contingencies for design, bidding, and escalation of costs to midpoint of construction.*

# ATTACHMENT C - General Records Retention Schedule for State Agencies

Fixed Asset Inventory - Schedule #02-136, May 2002 **(Supersedes Schedule #82-287)**

Item No.	Record Title/Description	Location	Form No.	Retention Period (Years)	Archival	Data Privacy
1	State Employee Personal Property	Agency	MM-00052 (Admin 760)	Retain until property is removed from agency.	No	Public
2	Completion of Interagency Transfers (Memo)	Agency	MM-00066	3	No	Public
3	Class Code List	Agency		Destroy when superseded.	No	Public
4	Summary of Equipment Report	Agency		3	No	Public
5	Fixed Asset Summary Report (PO Transactions Greater than \$10,000)	Agency		3	No	Public
6	Construction In-Progress Datasheets	Agency		3	No	Public
7	Summary of Land Reported	Agency		3	No	Public
8	Building Inventory Reports	Agency		3	No	Public
9	Fixed Asset Fwd 590 Schedules & Notes	Agency		3	No	Public

NOTE: Items originally listed as numbers 1 through 8, 10 through 12, 14 through 17 and 19, on Schedule #82-287 are OBSOLETE and removed from the schedule

**ATTACHMENT D**



**Real Estate and Construction Services(RECS)**

**Archive Form**

DOCUMENT INFORMATION	
Date:	Project / Lease Number:
Name of Project /Lease:	Agency: Facility Name:

DOCUMENT DESCRIPTION (DocDescr)		DOCUMENT TYPE (DocType)	
	Consultant contract (Red) File		Lease Contract
	Construction/contractor (Yellow) File		Contract
	Abatement (Blue) File		Correspondence
	Purchase & Invoice		Owners Manual
	Testing		Plan
	General Correspondence		Report/Study
	Financial		Specifications
	Designer Selection-	For future retrieval, the best description will be accomplished by CHECKING A BOX IN EACH COLUMN i.e. If you are archiving Testing, Check "Testing" in the left column and "Report/Study" in the right hand column.	
	Design		
	Bidding		
	Construction		
	Close Out/Warranty		
	Project Schedule		
	Predesign		
	Correspondence		
	Final Report		

Documents Specialist:	Project /Lease Manager
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## ATTACHMENT E

### Statewide Accounting Retention Schedule

Description	Old Form #	Current Form/Report #	Retention (Yrs)
A614 MONTHLY (General Ledger Report, microfilm)		A614	Current year plus two(2) fiscal years
A614 MONTHLY (General Ledger Report, paper)		A614	Current year plus one(1) fiscal year
Accounts Receivable Report - Quarterly Form		FI-00546-01	Current year plus one(1) fiscal year -retained by Finance
Accounts Receivable Write-Off Reporting Form		FI-00545-01	Current year plus one(1) fiscal year -retained by Finance
Anticipated Transfer of Appropriation(AT)		<a href="#">FI-00521-02</a>	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Appointment / Change of MAPS Security Liaison		FI-00577-02	Current year plus three(3) fiscal years or until audit (see Audit note)
Appropriation Balance Forward		<a href="#">FI-00520-02</a>	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Appropriation Entries		<a href="#">FI-00519-01</a>	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Appropriation Rollover Report		GFA663	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Cash Receipts (Accounting View)		FI-00515-01	Current year plus three(3) fiscal years or until audit (see Audit note)
Cash Receipts (All-Attributes View)		FI-00516-01	Current year plus three(3) fiscal years or until audit (see Audit note)
CITA and ACCI Information Request Form		FI-00613-01	Permanent
CITA and ACCI Interface Request Form		FI-00614-01	Permanent
Daily Cash Receipts		GFA900	Current year plus three(2) fiscal years
Expenditure Corrections		FI-00538-01	Current year plus three(3) fiscal years or until audit (see Audit note)
Gift Acceptance Form		FI-00533-01	Current year plus four(4) fiscal years
Invested Treasurers Cash(ITC) - Interest Earning Account Entry Form		FI-00597-01	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Investment Documents			Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Journal Voucher Entry		FI-00573-01	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Land Records			Permanent -retained by Finance
Online Paycheck History & Paycheck History Report	HP64200- HP64209		Permanent Retention on tape
Payment of Sales Tax		FI-00572-01	Current year plus five(5) fiscal years
Paid Vendor Invoices			Current year plus five(5) fiscal years

## ATTACHMENT E

### Statewide Accounting Retention Schedule

Payroll Audit Trail		HP2280	Current year plus three(3) fiscal years or until audit (see Audit note)
Purchase Order Changes After Fiscal Year End (POF)		FI-00580-01	Current year plus three(3) fiscal years or until audit - retained by Finance (see Audit note)
Quarterly Summary of Federal Excise Tax Paid on Gasoline, Gasohol and Aviation Fuel		FI-00556-03	Current year plus three(3) fiscal years or until audit (see Audit note)
Request for Access to INFOPAC Reports		FI-00569-01	3-4 months -retained by Finance
Request for Basic Access: Minnesota Accounting & Procurement System		FI-00502-04	1 year after employee's clearance is deleted -retained by Finance
Request for Clearance: Information Access Warehouse		FI-00540-05	1 year after employee's clearance is deleted -retained by Finance
Request for Encumbrance		FI-00541	All records must be kept until after audit. All construction contracts must be retained 20 years. All contracts will be retained for 8 years after expiration date.
Request For Refund of Sales Tax		FI-00563-02	Current year plus three(3) fiscal years or until audit (see Audit note)
Roster Staffing by Expense Budget	HP6760		2 weeks - InfoPac disk 2 months - InfoPac tape
Temporary Appropriation Entry		<a href="#">FI-00519-04</a>	Current year plus three(3) fiscal years or until audit (see Audit note)
Transfer of Appropriation		<a href="#">FI-00522-03</a>	Current year plus three(3) fiscal years or until audit (see Audit note)
Warrant Special Handling Request		FI-00526-02	Current year plus one(1) fiscal year
Contract Documents, Certification Forms, Evaluation Forms			Current year plus six(6) fiscal years or until audit (see Audit note)
Purchase orders, receiving slips			Current year plus three(3) fiscal years or until audit (see Audit note)
<p><b>Audit note:</b> Audit refers to one conducted by the Legislative Auditor. However, a legislative audit does not supersede audit requirements of specific programs.            Example: The legislative auditor may audit an agency's Federal funds, yet the Federal government may have its own audit requirements. In such cases, the records are retained until the Federal requirements are met or an audit is conducted.            The retention period is taken from <u>Preserving and Disposing of Government Records</u>, published by the Department of Administration, Information Policy Analysis Division in July, 2000.</p>			

**Additional Information:** Agencies retaining data in both paper and electronic media may dispose of the paper forms as long as the electronic data is backed up on a regular basis and easily retrieved.

## ATTACHMENT F

### Real Estate Management Retention Schedule

#### Leases Retention Schedule

All leases are kept on-site and are kept in three stages:

1. **Current** (leases with an expiration date in the future)
2. **Replaced** (leases that are expired and have been replaced by a current lease)
  - Keep until current lease is replaced, at which time replaced lease will be set for destruction.
3. **Destruction** (leases that have a replaced lease and a current lease and leases that have not been replaced or have been terminated and have no replaced lease.)
  - Keep for 8 years. Destruction is set for January of each year.

Canceled Lease Requests

- Keep for 8 years. Destruction is set for January of each year.

# ATTACHMENT F

## Real Estate Management Retention Schedule



### MINNESOTA RECORDS RETENTION SCHEDULE

**RECEIVED**  
 #80-211 NOV 27 1979  
 11-2-79

DEPARTMENT/AGENCY		DIVISION		LOCATION		PAGE	OF					
Administration		Real Estate Management		G-22 Administration Building		1	1					
ITEM NO.	RECORD DESCRIPTION	BEGINNING DATE	SM*	FORM NUMBER	RETENT. SCHED. (YRS.)			PRIVACY			STATUTE NUMBER	REMARKS
					DEPT. STGE.	REC. CENTER	AR-CHIVES	PUB	PVT	CF		
1	Leases	1965	1 2 4		*	3		X				*as long as lease is active (28) See **
2	Personnel Records	1972	1		*			X	X			*destroy 2 yrs. after termination (2) See **
3	Fiscal Records	1978	1		*			X				*destroy when no longer needed for administrative purposes (2) See **
4.	Fixed Assets	1968	1		*			X				*until asset is no longer owned by division (2) See **
5.	Land Acquisition	1966	1 2 3		*	P	X**	X				(60) *permanent or until land is no longer under state ownership. See below.
6.	Surplus Property	1966	1 2 3 4		P			X				(10)
**Items 1-4 must be retained until audited. Legislative Auditor.												

- \*Storage medium code**
- 1 Letter/legal paper
  - 2 Maps
  - 3 Bound books
  - 4 Blueprints/plans
  - 5 Microfiche
  - 6 Roll film
  - 7 Aperture card
  - 8 Magnetic tape
  - 9 Cassette tape
  - 10 Video tape
  - 11 Floppy disc
  - 12 Computer printout

**RETENTION SCHEDULE LEGEND**  
 NUMBERS - INDICATE YEARS  
 M - MONTHS  
 P - PERMANENT

**AUTHORIZATION:** Under the authority of Minnesota Statutes 138.17, it is hereby ordered that the records listed on this application be disposed of per approved schedule.

\*\*\*Tr. to State Archives for selection and disposition. MHS Director.

Dept. Record Mgmt. Officer (PRINT) <b>Marlo W. Hanson</b> Signature: <i>Marlo W. Hanson</i>	Phone 296-6674	Date 10/10/79
Approved by: <i>[Signature]</i> Dept. of Administration Date: 10-18-79	Director, Minnesota Historical Society <i>[Signature]</i> Date: 11/9/79	Legislative or State Auditor <i>[Signature]</i> Date: 11/19/79
Approved by: <i>[Signature]</i> Date: 10-18-79	Attorney General <i>[Signature]</i> Date: 11-27-79	